

AUDIT MANUAL - ASC Series and Code Standard Version 1.2 March 2020			
<p>Cooperatives and producers: Series 1000000, Series 1000000, Series 1000000 and other relevant series</p>			
<p>INSTRUCTION TO FARMERS/AUDITORS</p> <p>This audit manual was developed to accompany the version of the ASC Series and Code Standard v1.1. Reference the ASC Series and Code Standard v1.1.</p> <p>The manual is complemented by a separate audit checklist that outlines the minimum information that a client must have prior to the first audit. Prior to the audit, the client and the conformity assessment body (CAB) shall reach agreement on whether the audit requires visits to the client headquarters and the farm site, which information is held at each location, and the associated assessment records (e.g. electronic or hard-copy files).</p>			
<p>Objective 1: Compliance with applicable national, regional and local laws and regulations</p>			
<p>Implementation guidance: In order to ensure compliance with this standard, audits will require a range of documentation and relevant correspondence related to farm using and operation. It is probable that some of the information will need to be generated by the headquarters of the company owning the operation, while other information will relate specifically to the site.</p>			
1.1.1	<p>Indicator: Documents demonstrating compliance with applicable local and national laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>A. Maintain digital or hard-copy of applicable local and water use laws. Provide the audit team with a summary of applicable law and permit requirements along with contact details for relevant staff.</p> <p>B. Maintain original (or certified copies of) lease agreements, land titles and concession permits (if applicable).</p> <p>C. Keep records of inspections for compliance with national and local laws and regulations (where such inspections are legally required in the country of operation).</p>	<p>A. Review farm operation in the context of requirements of applicable local and water use law.</p> <p>B. Confirm client holds original (or certified copies if necessary):</p> <ul style="list-style-type: none"> lease agreements or land titles permits from government agencies, regulatory concessions <p>C. Review records of inspection and/or monitoring for compliance with national and local laws and regulations (as applicable).</p>
1.1.2	<p>Indicator: Documents demonstrating compliance with all tax laws.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>A. Provide a certificate of tax clearance or tax law conformity from local Revenue authority, OR</p> <p>B. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax). Note that CABs will not disclose confidential tax information unless client is required to or chooses to make it public.</p> <p>C. Demonstrate that the farm ensures compliance with tax laws appropriate to its size and scale. Large-scale producers should refer to the services of a qualified and knowledgeable professional such as a chartered Public Accountant to manage overall compliance with taxation laws. Small-scale producers should show tax receipts.</p>	<p>A. Review certificate of tax clearance and/or tax law conformity from local revenue authority OR</p> <p>B. Independently (third party) audited company annual report may be used to confirm tax status. Verify client has records of tax payments to appropriate authorities. Do not disclose tax information, which is confidential.</p> <p>C. Check validity of tax paid by the parent company.</p>
1.1.3	<p>Indicator: Documents demonstrating compliance with labor laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>A. Demonstrate how the farm conforms with the requirements of national and regional labor codes and employment law.</p> <p>B. Keep records of farm inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of operation).</p>	<p>A. Verify that the farm conforms with labor codes and employment law through review of documentation, and (or direct discussion with staff and/or workers representatives).</p> <p>B. Review inspection records for compliance with national labor laws and codes (as applicable).</p>
1.1.4	<p>Indicator: Documents demonstrating compliance with regulations and permits concerning water quality aspects.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>A. Obtain permits for discharge water where applicable.</p> <p>B. Maintain records of monitoring and compliance with discharge laws and/or regulations as required.</p> <p>C. Maintain records of monitoring and compliance with waste and pollution laws/regulations.</p>	<p>A. Verify that client obtains permits as applicable.</p> <p>B. Verify that records show that monitoring compliance with discharge laws and/or regulations as required.</p> <p>C. Verify that records show that monitoring compliance with waste and pollution laws and/or regulations as required.</p>
<p>Indicator 2: Compliance with applicable national, regional and local laws and regulations</p>			
<p>Implementation guidance:</p> <ul style="list-style-type: none"> For 2.1.1 if there is a violation of the standard based on the result of a single sample, then the farm can be required to undertake a more rigorous sampling process. For 2.1.2 the farmer will use an assurance of biotic community composition that is most appropriate to the site. Over time ASC will build its own knowledge of appropriate species by region and site characteristics that can inform further iterations of the standards. For 2.1.1 and 2.1.2 The sampling point is the one outside of the AZE and where water flows to the farm. And it is acceptable to take samples from a great where water depth is around average. 			
<p>Objective 2: Benthic biodiversity and benthic indices</p>			
<p>Indicator to Clients and CABs on Objective 2.1: Benthic impact assessment and monitoring</p> <p>The ASC recognizes that there may be pre-existing obstacles or regulatory requirements with respect to monitoring of benthic impact indicators and the historical sampling points. However, in all cases the Series and Code Standards require monitoring for significant differences in a chosen benthic indicator (Benthic potential). Suitable levels or Total Organics Carbon) Evaluation of conformances may be based on a sampling strategy that, at a minimum, includes samples taken from the edge and up to 20m from the edge and outside (control sites) of a defined AZE. Modelling studies of the distribution of bio-deposits from fish/aquaculture have shown that enhanced settling of particulate matter from bottom can occur at significant distances from farm depending on current speed, bathymetry and settling velocities for feed and faeces (Gassner et al. 2006; Hines et al. 2006; Ingersoll et al. 2002). The appropriate upstream or downstream locations for AZE and control sites relative to a fish/culture area will vary with water body and site-specific hydrographic conditions. Carefully designed sampling strategies should be developed with a view to allowing, directly, and indirectly, robust assessment of benthic impact."</p>			
