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# ASC FARM STANDARD



## Contact Information:

Aquaculture Stewardship Council  
Arthur van Schendelstraat 650  
3511 MJ Utrecht, the Netherlands

+31 30 239 31 10

[www.asc-aqua.org](http://www.asc-aqua.org)

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## Version control, available language(s) and copyright notice

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For comments or questions regarding the content of this document, please contact the Standards and Science Team of ASC via [standards@asc-aqua.org](mailto:standards@asc-aqua.org).

### Version control

Document version history:

| Version: | Sign-of date: | Effective date: | Remarks/changes: |
|----------|---------------|-----------------|------------------|
| v1.0     |               |                 |                  |

It is the responsibility of the user of the document to use the latest version as published on the ASC-website.

### Available language(s)

The ASC Farm Standard document is available in the following language(s):

| Version: | Available languages         |
|----------|-----------------------------|
| v1.0     | English (official language) |

In case of any inconsistencies and/or discrepancies between available translation(s) and the English version, the online English version (pdf-format) will prevail.

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## About the Aquaculture Stewardship Council (ASC)

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

The Standards define Criteria that help to transform the aquaculture<sup>1</sup> sector<sup>2</sup> towards environmental sustainability and social responsibility, as per the ASC Mission.

### ASC Vision

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

### ASC Mission

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

### ASC Theory of Change

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

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

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

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<sup>1</sup> Aquaculture: see Definition List.

<sup>2</sup> Aquaculture sector: see Definition List.

## The ASC Document and Certification System

ASC is a full member of the [ISEAL Alliance](#) and implements a voluntary, independent third-party certification system<sup>3</sup> consisting of three independent actors:

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

### Scheme Owner

ASC, as scheme owner:

- sets and maintains Standards according to the ASC Standard Setting Protocol which is in compliance with the “ISEAL Code of Good Practice - Setting Social and Environmental Standards”. The ASC Standards are normative documents;
- sets and maintains Implementation Guidance which provides guidance to the Unit of Certification (UoC) on how to interpret and best implement the indicators within the Standard;
- sets and maintains the Auditor Guidance which gives guidance to the auditor how to best assess a UoC against the Indicators within the Standard;
- sets and maintains the Certification and Accreditation Requirements (CAR) which adheres at a minimum to the “ISEAL Code of Good Practice - Assuring compliance with Social and Environmental Standards”. The CAR describes the accreditation requirements, assessment requirements and certification requirements. The CAR is a normative document.

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

### Accreditation Body

Accreditation is the assurance process of assessing the Conformity Assessment Body (CAB) against accreditation requirements and is carried out by an Accreditation Body (AB). The appointed AB of ASC is Assurance Services International (ASI, “Accreditation Services International” prior to January 2019) which uses the CAR as normative document for the accreditation process.

Assessment findings of ASI-accreditation audits and an overview of currently accredited CABs is publicly available via the ASI-website (<http://www.asi-assurance.org/s/>).

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<sup>3</sup> Third-party Certification System: see Definition List.

## **Conformity Assessment Body**

The UoC contracts the CAB which employs auditor(s) that conduct a conformity assessment (hereafter 'audit') of the UoC against the relevant standard. The management requirements for CABs as well as auditor competency requirements are described in the CAR and assured through ASI accreditation.

## **ASC Audit and Certification Process**

The UoC is audited at Indicator-level.

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

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

Note: in addition to the Standard's, there are certification requirements that apply to UoCs seeking certification; these requirements are detailed in the CAR.

## **ASC Logo use**

ASC-certified entities shall only sell their product carrying the ASC Logo if a Logo Licence Agreement (LLA) has been signed. On behalf of the ASC, the Marine Stewardship Council (MSC) Licensing Team will issue LLAs and approve logo use on ASC products. For more information see: [ASC Logo](#).

Unauthorised logo display is prohibited and will be treated as a trademark infringement.

## Structure of ASC Standards

A standard<sup>4</sup> is “a document 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.”

ASC Standards are as follows designed:

- ASC Standards consist of multiple Principles – a Principle is a set of thematically-related Criteria which contribute to the broader outcome defined in the Principle title;
- Each Principle consists of multiple Criteria – each Criterion defines an outcome that contributes to achieving the outcome of the Principle;
- Each Criterion consists of several Indicators – each Indicator defines an auditable state that contributes to achieving the Criterion outcome.

Both Principles and Criteria include Rationale statements providing a set of reasons (backed by reference notes if needed) as to why the Principle or Criterion is needed.

## Language use, acronyms and definitions

The Principles, Criteria and Indicators are written in an active form, using “the UoC” as subject.

Throughout the ASC documents, several verbal forms are used to indicate:

- |                                 |                  |
|---------------------------------|------------------|
| – A requirement <sup>5</sup>    | e.g. shall, must |
| – A recommendation <sup>6</sup> | e.g. should      |
| – A permission <sup>7</sup>     | e.g. may         |
| – A possibility <sup>8</sup>    | e.g. can         |

An Acronym List, Definition List and verbal forms used are included in Annex 1.

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<sup>4</sup> Standard: see Definition List.

<sup>5</sup> Requirement: see Definition List.

<sup>6</sup> Recommendation: see Definition List.

<sup>7</sup> Permission: see Definition List.

<sup>8</sup> Possibility: see Definition List.



## Scope and Unit of Certification (UoC)

Linked to the ASC Vision, the Scope of the ASC Farm Standard (hereafter “the Standard”) addresses the key negative environmental and social impacts associated with the aquaculture industry. An ASC-certified farm contributes to the ASC Vision by reducing, mitigating or eliminating such negative impacts.

The Scope of the Standard is translated into three (3) Principles that apply to every UoC:

- Principle 1 - The UoC operates legally and applies effective business management
- Principle 2 - The UoC operates in an environmentally responsible manner
- Principle 3 - The UoC operates in a socially responsible manner.

The various Criteria within each of the Principles apply either to every UoC (e.g.: Criteria related to legal compliance or labour) or only to UoCs that operate a specific culture-system (e.g.: Criteria related to marine cage culture or pond culture).

Resulting from this, the Standard can establish multiple Scopes at Criterion-level. A specific Criterion’s Scope is defined under each of the Criterion titles.

It is the responsibility of the user of the Standard to ensure that the correct Criterion Scope is being applied.

## Unit of Certification

The applicable UoC is determined by the CAB/auditor, and adheres to the Standard’s Criteria UoC-requirements as outlined in the CAR.

## Metric Performance Levels

Several indicators in the Standard require a specific Metric Performance Level (MPL). The applicable MPL is either directly defined in the indicator, or listed in Annex 2 ‘Metric Performance Levels’.

It is the responsibility of the user of the Standard to apply the correct MPL to the relevant indicators.

It is not possible to certify a UoC producing a species which does not have MPLs referenced within Annex 2.

## Principle 1 - The UoC operates legally and applies effective business management.

### *Scope Principle 1 - Every UoC*

**Rationale** - Despite the rapid growth of the aquaculture sector, the latter often remains a relative minor contributor to national economies and as a result of various other additional factors, the enforcement of aquaculture legislation and regulations often falls short. Consequently, negative impacts on the environment and societies can, and do, occur. Although regulatory compliance comes with investment costs, industries do benefit from well-designed legislation and proper regulation as this creates a level playing field between business actors in the long run.