2.1.1	<p>Indicator: TOC, sulphide, or nitrite levels in sediment immediately outside of Allowable Zone of Effect (AZE) attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in TOC, sulphide, or nitrite levels in sediment at the edge of the AZE in comparison to control site.</p> <p>Applicability: All farms except as noted in footnote 2.1. Farms that have not yet defined an AZE, within 3 years from the publication of the Series and Code Standard.</p>	<p>A. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment sampling stations. If the farm uses a site-specific AZE, provide justification for its selection. Over the AZE, DO not place (that have not yet defined an AZE and/or up to 20m from the publication of the Series and Code Standard).</p> <p>B. Prepare a map of the farm showing GPS locations of all sediment sampling stations.</p> <p>C. If a benthic indicator is used, provide evidence to the CAB and request a minimum of 2, 2m, and 2.2.</p> <p>D. Confirm the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</p> <p>E. Collect sediment samples using an appropriate methodology and sampling regime, following the guidance in the Series and Code Standard (i.e. at the time of peak cage biomass and at all required times).</p> <p>F. For option #1, measure and record nitrite potential (NP) in surficial sediment samples taken from immediately outside the AZE as well as at an impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>G. For option #2, measure and record sulphide concentration (S₀) in surficial sediment samples taken from immediately outside the AZE as well as at an impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>H. For option #3, measure and record Total Organic Carbon (TOC) in surficial sediment samples taken from immediately outside the AZE as well as at an impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p>	<p>A. Review map to verify appropriate siting of sampling stations and evidence (where applicable) to justify use of a site-specific AZE.</p> <p>B. Review evidence of benthic type and confirm whether to proceed to 2.1.1c.</p> <p>C. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that TOC levels for surficial sediment samples taken immediately outside the AZE are not significantly different (95% C.I.) from the nitrite potential of surficial sediments sampled from an un-impacted control site far removed from the farm.</p> <p>D. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that sulphide concentration of surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.</p> <p>E. Confirm that the testing method used by the farm is appropriate. Review results to verify statistically that TOC levels for surficial sediment samples within the AZE are not significantly different (95% C.I.) to levels recorded for stations at an un-impacted control site far removed from the farm.</p>
<p>Allowable Zone of Effect (AZE) defined under this standard as either: (a) an area around the outside of the net pen with a radius equal to the depth of the water, or (b) if a single point mooring is used, then the area defined by the arc of the mooring plus 30m. For a land-based production system, it is assumed that there is no significant effect outside of the audit site there is no need for an AZE however it is desirable for the operator of a land-based production system to make an impact assessment beyond the audit site.</p> <p>Note: An actively monitored method for determining adequate sampling. The area to be monitored a rigorous experimental design which should specify # of grabs, control sites, how the AZE was defined, number of sampling sites and intervals as well as variance ratio.</p>			
2.1.2	<p>Indicator: Absence of harmful (to water or reefs) microfauna immediately outside of AZE attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in harmful microfauna at the edge of the AZE in comparison to control site.</p> <p>Applicability: All farms except as noted in footnote 2.1. Farms that have not yet defined an AZE, within 3 years from the publication of the Series and Code Standard.</p>	<p>A. Prepare a map showing the AZE and sediment collection stations (see 2.1.1).</p> <p>B. Develop appropriate benthic faunal sampling strategy, procedures and protocols or provide evidence that contractor have used appropriate sampling strategy, procedures and protocols.</p> <p>C. Collect sediment samples in accordance with sampling strategy.</p> <p>D. Analyze sediment and faunal components of sediment samples including identification to species level and enumeration of all species, for all sampling stations.</p> <p>E. Estimate proportions of all faunal species present in sediments immediately outside the AZE and at an un-impacted control site far removed from the farm and verify significance in difference (95% C.I.) to presence of opportunistic species, and species that are considered to be indicators of benthic enrichment on the farm.</p>	<p>A. Review the monthly benthic sampling monitoring procedure and verify whether it is fit for purpose.</p> <p>B. Examine appropriateness of benthic faunal sampling strategies, procedures and protocols.</p> <p>C. Confirm sample collection methodology.</p> <p>D. Review summary analysis data for each sampling station.</p> <p>E. Review results to confirm status of finding. Differences in faunal community immediately outside the AZE and at an un-impacted control site far removed from the farm must be statistically significant difference (using 95% C.I.).</p>
<p>Objective 2: Benthic biodiversity and benthic indices</p>			
<p>Indicator to Clients and CABs on Objective 2.2: water quality in and near site of operation</p> <p>Water quality monitoring should be undertaken monthly. If after 12 months there is no significant difference between sample sites and control sites, sampling should be undertaken on an annual basis. Turbidity should be measured using consistent procedures such as standardized methods for sampling total suspended solids (TSS) or a secchi disk at defined depths. Both should be measured 1 hour after feeding and when biomass is highest (if sampling annually).</p> <p>Requirement: No significant change in water quality in and near site of operation.</p> <p>Applicability: All farms except as noted in footnote 2.1. Farms that have not yet defined an AZE, within 3 years from the publication of the Series and Code Standard.</p>			
2.2.1	<p>Indicator: Turbidity levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in turbidity levels in the water column at the edge of the AZE in comparison to control site.</p> <p>Applicability: All.</p>	<p>A. Develop appropriate and detailed turbidity monitoring procedure with detailed maps of sampling points and methodology.</p> <p>B. Measure and record turbidity initially on a monthly basis at the edge of the Allowable Zone of Effect (AZE) and at one or more control sites far removed from an impacted farm influence.</p> <p>C. Conduct analysis of turbidity data for statistically significant difference (95% C.I.) between turbidity at the edge of the AZE and at one or more control sites far removed from an impacted farm influence.</p> <p>D. Provide results of statistical analysis for initial 12 month turbidity monitoring.</p> <p>E. Implement annual turbidity monitoring procedure.</p>	<p>A. Review the monthly turbidity sampling monitoring procedure and verify whether it is fit for purpose.</p> <p>B. Verify that monthly monitoring of turbidity procedure is in place or that the procedure has been completed for a 12 month period ending within 6 months prior to initial ASC audit.</p> <p>C. Verify that an appropriate statistical analysis has been carried out.</p> <p>D. Determine whether turbidity monitoring indicates a significant difference in turbidity between sampling locations at the edge of the AZE and at an un-impacted control site far removed from the farm.</p> <p>E. Collect and review evidence that there is an ongoing turbidity monitoring procedure in operation.</p>
<p>Objective 2: Benthic biodiversity and benthic indices</p>			
<p>Indicator to Clients and CABs on Objective 2.2: water quality in and near site of operation</p> <p>Ammonia levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in ammonia levels in the water column at the edge of the AZE in comparison to control site.</p> <p>Applicability: All.</p>			
2.2.2	<p>Indicator: Ammonia levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in ammonia levels in the water column at the edge of the AZE in comparison to control site.</p> <p>Applicability: All.</p>	<p>A. Develop appropriate and detailed ammonia monitoring procedure with detailed maps of sampling points and methodology. The monitoring action must be appropriate for the size and scale of the impact and the farm can prove impact over a year then don't have to monitor so frequently afterwards.</p> <p>B. Measure and record ammonia initially on a monthly basis at the edge of the Allowable Zone of Effect (AZE) and at an un-impacted control site far removed from the influence of a farm.</p> <p>C. Conduct analysis of ammonia data for statistically significant difference (95% C.I.) between ammonia levels at the edge of the AZE and at one or more control sites far removed from any potential farm influence.</p> <p>D. Provide results of statistical analysis for initial 12 month ammonia monitoring.</p> <p>E. Implement annual ammonia monitoring procedure.</p>	<p>A. Review the ammonia sampling monitoring procedure and verify whether it is fit for purpose.</p> <p>B. Verify that monthly monitoring of ammonia procedure is in place or that the procedure has been completed for a 12 month period ending within 6 months prior to initial ASC audit.</p> <p>C. Verify that an appropriate statistical analysis has been carried out.</p> <p>D. Verify whether or not there is a significant difference in ammonia levels at sampling stations at the edge of the AZE and at an un-impacted control site far removed from the influence of a farm.</p> <p>E. Collect and review evidence that there is an ongoing ammonia monitoring procedure in operation.</p>
<p>Objective 2: Compliance with applicable national, regional and local laws and regulations</p>			
<p>Indicator to Clients and CABs on Objective 2.1: Interactions with critical sensitive habitats and species</p> <p>Farms cannot be located in an protected area that does not allow economic activities that are incompatible with the management and conservation goals of the protected areas—this falls under the concept of Principle 2 related to obeying the law.</p> <p>Compatibility with the goals of a protected area shall be guided by the outcomes of the assessment conducted for 2.1.1.</p> <p>Risk assessments for impacts of farming activity on biodiversity should identify the receptor (affected habitats/species), risk causing activity, mechanism of impact/harm, frequency of occurrence and likely outcomes. Where appropriate, mitigation measures should be identified. Risk assessments should aim to result in overall negligible or low levels of risk to critical, sensitive or protected habitats and species.</p>			
2.1.1	<p>Indicator: Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains, at a minimum, a) identification of potential impacts to critical, sensitive or protected habitats and species, b) description of the potential impacts the farm might have on biodiversity, with a focus on affected habitats or species, and c) a description of strategies and current and future programs underway to eliminate or minimize any identified impacts the farm might have.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>A. Collect documentation that allows an interpretation of the farm's location in the context of biodiversity and nearby ecosystems that may be at risk from under assessment farm related impacts. The monitoring action must be appropriate for the size and scale of the potential impact of the farm and the farm can prove low impact over a year then don't have to monitor so frequently afterwards.</p> <p>B. Complete a detailed risk assessment for potential impacts of the farm on critical, sensitive and protected habitats and species. Demonstrate how the farm has strategies and programs in place that are designed to minimize or eliminate negative impacts on species and habitats.</p>	<p>A. Review documentary evidence provided and determine whether the farm has a solid and detailed understanding of the geographical distribution, nature and extent of biodiversity and ecosystems in the areas surrounding the farm that may be at risk of under assessment farm related impacts. Evaluate whether the assessment is appropriate for the scale and intensity of the operation.</p> <p>B. Review the risk assessment for potential impacts on biodiversity and confirm plausibility of predicted outcomes for any proposed mitigation strategies or programs.</p>