Through Principle 1, ASC's Vision directly contributes to addressing the UN Sustainable Development Goals<sup>9</sup> (SDG) 8 ("Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all") and SDG 9 ("Build resilient infrastructure, promote inclusive and sustainable industrialization, and foster innovation").

Embedded within ASC's Vision of promoting responsible aquaculture, this Principle requires that certified facilities operate a legal and ethical business in a well-managed manner that assures compliance with the ASC requirements<sup>10</sup> throughout the validity of a certificate.

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<sup>9</sup> UN Sustainable Development Goals. <https://www.un.org/sustainabledevelopment/sustainable-development-goals/>

<sup>10</sup> In addition to the Standard there are Certification Requirements that apply to UoC's seeking certification. These requirements are detailed in the CAR. <https://www.asc-aqua.org/what-you-can-do/get-certified/about-our-certification/>

**Criterion 1.1 - The UoC is in possession of all necessary and valid business licenses and permits.**

*Scope Criterion 1.1 - Every UoC*

**Rationale** – The aquaculture sector is rapidly growing, and this can and is causing regulatory challenges in some regions. As a result, there is an increased risk that the industry be(comes) unregulated. Since it is illegal<sup>11</sup> in most countries to have a business without possessing all needed licences and permits, the UoC is required to be in possession of these as a minimum.

Within the ASC Standard, regulatory compliance is required throughout Principles 1-3; with a focus on permits and licenses under Principle 1, regulatory compliance with environmental laws under Principle 2, and regulatory compliance with Labour laws under Principle 3.

| Indicators:     |  |
|-----------------|--|
| Indicator 1.1.1 | The UoC shall identify all needed - and be in possession of valid - business licenses and permits related to activities within the Scope of this Standard. |
| Indicator 1.1.2 | The UoC shall not have been successfully prosecuted for activities related to the Scope of this Standard during the past six (6) years.                    |

<sup>11</sup> FAO. 2018. The State of World Fisheries and Aquaculture 2018 - Meeting the sustainable development goals. <http://www.fao.org/3/i9540en/i9540EN.pdf>

## Criterion 1.2 - The UoC implements an effective management system to maintain compliance with the ASC requirements.

### Scope Criterion 1.2 - Every UoC

**Rationale** - A management system is the way in which an organisation manages the inter-related parts of its business in order to achieve its objectives. The level of complexity of the system will depend on each organisation's specific context, its size, scope and risks of its activities. While a management system includes the set of policies, procedures and processes, it also includes tools that enable the organisation to meet its objectives effectively and efficiently.

The indicators in this Criterion are based on the common quality control adaptive management method Plan-Do-Check-Act (PDCA)-cycle<sup>12,13</sup>. If designed and implemented well this management system supports optimised productivity and efficiency, positive social impacts, reduced environmental impact, and an increased resiliency to adapt to change. In the case of achieving and maintaining ASC certification, these outcomes include compliance with ASC requirements.

| Indicators:     |   |
|-----------------|---|
| Indicator 1.2.1 | The UoC shall have management plans, policies and procedures to support and ensure effective implementation of all ASC requirements.  |
| Indicator 1.2.2 | The UoC shall have at least one member of management who is responsible for implementing the ASC requirements.  |
| Indicator 1.2.3 | The UoC shall develop and implement a training plan to ensure that relevant workers have the required competencies to ensure compliance with the ASC requirements.  |
| Indicator 1.2.4 | The UoC shall monitor the implementation of its management plan (including as regards to policies and objectives, progress with the activities planned, and the achievement of verifiable targets) through internal audits and other relevant mechanisms. |
| Indicator 1.2.5 | The UoC maintains accurate, legible and unaltered records to demonstrate conformance to, and implementation of, the ASC requirements.   |
| Indicator 1.2.6 | The UoC shall conduct root cause analyses, and determine and implement corrective actions to address any non-conformance against the ASC requirements if detected.  |
| Indicator 1.2.7 | The UoC shall conduct reviews of the management plans and policies (as per 1.2.1) annually and address any issues identified within accordingly.  |

<sup>12</sup> Peter J. Koiesar. (1994). What Deming Told the Japanese in 1950, Quality Management Journal, 2:1, 9-24.

<sup>13</sup> M. Sokovic, D. Pavletic, K. Kern Pipan, Quality Improvement Methodologies – PDCA Cycle, RADAR Matrix, DMAIC and DFSS, Journal of Achievements in Materials and Manufacturing Engineering 43/1 (2010) 476-483. [http://jamme.acmsse.h2.pl/papers\\_vol43\\_1/43155.pdf](http://jamme.acmsse.h2.pl/papers_vol43_1/43155.pdf)

### Criterion 1.3 - The UoC implements an effective traceability system to assure that only conforming products are sold as ASC certified.

#### Scope Criterion 1.3 - Every UoC

**Rationale** – Although food traceability originally focussed on food safety, more and more suppliers, buyers, consumers, governments and NGOs are requiring information about the origin of products as well as the production processes used.

Aquaculture, as part of the broader seafood sector, is highly vulnerable to food fraud, especially product mislabelling and species substitution<sup>14,15</sup>. In addition to this, there are traceability challenges related to the origin of the raw materials used as ingredients for aquaculture feed production.

Since traceability as a concept is defined as “*the ability to identify and trace the history, distribution, location and application of products, parts materials and services*,”<sup>16</sup> it also allows the possibility to transfer information regarding sustainability claims to the end consumer. It is for this reason that traceability plays an integral and important part of (seafood) sustainability certification.

In order to assure that ASC certified products are correctly differentiated from non-ASC certified products it is important that traceability systems and Chain of Custody (CoC) are in place.

| Indicators:     |  |
|-----------------|--|
| Indicator 1.3.1 | The UoC shall have a traceability system in place that reflects the complexity of the UoC and allows it to track back produced products to their received inputs/modifications. This applies to both ASC compliant products and to non-ASC compliant products. |
| Indicator 1.3.2 | The UoC shall provide all information necessary to support the CAB's identification of applicable traceability risks and determination of the start of the Chain of Custody (CoC).   |
| Indicator 1.3.3 | The UoC shall implement indicator 1.3.1 and 1.3.2 prior to any product(s) being sold as ASC certified, as well as throughout the duration of the production of any products sold as ASC certified.   |
| Indicator 1.3.4 | The UoC shall report volumes of ASC certified products, as detailed in the ASC requirements.   |

<sup>14</sup> FAO. 2018. Overview of food fraud in the fisheries sector. <http://www.fao.org/3/i8791en/I8791EN.pdf>

<sup>15</sup> INTERPOL-Europol. 2016. Report on OPSON V 2015. <https://www.europol.europa.eu/newsroom/news/food-fraud-joint-europol-interpol-operation-opson-v-results-report>

<sup>16</sup> Traceability: see Definition List.



376 **Principle 2 - The UoC operates in an environmentally responsible**  
377 **manner.**

378

379 *Principle 2 is under development and will be consulted upon towards end 2019.*

### Principle 3 - The UoC operates in a socially responsible manner.

#### *Scope Principle 3 - Every UoC*

**Rationale** - The aquaculture sector, including its supplying and processing industries, provides food, jobs and income to millions of people globally. The sector is characterised by a high degree of labour-intensive work, especially on farms and processing facilities, with most people employed in economically developing countries<sup>11</sup>. Where practised, aquaculture industries typically play an important role as part of the economic backbone of local (and often rural) communities<sup>17,18,19,20</sup>.