		Collect independent evidence that confirms the level of interaction and/or impact of the farm on critical, sensitive or protected habitats and species. Evidence should include stakeholder consultation.	C. Review evidence provided and/or discuss with independent stakeholders.
	Indicator: Allowance for the farm to be listed as a legally designated protected area. Requirement: None (see note above). Applicability: All.	Note: The following exceptions shall be made for Standard 2.3.2: [1] no protected areas classified by the International Council for the Conservation of Nature (IUCN) as Category V or VI; [2] no designated protected areas if the farm can demonstrate that its environmental impacts are compatible with the objectives of the protected area designation. The burden of proof would be placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been identified as a protected area. [3] for farms that pre-date the designation of a MPA. NOTE: The guidelines on collecting spatial data for ASC can be found on https://www.asca.org/resources/for-farms/gis-portal/	
2.3.2		a. Provide geographical information system (GIS) files according to ASC guidelines (see note above) showing the boundaries of the farm relative to nearby protected areas. b. If the farm is listed as a legally protected area, review the scope of applicability of Indicator 2.3.2a. (see Note above) to determine if the farm is eligible. If yes, Indicator 2.3.2 is not applicable. c. Demonstrate that the farm does not conflict with or interfere with the operation or integrity of designated parks, limited-use protected areas or national conservation areas.	A. Review GIS files and cross-check against independent information sources (e.g., ASC GIS vapp) to determine if the farm is listed in a protected area. B. Review the applicability of the exception requested by the farm together with the supporting evidence to determine if the farm is eligible. If yes, Indicator 2.3.2 is not applicable. C. Verify from supporting documentation and information that the farm does not conflict with or interfere with the operation or integrity of designated parks, limited-use protected areas or national conservation areas and that the farm has obtained any required operational consent if listed in or adjacent to such an area (see 2.4.2).