The combination of a fast-growing sector often operating in remote or less regulated regions results in an increased risk of human rights and labour standards being violated. In addition, there are concerns over the Social License to Operate (SLO) of the aquaculture sector, particularly regarding its land and resources use. Although many of these risks and concerns are perceived to be occurring mostly in developing countries, they exist equally in developed counties<sup>21,22</sup>.

In developing the Criteria for this Principle, several documents of the International Labour Organization (ILO), the Office of the UN High Commissioner for Human Rights (OHCHR) and Social Accountability International (SA8000) were used as reference. Relevant documents are referenced in the Rationale section of each Criterion.

Through Principle 3, ASC's vision directly contributes to addressing the UN Sustainable Development Goals<sup>9</sup> (SDG) 5 ("Achieve gender equality and empower all women and girls"), SDG 8 ("Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all") and SDG 10 ("Reduce inequality within and among countries").

<sup>17</sup> Asian Development Bank. 2005. An Evaluation of Small-Scale Freshwater Rural Aquaculture Development for Poverty Reduction. <https://www.adb.org/sites/default/files/publication/27961/fresh-water.pdf>

<sup>18</sup> Ceballos, A., Dresdner-Cid, J.D., Quiroga-Suazo, M.A. 2018. Does the location of salmon farm contribute to the reduction of poverty in remote coastal areas? An impact assessment using the Chilean case study. Food Policy, Volume 75, p68-79.

<sup>19</sup> New Zealand Government – Ministry for Primary Industries. 2015. The social and community effects of aquaculture – a case study of Southland aquaculture. ISBN 978-0-908334-49-0.

<sup>20</sup> Highlands and Islands Enterprise and Marine Scotland. 2017. The value of aquaculture to Scotland. <https://www.gov.scot/Topics/marine/Publications/TopicSheets/tslist/aquavalue>

<sup>21</sup> Group on Experts against Trafficking of Human Beings (GRETA). 2017. 7th General Report on GRETA's activities. <https://q8fip1kplyr33r3krz5b97d1-wpengine.netdna-ssl.com/wp-content/uploads/2018/04/GRETA-annual-report-for-2017.pdf>

<sup>22</sup> Fletcher, L.E., Bales K., Stover E. (2005) Hidden Slaves: Forced Labor in the United States, 23 Berkeley J. Int'l Law. 47. <https://scholarship.law.berkeley.edu/cgi/viewcontent.cgi?article=1281&context=bjil>

The intended outcome of Principle 3 is that ASC-certified facilities operate in a socially responsible manner, by assuring that:

- I. worker rights are respected;
- II. working and living conditions for workers are decent;
- III. interactions with neighbouring communities and indigenous people are constructive.

Overall, Principle 3 contributes to improving the Social License to Operate of the aquaculture sector.

**Criterion 3.1 - The UoC is in compliance with applicable labour regulations.**

*Scope Criterion 3.1 - Every UoC*

**Rationale** – In combination with the indicators under Criterion 1.1, compliance with labour regulations represents a fundamental basis for the development of socially responsible aquaculture.

| Indicators:     |   |
|-----------------|---|
| Indicator 3.1.1 | The UoC shall identify all applicable labour-related laws and regulations relevant to the Criteria of Principle 3 and maintain a system for compliance with them. |
| Indicator 3.1.2 | The UoC shall not have been successfully prosecuted for violating laws and regulations relevant to the Criteria of Principle 3, within the past six (6) years.    |

## Criterion 3.2 - The UoC does not engage in - nor supports - forced, bonded, compulsory labour and human trafficking.

### **Scope** Criterion 3.2 - Every UoC

**Rationale** – Within the United Nations (UN) Universal Declaration of Human Rights (UDHR) it is recognised that forced, bonded, compulsory labour<sup>23</sup> and human trafficking<sup>24</sup> is a persistent problem in many industries<sup>25</sup> and regions of the world<sup>26</sup>. The fishing and aquaculture sectors are no exception to this<sup>27,28</sup>.

According to recent estimates, 40.3 million people around the world are victims of modern slavery of which 25 million people are victim of forced, bonded or compulsory labour<sup>29</sup>. This includes human trafficking, debt bondage (labour demanded as a means of payment of debt), and more subtle forms of forced labour that force workers to remain in their jobs against their will through other means of threat. As with child labour, poverty is a key driver of forced labour. However, this phenomenon is not limited to developing countries. In some industries and regions of developed countries, migrant workers can equally become the victims of forced labour.

#### Relevant reference documents:

- I. ILO Forced Labour Convention, 1930 (No. 29);
- II. ILO Abolition of Forced Labour Convention, 1957 (No. 105);
- III. ILO The Protection of Wage Convention, 1949 (No. 95);
- IV. ILO The Private Employment Agencies Convention, 1997 (No. 181).

| Indicators:     |  |
|-----------------|--|
| Indicator 3.2.1 | The UoC and/or employment/recruitment agency, shall require workers to have and keep original identity documents in their own possession.                        |
| Indicator 3.2.2 | The UoC and/or employment/recruitment agency, shall allow workers to terminate their employment provided that they give reasonable notice to their organisation. |
| Indicator 3.2.3 | The UoC and/or employment/recruitment agency, shall not withhold any part of the worker's salary, property, or benefits.   |

<sup>23</sup> Forced, bonded, compulsory labour: see Definition List.

<sup>24</sup> Human trafficking: see Definition List.

<sup>25</sup> Oxfam Novib. 2018. Ripe for change – Ending human suffering in supermarket supply chains. <https://policy-practice.oxfam.org.uk/publications/ripe-for-change-ending-human-suffering-in-supermarket-supply-chains-620418>

<sup>26</sup> Global Slavery Index. 2018. <https://www.globallslaveryindex.org/resources/downloads/>

<sup>27</sup> Human Rights Watch. 2018. Hidden chains - Rights abuses and forced labor in Thailand's Fishing Industry.

<sup>28</sup> <https://www.globallslaveryindex.org/2018/findings/importing-risk/fishing/>

<sup>29</sup> <https://www.globallslaveryindex.org/2018/findings/highlights/>



|                  |   |
|------------------|---|
| Indicator 3.2.4  | The UoC shall ensure that workers are not charged any fees or costs for recruitment, directly or indirectly, in whole or in part, including costs associated with travel, processing of official documents and work visas in both home and host countries.  |
| Indicator 3.2.5  | The UoC shall ensure that any used employment/recruitment agency is screened and monitored to ensure that it is: <ul style="list-style-type: none"> <li>– licensed or certified by the competent national authority, if applicable,</li> <li>– conform with Criteria 1.1, Criteria 3.1, Indicator 3.2.6 and 3.2.11</li> </ul> |
| Indicator 3.2.6  | The UoC shall not require workers to lodge deposits or security payments at any time prior to, or during, employment.   |
| Indicator 3.2.7  | The UoC shall allow workers <sup>30</sup> to freely move around the workplace in order to use sanitary facilities, and to eat and drink water during their work shift.  |
| Indicator 3.2.8  | The UoC shall allow workers to leave the workplace premises after completing their work shift.  |
| Indicator 3.2.9  | The UoC shall not require that it is compulsory for workers to reside in an employer-operated facility as a condition of employment.  |
| Indicator 3.2.10 | The UoC shall not employ prison labour.   |
| Indicator 3.2.11 | The UoC shall not engage in or support human trafficking.   |

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<sup>30</sup> Worker(s): see Definition List.

### Criterion 3.3 - The UoC protects children and young workers.

#### Scope Criterion 3.3 - Every UoC

**Rationale** – Children<sup>31</sup> and young workers<sup>32</sup> are particularly vulnerable to economic exploitation due to their inherent age-related limitations in physical development, knowledge, lack of independence and experience. These vulnerabilities can lead to worst forms of child labour which are to be prioritised for elimination without delay. Employment, and exploitation, of children and young workers occurs globally and in many (if not all) industries<sup>33,38</sup>. The aquaculture sector is, unfortunately, no exception to this<sup>34</sup>.

However, not all work done by children should be targeted for elimination. Children's or adolescents' participation in work that does not affect their health and personal development nor interferes with their schooling, is generally regarded as being something positive. This includes activities such as helping their parents around the home, assisting in a family (farming) business or earning pocket money outside school hours and during school holidays. These non-harmful forms of labour participation contribute to children and adolescents' development and within some contexts to the welfare of their families; it provides them with skills and experience; and helps to prepare them to become productive members of society during their adult life<sup>35</sup>.

#### Relevant reference documents:

- I. ILO Minimum Age Convention, 1973 (No. 138);
- II. ILO Worst Forms of Child Labour Convention, 1999 (No. 182);
- III. OHCHR Convention on the Rights of the Child<sup>36</sup>.

| Indicators:     |  |
|-----------------|--|
| Indicator 3.3.1 | The UoC shall not (be) engage(d) in worst forms of child labour <sup>37</sup> .  |
| Indicator 3.3.2 | The UoC shall not employ children below the basic minimum age for work, unless to conduct light work <sup>38</sup> . Employed children younger than the age of 18 (or the age of legal adulthood as defined by national law, if higher) but older than the minimum age for work, are considered young workers. |
| Indicator 3.3.3 | The UoC shall ensure that working does not jeopardise schooling; nor the social, moral or physical development of the child and young worker.  |

<sup>31</sup> Child: see Definition List.

<sup>32</sup> Young worker: see Definition List.

<sup>33</sup> [https://www.ilo.org/ipec/areas/Agriculture/WCMS\\_172348/lang--en/index.htm](https://www.ilo.org/ipec/areas/Agriculture/WCMS_172348/lang--en/index.htm)

<sup>34</sup> ILO. 2017. Global estimates of child labour: Results and trends, 2012-2016. [https://www.ilo.org/wcmsp5/groups/public/---dgreports/---dcomm/documents/publication/wcms\\_575499.pdf](https://www.ilo.org/wcmsp5/groups/public/---dgreports/---dcomm/documents/publication/wcms_575499.pdf)

<sup>35</sup> <https://www.ilo.org/ipec/facts/lang--en/index.htm>

<sup>36</sup> <https://www.ohchr.org/Documents/ProfessionalInterest/crc.pdf>

<sup>37</sup> Worst forms of child labour: see Definition List.

<sup>38</sup> Light work: see Definition List.

|                 |   |
|-----------------|---|
| Indicator 3.3.4 | If the UoC is operated by its owners, children of the UoC-owners may help their relatives with farm work after school or during holidays, if it does not jeopardise schooling nor the social, moral or physical development of the child. |
|-----------------|---|

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## Criterion 3.4 - The UoC does not discriminate against its employees.

### Scope Criterion 3.4 - Every UoC

**Rationale** – Discrimination<sup>39</sup> is still a common problem in the workplace. While some of the more blatant forms of discrimination may have faded, many remain or have taken on new or less visible forms. It can perpetuate poverty, stifle development, productivity and competitiveness, and ignite political instability<sup>40</sup>.

A work relationship should be based on knowledge, skills and competencies.

Relevant reference documents:

- I. ILO Equal Remuneration Convention, 1951 (No. 100);
- II. ILO Discrimination (Employment and Occupation) Convention, 1958 (No. 111);
- III. ILO Workers with Family Responsibilities Convention, 1981 (No. 156).

| Indicators:     |   |
|-----------------|---|
| Indicator 3.4.1 | The UoC shall ensure equality of recruitment, pay & benefits, working conditions, job assignment, training, disciplinary practices, termination, retirement, promotion and opportunities; irrespective of legal status, nationality, caste, race, colour, age, gender, sexual orientation, ethnicity, disabilities, pregnancy, religion, affiliation, politics, participation in trade unions, marital status or any other condition. |
| Indicator 3.4.2 | The UoC/recruitment agency shall not test for pregnancy and/or virginity, nor practice/encourage forced contraception.  |
| Indicator 3.4.3 | The UoC shall not allow harassment, abusive or exploitative behaviour.  |

<sup>39</sup> Discrimination: see Definition List.

<sup>40</sup> ILO. 2011. Equality at work: the continuing challenge. [https://www.ilo.org/wcmsp5/groups/public/---ed\\_norm/---declaration/documents/publication/wcms\\_166583.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_norm/---declaration/documents/publication/wcms_166583.pdf)

### Criterion 3.5 - The UoC provides a safe and healthy work environment.

#### Scope Criterion 3.5 - Every UoC

**Rationale** – ILO sets forth, through various Conventions (see below), the principle that workers should be protected from sickness, disease and injury arising from their employment as a basic right. Yet for millions of workers the reality is very different. The ILO estimates<sup>41</sup> that 2.78 million people die each year from occupational accidents and work-related diseases. A further 374 million people suffer from non-fatal work-related injuries and illnesses each year, many of these resulting in extended absences from work. It is estimated that 3.94% of the world's annual Gross Domestic Product (GDP) is lost as a consequence of occupational diseases and accidents.

Health and safety within the global aquaculture industry, including processing, is still widely overlooked, according to the UN Food and Agriculture Organization (FAO)<sup>42</sup>. The world's estimated 19 million aquaculture workers regularly contend with hazardous conditions. Some aquaculture workers are highly trained and in secure jobs. However, globally, many aquaculture workers are employed in precarious arrangements and drawn from often vulnerable populations, including women, indigenous people, children, seasonal workers, migrant workers, rural and remote workers. Many of these risks remain either neglected or unaddressed due to gaps in knowledge, limited independent analyses of prevention and a lack of investment in risk reduction strategies.

Employers face costly early retirements, loss of skilled staff, absenteeism, and high insurance premiums due to work-related accidents and diseases. Yet many of these work-related accidents and diseases are preventable through the provision of a safe and healthy work environment.