Footnote 2.3.2: "To clearly identify geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values." Source: Dudley, N. (Ed.) (2008). Guidelines for Applying Protected Area Management Categories. Gland, Switzerland: IUCN.

Criterion 2.4: Protection of biodiversity, including production

2.4.1	Indicator: Accurate detector devices allowed. Requirement: None. Applicability: All.	a. Prepare a written statement affirming that the farm's management is committed to not using accurate detector devices (ACDs) or accurate harassment devices (AHDs) for control of native pests and/or predators. b. Compile documentary evidence to show that no ACDs or AHDs are used on the farm (e.g., predator and pest control procedures and evidence of implementation).	A. Confirm that farm management has prepared a written statement of commitment to the total non-use of accurate ACDs and/or AHDs. B. Review documentary evidence (e.g., predator management policies and control procedures, records of predator incidents) and cross-check against interviews with farm staff and local stakeholders. C. During the on-site audit, inspect the farm to confirm whether any ACDs or AHDs are present or in use at the facility. D. Review species list and each independent verification of completeness.
2.4.2	Indicator: Number of mortalities ¹ of endangered or red-listed animals in the farm lease area and adjacent areas due to farm operations or personnel or activities. Requirement: Yes. Applicability: All.	a. Provide a list of endangered and red-listed animals occurring in the farm lease area and surrounding areas. b. Produce a documented record of the farm's impact on biodiversity and nearby ecosystems. Detail species/habitats, spatial/temporal aspects, type of interaction and outcome. c. Establish list of predators and pests requiring control. Identify clearly the permitted categories/pests/predators and measures that must be kept.	A. Review species list and each independent verification of completeness. B. Verify the actual level of impact on biodiversity through discussion with farm staff. C. Verify that the farm does not permit lethal management of endangered or red-listed species in documentary records. If appropriate, corroborate evidence through discussion with farm staff and/or independent parties. D. Verify mortalities over the current production cycle; mortalities exclude a farm for 2 years from the time of the event.
2.4.3	Indicator: Evidence that the following steps have taken prior to lethal action: a) non-endangered or non-red-listed predator; b) all other animals were removed prior to using lethal action; c) approval was given from a senior manager above the farm manager. Requirement: Yes. Unless human safety is immediately threatened.	Note: While every effort should be made to avoid lethal action and to take appropriate measures prior to any lethal action, the safety of workers should not be compromised. In an instance where worker safety is at immediate risk, lethal actions are allowed under this standard. However, 2.4.6 mandates that adaptive management fully investigate the reasons for lethal action, and therefore the farm should fully analyze the reasons, research why human safety was compromised, and take appropriate measures to avoid recurrence. a. Provide a company document that sets the procedure that must be followed prior to lethal action. b. Maintain a log of predator control events that allows for verification of adherence to company procedures regarding predator control.	A. Review the farm lethal predator management procedure to ensure that protocol meet with ASC Code and Service standard requirements. B. Review the predator control log and verify if company procedures are implemented and adhered to in all cases of lethal predator management. C. Interview staff and/or stakeholders during the on-site audit with respect to procedures for managing predator.

2.4.4	Indicator: Evidence that information about any lethal incident on the farm has been: 1. Reported to the appropriate government oversight agency. 2. Made readily publicly available. Requirement: Yes. Applicability: All.	a. Demonstrate that details on lethal predator management events have been transmitted to appropriate (most relevant government oversight agency). b. Demonstrate that details on lethal predator management events are made available to the public.	A. Confirm through documentation review or communication with relevant persons that lethal incidents have been reported to appropriate (most relevant government oversight agency). B. Validate that the evidence provided by the farm is accessible for local stakeholders (i.e., online and on the company website) to the extent that the company does not have a website then a proxy website/ acceptable as long as it is publicly available on the internet).
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2.4.5	Indicator: Maximum number of lethal incidents ² on farm over the prior two years. Requirement: For birds: 4 lethal incidents. For sharks: 2 lethal incidents. Applicability: All.	a. Maintain log of lethal incidents for a minimum of two years. For first audit, 1 month of data are required. b. Calculate the total number of lethal incidents involving different species or groups of species (e.g., sharks, birds, marine mammals) during the previous two-year period. c. If the farm can demonstrate valid publicly available research that whatever is killed is hindering the recovery of any population then it may be exempt from the set requirement number in this indicator.	A. Review log. B. Verify that over the previous two years there were: <4 lethal incidents of birds, <2 lethal incidents for sharks and <1 lethal incident for marine mammals. C. Auditor to review the species list, research undertaken and supporting evidence to determine whether the farm is reporting valid species ability to recover its population.
2.4.6	Indicator: In the event of any lethal incident, evidence that an assessment of the probability of future incidents ³ has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidents. Requirement: Yes. Applicability: All.	a. Carry out a risk assessment of lethal incidents and review risk assessment and procedures (see 2.3.1) if necessary / as appropriate. b. Demonstrate through revision of procedures that management of predators is continually being reviewed with a view to minimizing the need for lethal management.	A. Examine audit evidence that shows whether risk is updated and if predator management procedures are revised in accordance with changes in risk or efficacy of management. B. During the on-site audit, discuss predator management with QSOs in order to verify that any changes in procedure have been implemented.