#### Relevant reference documents:

- I. ILO Weekly Rest (Industry) Convention, 1921 (No. 14);
- II. ILO Occupational Safety and Health Convention, 1981 (No. 155);
- III. ILO Occupational Health Services Convention, 1985 (No. 161);
- IV. ILO Chemicals Convention, 1990 (No. 170);
- V. ILO Prevention of Major Industrial Accidents Convention, 1993 (No. 174).

| Indicators:     |   |
|-----------------|---|
| Indicator 3.5.1 | The UoC shall conduct an adequate health & safety risk assessment <sup>43</sup> that is reviewed on a regular basis and/or as required, and in all cases signed-off by senior management. |
| Indicator 3.5.2 | The UoC shall provide - where not provided by a State/National social security/health system - and pay for insurance for all workers for work-  |

<sup>41</sup> <https://www.ilo.org/global/topics/safety-and-health-at-work/lang--de/index.htm>

<sup>42</sup> <http://www.fao.org/blogs/blue-growth-blog/despite-advances-in-health-and-safety-operations-fisheries-remains-a-dangerous-sector/en/>

<sup>43</sup> Risk assessment: see Definition List.



|                 |  |
|-----------------|--|
|                 | related accidents or injuries. In every case, the costs of any work-related accident or injury shall be paid by the UoC, or insurance provider.  |
| Indicator 3.5.3 | The UoC shall provide appropriate Personal Protective Equipment (PPE) free of costs where and when necessary (as determined by Indicator 3.5.1), which is well maintained and appropriately used by workers. |
| Indicator 3.5.4 | The UoC shall provide free access to adequate and clean sanitary facilities (including for food preparation and storage) for all workers.  |
| Indicator 3.5.5 | The UoC shall provide adequate First Aid administered by qualified personnel.  |
| Indicator 3.5.6 | The UoC shall not require workers to carry out unsafe work.  |
| Indicator 3.5.7 | The UoC shall ensure structural integrity of all facilities within the UoC.  |
| Indicator 3.5.8 | The UoC shall adhere to maritime legislation, notably regarding the health and safety dimension, for situations where the UoC interacts with maritime traffic.   |

### Criterion 3.6 - The UoC respects the right to associate and the right for collective bargaining.

*Scope Criterion 3.6 - Every UoC*

**Rationale** - The right to freedom of association is the right to join a formal or informal group to take collective action towards the employer. Freedom of Association and the effective recognition of the right to collective bargaining is one of the core principles of the ILO “Declaration on Fundamental Principles and Rights at Work.” (Conventions 87, 98 and 135).

Collective bargaining<sup>44</sup> provides a more balanced power relationship for attaining beneficial and productive solutions to potentially conflictual relations between workers and employers, including wage negotiations and working conditions. It provides a means of building trust between the parties through negotiation and the articulation and satisfaction of the different interests of the negotiating partners. Collective bargaining plays this role by promoting peaceful, inclusive and democratic participation of representative workers’ and employers’ organisations.

Relevant reference documents:

- I. ILO Freedom of Association and Protection of the Right to Organise Convention, 1948 (No.87);
- II. ILO Right to Organise and Collective Bargaining Convention, 1949 (No. 98);
- III. ILO Workers’ Representatives Convention, 1971 (No. 135).

| Indicators:     |  |
|-----------------|--|
| Indicator 3.6.1 | The UoC shall inform workers that they are free to join or form trade unions of their own choosing and to bargain collectively.                                      |
| Indicator 3.6.2 | The UoC shall not interfere in any way with the establishment, functioning or administration of workers’ organisation(s) or collective bargaining.                   |
| Indicator 3.6.3 | The UoC shall, in areas where the right to freedom of association is restricted by law, provide parallel means for freedom of association and collective bargaining. |

<sup>44</sup> Collective bargaining: see Definition List.

### Criterion 3.7 - The UoC contracts workers in a transparent manner.

*Scope Criterion 3.7 - Every UoC*

**Rationale** - Employment agreements generally address important aspects of the employment such as wages, benefits, termination procedures, covenants not to compete, and the respective duties and responsibilities of employer and employee. It is a legally binding mutual agreement between two parties, the employer and the employee, and is designed to give both parties security and protection.

| Indicators:     |   |
|-----------------|---|
| Indicator 3.7.1 | The UoC shall ensure that all workers have received, and agreed upon, written and understandable information about their employment terms and conditions prior to start of employment.  |
| Indicator 3.7.2 | The UoC shall does not use employment arrangements, such as but not limited to: labour-only contracting, sub-contracting, home-working, false-apprenticeships, exclusive use of fixed-term contracts; to avoid any social or labour rights towards their workers. |

### Criterion 3.8 - The UoC pays employees at or above the legal minimum wage.

#### Scope Criterion 3.8 - Every UoC

**Rationale** – Within the Universal Declaration of Human Rights<sup>45</sup>, it is stated that “Everyone who works has the right to just and favourable remuneration ensuring for himself and his family an existence worthy of human dignity, and supplemented, if necessary, by other means of social protection.”

This statement captures the idea that every worker deserves a decent reward for their efforts which is set in a transparent manner and safeguarded through company management. Widespread evidence suggests that some wages within the aquaculture sector are still below national legal minimum wages. In addition to having a low income, low wages also result into other societal barriers.

Relevant reference documents:

- I. ILO Protection of Wages Convention, 1949 (No. 95);
- II. ILO Minimum Wage Fixing Convention, 1970 (No. 131).

| Indicators:     |  |
|-----------------|--|
| Indicator 3.8.1 | The UoC shall set wages (before overtime and bonuses) at or above the legal minimum wage. For countries without a legal minimum wage defined, industry references shall be paid.                 |
| Indicator 3.8.2 | The UoC shall pay wages in legal tender <sup>46</sup> at regular intervals and directly to workers, in accordance with national law, and shall not be delayed, deferred or (partially) withheld. |
| Indicator 3.8.3 | The UoC shall provide and store documented and transparent information to workers on advances, loans, hours worked, rates of pay and the calculation of any legal deductions.                    |
| Indicator 3.8.4 | The UoC shall document information of wage payment and receipt of all workers.   |

<sup>45</sup> <http://www.un.org/en/universal-declaration-human-rights/index.html>

<sup>46</sup> Legal tender: see Definition List.

### Criterion 3.9 - The UoC prevents excessive working hours.

#### Scope Criterion 3.9 - Every UoC

**Rationale** - Despite the regulation of working time being one of the oldest concerns of labour legislation<sup>47</sup>, excessive working hours are still a widespread issue in many industries and regions.

In many parts of the world, there is a significant link between low wages and excessive working time. Workers subject to extensive overtime can suffer consequences in their work-life balance and are subject to higher fatigue-related accident rates.

ILO standards on working time provide the framework for regulating hours of work, daily and weekly rest periods, and annual holidays which serve to promote higher productivity while safeguarding workers' physical and mental health.