Footnote: includes animals intentionally killed through lethal action as well as accidental deaths through entanglement or other means.
¹ Species listed as endangered or critically endangered by the IUCN or as a national endangered species list.
² Lethal action: Action taken to deliberately kill an animal, including marine mammals and birds. Lethal action is allowed for endangered or red-listed animals as covered in 2.4.2.
³ Lethal incidents include all intentional and unintentional, farm-related lethal actions, to include but not limited to, entanglements and other accidental mortalities, excluding farm stock.

Criterion 2.5: Culture of non-native species

Non-reliance on Chemicals and Oils, an Exception to Criterion 2.1
Farms sites for which there is no release into the natural (freshwater or marine) environment of water that may contain pathogens are exempt from the requirements under Criterion 2.1. However, farms are only eligible for exemption from Criterion 2.1 if it can be shown that either of the following holds:
1) Species are reported periodically and the farm does not release any water to the natural environment; or
2) Any effluent potentially containing biological matter released by the farm to the natural environment is not released directly and without prior effective treatment to all pathogens (e.g., UV and/or chemical treatment of water with testing demonstrating efficacy).
Auditors should fully document the evidence for any exemptions to 2.1 in the audit reports.

2.5.1	Indicator: Culture of non-native species. Requirement: None. Applicability: All.	Note: Culture of non-native species is not within the scope of the code and service standard, unless commercial farming of the species already occurs in the region at the time of the first publication of the SCRI standard, or a closed land-based production ⁴ system with 100% risk of escapes/pest and pathogen transfer to wild populations is used. Furthermore, the use of alternatives to chemical treatments for farm management, such as the use of cleaner fish for ectoparasite control in aquaculture, is permitted and encouraged under the SCAG standards. However, any seaweed, cleaner fish or other species used for management during production must be native species in order to prevent introduction of new species areas. a. Confirm to the CAB that the farm produces only native species OIE. b. If a non-native species, provide verifiable evidence that the species was being legally cultured commercially in the country and/or region (state) prior to the publishing of the variable and code standard in 2023 OI. c. If the farm cannot provide evidence for 2.5.1b, provide documented evidence that the production system is closed to the natural environment and for each of the following: (1) non-native species are separated from wild fish by effective physical barriers that are in place and well-maintained; (2) barriers ensure there are no escapes of mixed fish populations that might survive and subsequently reproduce; and (3) barriers ensure there are no escapes of biological material that might survive and subsequently reproduce (e.g., UV or other effective treatment) by treating effluent water prior to entering the system to the natural environment.	A. Confirm the farm does not produce a non-native species by comparing indigenous species to the species under cultivation. Cross-check species under cultivation against a sample of marine fauna species of proximity to the farm. Auditors may refer to online resources including fishbase.org to obtain descriptions of different species. B. Review evidence that the non-native species was being farmed legally commercially cultured in the country prior to publication of the variable and code standard. Verify through interviews/discussion with independent and/or regulatory agencies. C. Review evidence that the farm complies with each point raised in 2.5.1c and confirm by inspection during on-site audit. Cross-check against national farm records.
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Criterion 2.6: Identification of transgenic species

2.2.1	Indicator: Culture of transgenic fish on the farm. Requirement: None. Applicability: All.	a. Prepare a declaration stating that the farm does not use transgenic stock. b. Maintain records for the origin of all cultured stocks including stocking date, supplier details, and contact person(s) for stock purchases. c. Ensure stock purchase/origin documentation clearly identifies genetic status and whether stock is transgenic or not.	A. Verify declaration of no use of transgenic stock. B. Review records to confirm compliance with stock origin record keeping requirements. C. Review stock purchase/origin documentation. If the auditor suspects that transgenic fish are being cultured, but stock identity is unclear, fish are sent to an ISO 17025 certified laboratory for genetic testing.
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⁴ Commercial: If a species is cultured as a part of a permitted research trial, it will not be considered an existing commercial operation.
⁵ The SC assumes land-based systems not to directly discharge into receiving body.
⁶ The SC assumes that wastewater will not be substituted as a result of escapes.
Generally, research trials will contain no more than one pair of an experimental species.

Criterion 2.7: Escapes

2.7.1	Indicator: For all fish, the operation must have an established plan related to escape management, and adhere to appropriate maintenance procedures and frequent net inspections. Requirement: Yes. Applicability: All.	a. Prepare a Stock Escape Prevention and Management Plan that includes a detailed farm operations and assessment and submit to the CAB prior to the first audit. The plan should explicitly detail what maintenance procedures are critical and important in the context of avoiding escapes, including but not limited to farm equipment maintenance and frequency of net inspections. b. If the farm operates an open-pen system, ensure the plan (2.7.1a) clearly identifies the operational and critical issues in the context of minimizing escape events; and sets out clear procedures for ensuring: - net strength testing; - use of appropriate net mesh size; - net durability; - system robustness; - predator management; - record keeping; - reporting risk events (e.g., holes, infrastructure issues, handling errors); - staff training to cover all of the above areas; and - staff training on escape prevention and coxing technologies. c. If the farm operates a closed system, ensure the plan (2.7.1a) clearly identifies the important and critical issues in the context of minimizing escape events; and sets out clear procedures for ensuring: - system robustness; - predator management; - record keeping; - reporting risk events (e.g., holes, infrastructure issues, handling errors); - staff training to cover all of the above areas; and - staff training on escape prevention and coxing technologies. d. Maintain records as specified in the plan. e. Train staff on escape prevention planning and management as per the farm's plan.	A. Obtain and review the farm's Stock Escape Prevention and Management Plan prior to conducting the first audit. B. Confirm the farm's Escape Prevention and Management Plan contains all required elements. C. Confirm the farm's Escape Prevention and Management Plan contains all required elements. D. Review documentary evidence showing implementation of the plan. E. Review records (i.e., attendance records, meeting notes) to confirm that farm staff attend training on escape prevention and management. F. Interview farm workers to confirm that the plan is implemented.
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Non-reliance on Estimating Losses to Credits for Indicator 2.2.2: Calculation of unrecorded stock escape. The unrecorded losses (except if fish is cultured at the end of each production cycle as follows:
Unrecorded stock escape = (stocking count) - (harvest count) - (mortality) - (recorded escape).
Units for input variables are number of fish (i.e., counts) per production cycle.

2.2.2	Indicator: Operations will undertake and maintain detailed records on fish escapes and coxing. This will include records of breaches in nets, estimates on escapes and stocked or recovered fish counts. These records will also include technology and methodology for undertaking fish counts. Requirement: Yes. Applicability: All.	a. Maintain detailed records for mortalities, stocking count, harvest count (recaptured fish), and details of escape events and possible escapes (e.g., through holes in nets). b. Calculate the unrecorded stock escape as described in the instructions (above) for the most recent full production cycle. For first audit, farm must demonstrate understanding of calculation and the requirement to calculate unrecorded losses after harvest of the current cycle. c. Make the results from 2.7.1 available publicly. Keep records of when and where results were made public (e.g., data posted to a company website) for all production cycles.	A. Review farm records for completeness. B. Verify accuracy of farm calculations for unrecorded stock losses. C. For instance made available to farm's website. If farm does not have a website or if more than the owning company's website (if farm is owned by other entity) is also acceptable. Alternative websites may also be acceptable (if deemed sufficient) accessible and clear about the fact to the farm by the auditor. The auditor must also make the results available to the audit report posted on the ASC website.
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2.2.3	Indicator: For selectively bred stock 14 or less non-selectively bred stock not from local sources 20 or less wild fish/eggs not from local sources more than do not apply. Requirement: No. Applicability: All.	a. Determine whether stocks under culture are selectively bred, non-selectively bred but not from local sources or are from wild fish/eggs not collected locally. If none of these apply, requirements 2.2.3.3.1-d do not apply. b. Where appropriate, maintain monitoring records of all incidences of confirmed or suspected escapes, specifying date, cause, and estimated number of escapes. c. Where appropriate, aggregate cumulative escapes (levels and numbers) of all stocks in the most recent production cycle. d. Where appropriate, maintain the monitoring records described in 2.2.3.3.1c for at least 10 years beginning with the production cycle for which farm is farm applying for accreditation.	A. Review documents that show the origin of all stocks and cohorts under cultivation. B. Review escape records for completeness and accuracy of information. Cross-check with the estimate of unrecorded loss, maintenance records for nets, predator attacks, etc. C. Review the calculation and confirm compliance with the requirement. D. Confirm that farm procedures and records demonstrate ongoing and continuous monitoring and recording of escapes as well as ensure the new farm grow use in escape.
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<p>Indicator: All escape events of farmed Senzola or Colba are reported to the competent regulatory agency. Requirement: Yes. Applicability: All.</p>	<p>a. Document details of reportable escape events and required escape events. Make available details of reportable escapes and make results from 3.3.2 available to regulatory agencies. In absence of regulatory requirement keep the data and make it available for ASC on request.</p>	<p>A. Verify that reportable escape events have been communicated to the relevant agencies (or maintained in the absence of agencies). Cross-reference the farm claim over escapes by contacting the relevant agency until a confirm detail of reporting.</p>
<p>3.3.4</p>		<p>B. List of escape events in the publicly available audit report.</p>