Relevant reference documents:

- I. ILO Hours of Work (Industry) Convention, 1919 (No. 1);
- II. ILO Night Work Convention, 1990 (No. 171);
- III. ILO The Safety and Health in Agriculture Convention, 2001 (No. 184);
- IV. ILO Recommendation Reduction of Hours of Work (Recommendation 116).

| Indicators:                             |   |
|---|---|
| Indicator 3.9.1                         | The UoC shall apply an averaged maximum of 12 working hours per day (including breaks and over time) and 72 hours per week (including breaks and overtime) with at least 1 full day off in every 7-day period, or, at least 2 full days off in an every 14-day period. The maximum averaged timeframe is 2 weeks (14 days).   |
| Indicator 3.9.2<br>[UoC:<br>Processing] | The UoC shall apply an averaged maximum of 8 working hours per day (excluding breaks and over time) and 48 hours per week (excluding breaks and overtime) with at least 1 full day off in every 7-day period, or, at least 2 full days off in an every 14-day period. The maximum averaged timeframe is 2 weeks (14 days).  |
| Indicator 3.9.3                         | The UoC shall ensure that children' (employed for light work) combined school, work and transportation time (to/from school and work) does not exceed a total of 10 hours per day; and shall apply no more than 3 working hours (including breaks) per day, with a maximum of 14 working hours (including breaks) per week. At least 2 full days off in every 7-day period are applied and under no circumstances shall any child employed for light work, work later than 6pm and start earlier than 9am. Children are not allowed to work overtime. |

<sup>47</sup> ILO. 2007. Working time around the world: trends in working hours, laws and policies in a global comparative perspective.  
[https://www.ilo.org/wcmsp5/groups/public/@dgreports/@dcomm/@publ/documents/publication/wcms\\_104895.pdf](https://www.ilo.org/wcmsp5/groups/public/@dgreports/@dcomm/@publ/documents/publication/wcms_104895.pdf)

|                 |   |
|-----------------|---|
| Indicator 3.9.4 | The UoC shall ensure that young workers' combined school, work and transportation time (to/from school and work) does not exceed a total of 10 hours per day; and shall apply no more than 8 working hours (including breaks) per day, with a maximum of 48 working hours (including breaks) per week. At least 2 full days off in every 7-day period are applied and under no circumstances shall any young worker, work later than 9pm and start earlier than 9am. Young workers are not allowed to work overtime |
| Indicator 3.9.5 | The UoC shall ensure that overtime hours are voluntary, occur only under exceptional circumstances and paid at a premium rate as defined by applicable law. In case law does not define the premium rate, a minimum of 125% of the legal minimum hourly rate is applied to overtime hours.  |
| Indicator 3.9.6 | The UoC shall apply work breaks as defined by applicable law.   |
| Indicator 3.9.7 | The UoC shall keep records of the hours worked by every worker. These records shall be validated/verified by the workers.   |

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### Criterion 3.10 - The UoC has disciplinary practices that respect the dignity and health of the worker.

#### Scope Criterion 3.10 - Every UoC

**Rationale** - Disciplinary practices<sup>48</sup> are not covered by a specific ILO Convention but there are several UN agreements (see below) that collectively establish an international norm for disciplinary practices. The latter are intended to course-correct the behaviour or performance of workers, as there is a risk that this could be done in an unfair or degrading manner.

Despite not being embedded in an ILO Convention, most of the UN member states have ratified these treaties, indicating their commitment to abolish any practice that may compromise or damage an individual's physical and mental well-being. In addition, many countries have specific national legislation making abuse in the workplace a criminal offense.

Aiming to protect both the dignity and the physical and mental health of any individual, these instruments strive to deliver an effective and consistent method of dealing with disciplinary and performance matters. Improving motivation, establishing and carrying out a constructive disciplinary process is a key part of responsible human resource management.

#### Relevant reference documents:

- I. Universal Declaration of Human Rights (1948);
- II. International Covenant on Civil and Political Rights (1966);
- III. Declaration on the Protection of All Persons from Being Subjected to Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1975).

| Indicators:      |   |
|------------------|---|
| Indicator 3.10.1 | The UoC has disciplinary procedures and applies them in a progressive and objective manner, consistent with Indicator 3.4.1, ensuring dignity and respect towards the worker. |
| Indicator 3.10.2 | The UoC shall not engage in - or tolerate - the use of corporal punishment, mental, physical or verbal abuse of personnel.  |
| Indicator 3.10.3 | The UoC shall not deduct from wages or benefits for the purpose of disciplinary action.   |

<sup>48</sup> Disciplinary practices: see Definition List.



### Criterion 3.11 - The UoC provides effective worker grievance mechanisms.

*Scope Criterion 3.11 - Every UoC*

**Rationale** – Grievances<sup>49</sup> and conflicts are an inevitable part of employment relationships. Worker grievance mechanisms<sup>50</sup> are also called 'dispute', 'complaints' or 'accountability' mechanisms and offer a system in which both the worker and the employer have the possibility to effectively address a workplace problem. The latter can for instance relate to disputes between individuals as well as to workplace condition complaints.

When implemented effectively, these systems facilitate dialogue between parties before - rather than in reaction to - disputes.

Relevant reference documents:

- I. ILO The Examination of Grievances Recommendation, 1967 (No. 130).

| Indicators:      |  |
|------------------|--|
| Indicator 3.11.1 | The UoC shall have a grievance procedure - accessible and applicable to all employees - that includes requirements for non-retaliation and an impartial investigation of the grievance(s) and appeals process. |
| Indicator 3.11.2 | The UoC shall address all grievances within an agreed timeframe.   |

<sup>49</sup> Grievance: see Definition List.

<sup>50</sup> Grievance mechanism: see Definition List.

### Criterion 3.12 - The UoC provides safe, decent and hygienic worker accommodation.

*Scope Criterion 3.12 - Every UoC*

**Rationale** – Within the United Nations (UN) Universal Declaration of Human Rights (UDHR) it is recognised that everyone has the right to a standard of living (including housing) which is adequate for the health and well-being of themselves and their family. In many sectors, including in aquaculture, workers can reside for a period of time in accommodation provided by the employer. This is especially the case when farming sites are remote or where workers cannot commute between shifts due to distances or other logistical obstructions.

As workers in these situations are not always able to find alternatives, the accommodation provided by the employer must be safe, decent and hygienic.

Relevant reference document(s):

- I. ILO Workers' Housing Recommendation, 1961 (No. 115).

| Indicators:      |  |
|------------------|--|
| Indicator 3.12.1 | The UoC shall ensure that any dormitory facilities provided for personnel and/or their family are clean, hygienic, safe and meets their basic needs, whether it owns, leases or contracts the dormitories from a service provider. |
| Indicator 3.12.2 | The UoC shall ensure that any rent does not cost the worker more than a reasonable proportion (as defined by local rental market & budget recommendations) of their income.  |
| Indicator 3.12.3 | The UoC shall provide transportation free of charge to workers that live on the premises of the UoC (in cases where the UoC location is remote and where public transportation is not available).                                  |
| Indicator 3.12.4 | The UoC shall have gender-separated hygienic sanitary and toilet facilities.   |

**Criterion 3.13 - The UoC contributes to maintaining or enhancing the social and economic well-being of local communities.**

*Scope Criterion 3.13 - Every UoC*

**Rationale** – Aquaculture industry operations often form an important part of the economic backbone of the (oft remote) communities in which they are located. At the same time, conflicting activities or interests between the industry's operation and local communities can lead to tensions and other negative impacts. These can for example revolve around siting of operations in relationship to access to natural resources (and the use thereof), customary rights and employment preferences, etc.

This Criterion aims to make the UoC aware of its impact on the neighbouring community and requires the UoC to engage with the latter in a constructive manner.

| Indicators:      |  |
|------------------|--|
| Indicator 3.13.1 | The UoC shall not restrict or negatively affect community and community members' rights and access to resources including land, water and food security.   |
| Indicator 3.13.2 | The UoC shall engage with the local community to identify, avoid and mitigate any significant social impacts. Mitigation action(s) shall be proportionate to the scale, intensity and risk of those activities and negative impacts. |
| Indicator 3.13.3 | The UoC shall have mechanisms for resolving grievances and providing compensation to local communities and individuals with regards to the impacts of the activities of the UoC.   |
| Indicator 3.13.4 | The UoC shall source (to the extent possible) goods and services, including employment, from the local communities.  |

### Criterion 3.14 - The UoC respects indigenous rights, cultures and traditional territories.

#### Scope Criterion 3.14 - Every UoC

**Rationale** - Many of the world's resources are located on land owned or controlled by indigenous peoples<sup>51</sup>. The UN estimates that there are over 370 million indigenous peoples living in over 90 countries<sup>52</sup>. This means businesses are frequently in close contact with indigenous groups, and improving these relationships is becoming increasingly important.

Historically, many indigenous peoples have suffered from abuse, discrimination, and marginalization, and this continues today in many areas. As a result, many indigenous peoples live in poverty and poor health; and their cultures, languages and ways of life are threatened. Indigenous peoples comprise 5 per cent of the world's population, yet they make up 15 per cent of the world's poor and one-third of the world's extremely poor<sup>53</sup>. In many areas, their average life expectancy is shorter than non-indigenous people<sup>54</sup>. Facing these realities, indigenous peoples are often particularly vulnerable to the negative impacts of commercial development and business activities<sup>55</sup>.

Compounded by the fact that indigenous people are often an integral part of aquaculture operations' 'local communities', businesses have an opportunity to involve indigenous people in business ventures as owners, suppliers, contractors and employees. This can contribute to the long-term success of projects and help embed the business in the local community.

| Indicators:      |  |
|------------------|--|
| Indicator 3.14.1 | The UoC shall proactively seek engagement with indigenous and/or aboriginal cultures, where relevant and as per local/national regulation/law required.  |
| Indicator 3.14.2 | The UoC shall engage with the local community to identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these local communities hold legal or customary rights <sup>56</sup> . These sites shall be recognised by the UoC, and protection shall be agreed through engagement with these local communities. |

<sup>51</sup> Indigenous peoples: see Definition List.

<sup>52</sup> UNDESA. 2017. [State of the World's Indigenous Peoples III, Education](https://www.un.org/development/desa/indigenouspeoples/wp-content/uploads/sites/19/2017/12/State-of-Worlds-Indigenous-Peoples_III_WEB2018.pdf).  
[https://www.un.org/development/desa/indigenouspeoples/wp-content/uploads/sites/19/2017/12/State-of-Worlds-Indigenous-Peoples\\_III\\_WEB2018.pdf](https://www.un.org/development/desa/indigenouspeoples/wp-content/uploads/sites/19/2017/12/State-of-Worlds-Indigenous-Peoples_III_WEB2018.pdf)

<sup>53</sup> International Fund for Agricultural Development, Engagement with Indigenous Peoples Policy, 2009.  
[https://www.thegef.org/sites/default/files/publications/Indigenous\\_Peoples\\_Principle\\_EN.pdf](https://www.thegef.org/sites/default/files/publications/Indigenous_Peoples_Principle_EN.pdf)

<sup>54</sup> See ST/ESA/328.

<sup>55</sup> UN Global Compact. 2013. A Business Reference Guide on the Declaration on the Rights of Indigenous Peoples.  
[https://www.unglobalcompact.org/docs/issues\\_doc/human\\_rights/IndigenousPeoples/BusinessGuide.pdf](https://www.unglobalcompact.org/docs/issues_doc/human_rights/IndigenousPeoples/BusinessGuide.pdf)

<sup>56</sup> Customary rights: see Definition List.

|                  |  |
|------------------|--|
| Indicator 3.14.3 | UoC does not diminish communities' land or resource use rights or collective interests without seeking communities' free, prior and informed consent <sup>57</sup> (FPIC). |
|------------------|--|

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<sup>57</sup> Free, Prior and Informed Consent: see Definition List.

## Annex 1: List of Acronyms, Definitions and Verbal Forms used

### Acronym List

|       |   |
|-------|---|
| AB    | Accreditation Body                                  |
| ASC   | Aquaculture Stewardship Council                     |
| ASI   | Assurance Services International                    |
| CAB   | Conformity Assessment Body                          |
| CAR   | Certification and Accreditation Requirements        |
| CoC   | Chain of Custody                                    |
| ESIA  | Environmental and Social Impact Assessment          |
| FAO   | UN Food and Agriculture Organization                |
| FPIC  | Free, Prior and Informed Consent                    |
| GDP   | Gross Domestic Product                              |
| ILO   | International Labour Organization                   |
| LLA   | Logo Licence Agreement                              |
| MPL   | Metric Performance Level                            |
| MSC   | Marine Stewardship Council                          |
| NGO   | Non-Governmental Organisation                       |
| OHCHR | UN Office of the High Commissioner for Human Rights |
| SDG   | UN Sustainable Development Goal                     |
| SLO   | Social License to Operate                           |
| ToC   | Theory of Change                                    |
| UN    | United Nations                                      |
| UDHR  | Universal Declaration of Human Rights               |
| UoC   | Unit of Certification                               |

### Definition List

| Term:              | Definition:   | Reference: |
|--------------------|---|------------|
| Aquaculture        | Aquaculture is the farming of aquatic organisms, including fish, molluscs, crustaceans and aquatic plants. Farming implies some form 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. | FAO        |
| Aquaculture sector | Represents a group of industries (e.g.: feed industry, farming industry, processing industry, etc.) and markets that share common attributes (i.e. aquaculture products).   | ASC        |

|                                |  |                           |
|--------------------------------|--|---------------------------|
| Basic minimum age for work     | The minimum age for work should not be below the age for finishing compulsory schooling, and shall in any case not be less than 15.  | ILO                       |
| Child                          | Any person under the age of 18 (or the age of legal adulthood as defined by national law, if higher).  | ILO (no. 182 – Article 2) |
| Child labour                   | Any work by a child younger than the age specified in the definition of a child.   | ASC                       |
| Child labour (worst forms of.) | <p>Any work done by a child, which refers to work that:</p> <ul style="list-style-type: none"> <li>– is mentally, physically, socially or morally dangerous and harmful to children; and</li> <li>– interferes with their schooling by: <ul style="list-style-type: none"> <li>○ depriving them of the opportunity to attend school;</li> <li>○ obliging them to leave school prematurely; or</li> <li>○ requiring them to attempt to combine school attendance with excessively long and heavy work.</li> </ul> </li> </ul> <p>But also:</p> <ul style="list-style-type: none"> <li>– all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict;</li> <li>– the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;</li> <li>– the use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties;</li> <li>– work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children.</li> </ul> | ILO                       |
| Collective bargaining          | A voluntary negotiation between employers and organisations of employees in order to establish the terms and conditions of employment by means of collective (written) agreements.   | ASC                       |
| Customary rights               | Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geography or sociological unit.   | FSC                       |
| Discrimination                 | Any distinction, exclusion, or preferences, which have the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion, or preference constitutes discrimination. Positive discrimination in favour of people from certain underrepresented groups may be legal in some countries.  | ASC                       |
| Disciplinary practices         | A method for dealing with an employee who causes problems or does not follow company rules/procedures.   | ASC                       |



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| False Apprenticeship Scheme             | The practice of hiring employees under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a “false” apprenticeship if its purpose is to underpay people, avoid legal obligations, or employ underage employees.   | ASC   |
| Free, Prior and Informed Consent (FPIC) | A legal condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. Free, prior and informed consent includes the right to grant, modify, withhold or withdraw approval.  | OHCHR |
| Forced, bonded and compulsory work      | All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily.  | ILO   |
| Grievance                               | A grievance in the employment context refers to a specific, formal notice of employee dissatisfaction expressed through an identified procedure.   | ASC   |
| Grievance mechanism                     | A grievance mechanism is a formal complaint process that can be used by workers to resolve a grievance.  | ASC   |
| Hazard                                  | The inherent potential to cause injury or damage to a person’s health (e.g., unequipped to handle heavy machinery safely, and unprotected exposure to harmful chemicals).  | ASC   |
| Hazardous work                          | Work that, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of employees (e.g., heavy lifting disproportionate to a person’s body size, operating heavy machinery, exposure to toxic chemicals).  | ASC   |
| Health and Safety Risk Assessment       | A risk assessment (as defined) focussing on worker health and safety.  | ASC   |
| Human trafficking                       | The recruitment, transfer, harbouring or receipt of persons, by means of the use of threat, force, deception or other forms of coercion, for the purpose of exploitation.  | ILO   |
| Indigenous peoples                      | Considering the diversity of indigenous peoples, an official definition of “indigenous” has not been adopted by any UN-system body. Instead the system has developed a modern understanding of this term based on the following: <ul style="list-style-type: none"> <li>– Self- identification as indigenous peoples at the individual level and accepted by the community as their member.</li> <li>– Historical continuity with pre-colonial and/or pre-settler societies</li> <li>– Strong link to territories and surrounding natural resources</li> <li>– Distinct social, economic or political systems</li> <li>– Distinct language, culture and beliefs</li> </ul> | UN    |

|                                      |   |                           |
|--------------------------------------|---|---------------------------|
|                                      | <ul style="list-style-type: none"> <li>– Form non-dominant groups of society</li> <li>– Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.</li> </ul> <p>The term “indigenous” has prevailed as a generic term for many years. In some countries, there may be preference for other terms including tribes, first peoples/nations, aboriginals, ethnic groups, (E.g. <i>adivasi, janajati</i>).</p> |                           |
| Labour-only contracting arrangements | The practice of hiring employees without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections.   | ASC                       |
| Legal tender                         | The money that can be officially used in a country.   | Cambridge dictionary      |
| Light work                           | Work conducted by children between the ages of 13 and 15 years old that is not likely to be harmful to their health or development; and not such as to prejudice their attendance at school, their participation in vocational orientation or training programmes approved by the competent authority or their capacity to benefit from the instruction received.   | ILO (no. 138 – Article 7) |
| Living wage                          | A wage that enables workers, for their labour during a standard work week, to support half the basic needs of an average-sized family, based on local prices near the workplace   | ASC                       |
| Mental abuse                         | Characterized by the intentional use of power, including verbal abuse, isolation, sexual or racial harassment, intimidation, or threat of physical force.   | ASC                       |
| Migrant employee                     | Person who is to be engaged, is engaged or has been engaged in a remunerated activity in a State of which he or she is not a national.  | OHCHR                     |
| Minimum wage                         | A minimum wage is the lowest level of hourly pay that is legally allowable.   | ASC                       |
| Permission                           | <p>An expression that conveys a liberty (or opportunity) to do something.</p> <p>Note: Permissions are expressed using the verbal forms specified in Annex 1.</p>   | ASC                       |
| Possibility                          | <p>An expression that conveys an expected outcome.</p> <p>Note: Possibilities are expressed using the verbal forms specified in Annex 1.</p>  | ASC                       |
| Premium rate                         | A rate of pay higher than the regular work week rate. Must comply with national laws/regulations and/or industry standards.   | ASC                       |

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| Recommendation                   | <p>An expression that conveys a suggested possible choice or course of action deemed to be particularly suitable without necessarily mentioning or excluding others.</p> <p>Note: Recommendations are expressed using the verbal forms specified in Annex 1.</p> <p>Note 2: In the negative form, a recommendation is the expression that a suggested possible choice or course of action is not preferred but it is not prohibited.</p>   | ASC                              |
| Region                           | A geographical area in which all farms that may be the source of a defined ingredient are located.   | ASC                              |
| Requirement                      | <p>An expression that conveys criteria to be fulfilled.</p> <p>Note: Requirements are expressed using the verbal forms specified in Annex 1.</p>   | ASC                              |
| Risk Assessment                  | <p>Risk assessment is the overall process or method where one:</p> <ol style="list-style-type: none"> <li>I. Identifies hazards and risk factors that have the potential to cause harm (hazard identification).</li> <li>II. Analyses and evaluate the risk associated with that hazard (risk analysis, and risk evaluation).</li> <li>III. Determines appropriate ways to eliminate the hazard, or control the risk when the hazard cannot be eliminated (risk control).</li> </ol> | ASC                              |
| Standard                         | A document 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.  | ISEAL – Standard Setting Code v6 |
| Senior management                | Individuals and teams at the highest level of organisational management who have the day-to-day responsibilities of managing a company or corporation.   | ASC                              |
| Social License to Operate (SLO)  | The ongoing acceptance of a company or industry's business practices and operating procedures by its employees, stakeholders and the general public.   | ASC                              |
| Third-party Certification System | Conformity assessment activity that is performed by a person or body that is independent of the person or organisation that provides the object, and of the user interests in that object.   | ISO 17000                        |
| Traceability                     | Traceability is the ability to identify and trace the history, distribution, location, and application of products, parts, materials, and services.  | ISO 9001:2015                    |
| Waste                            | Solid or semi-solid, non-soluble, material (including gases and liquids in containers) resulting from a production process and not of any use by the producer.   | ASC                              |
| Worker(s)                        | An individual who works under a (sub)contract of employment, whether oral or written, express or   | ASC                              |

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|                    | implied, and has recognized rights and duties. This definition includes also migrant workers.  |     |
| Workplace problems | A workplace problem is a concern or complaint that an employee may have related to any aspect of his/her work.   | ILO |
| Young worker       | Any worker older than the basic minimum age for work but younger than 18 (or the age of legal adulthood as defined by national law, if higher). All young workers are classified as children; not all children can be classified as young workers. | ILO |

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### Verbal forms used

| Indication of:             | Verbal forms used:  |
|----------------------------|---|
| Requirement (normative)    | <ul style="list-style-type: none"> <li>– shall (not)</li> <li>– must (not)</li> <li>– is to</li> <li>– it is required to</li> <li>– has to</li> <li>– do(es) not</li> <li>– is not to be</li> </ul> |
| Recommendation             | <ul style="list-style-type: none"> <li>– should (not)</li> <li>– it is (not) recommended that</li> <li>– ought (not) to</li> </ul>  |
| Permission                 | <ul style="list-style-type: none"> <li>– may (not)</li> <li>– is allowed</li> <li>– is permissible</li> <li>– it is not required that</li> <li>– no ... is required</li> </ul>                      |
| Possibility and capability | <ul style="list-style-type: none"> <li>– can(not)</li> <li>– be (un)able to</li> <li>– there is a/no possibility of</li> <li>– it is (not) possible to</li> </ul>                                   |

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757 **Annex 2: Metric Performance Levels (MPL)**

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759 *Annex 2 is under development and will be consulted upon towards end 2019 (together with*  
760 *Principle 2).*