- "Selectively bred stock" is a fish which has been subject to a conscious selection process in breeding and whose attributes differ from wild counterparts.
- Definition for "non selectively bred stock": fish where either (a) the parents are from the local wild stock gene pool, or (b) where F1 and subsequent generations have not been subject to any conscious selection process. No more than F2 with active selective breeding.
- A few exceptions to this standard may be made for an escape event that is clearly documented as being outside the farm's control. Only one such exceptional episode allowed per year for the purposes of this standard. The 23 year period starts at the beginning of the production cycle for which the farm was initially certified.

Section 4.2: Collection of Fingerings

<p>3.4.1</p>	<p>Indicator: Evidence that purchased or collected wild fingerings are harvested from a source fishery with a public fishery assessment, for example Fisheries or a credible fisheries improvement process (FIP) board, an ISCAL compliant fisheries sustainability certification scheme. Requirement: Yes. Applicability: All.</p>	<p>a. Provide details of source fishery from which fingerings are taken. Provide supporting documentation including purchase orders, invoices, delivery notes etc. that attest to the origin of wild fingerings. b. Provide FAFSource score (www.FAFSource.com) for wild fingerings fishery or evidence of MSC certification. If FAFSource score or MSC certification not available, then proceed to 3.4.1.1. c. Demonstrate to audit team that the wild fingerings source fishery is a credible Fisheries Improvement Programme towards an ISCAL compliant fisheries certification scheme.</p>
<p>3.4.2</p>	<p>Indicator: Traceability of wild or hatchery produced or collected fingerings to their source. Requirement: Yes. Applicability: All.</p>	<p>a. Provide details of hatchery or fishery from which fingerings are obtained. Provide supporting documentation including purchase orders, invoices, delivery notes, stocking records etc. that attest to the origin of all stock present on the farm. b. During the onsite audit discuss the origin of stocks present with farm staff and cross check with documentation provided at 3.4.2a.</p>

<p>4.1.1</p>	<p>Indicator: Evidence of traceability, demonstrated by the feed producer of: Requirement: Yes. Applicability: All.</p>	<p>a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase (supplier) records. b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to production of feeds and send them a copy of the ASC Senzola and Colba Standard. c. For each feed producer supplying the farm, confirm that an independent third party audit of the producer was recently completed against an ISCAL compliant standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer. d. Obtain declaration from feed producers and suppliers stating that the company can assure traceability of all farmed and fish oil ingredients used in making senzola and colba diets.</p>
<p>4.1.2</p>	<p>Indicator: Use of wet feed and moist pellets. Requirement: All. Applicability: All.</p>	<p>a. Maintain records of wet fish and moist pellet use on the farm, where the fish content originated from and where it was caught.</p>

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: All FAFSource (FIP) and FAFSource (FIP) for Senzola (calculated using formulae in Appendix 1), FAFSource (FIP) for Colba (calculated using formulae in Appendix 1), FAFSource (FIP) for Senzola (calculated using formulae in Appendix 1), FAFSource (FIP) for Colba (calculated using formulae in Appendix 1).
Requirement: All FAFSource (FIP) > 2.0 (Senzola) and FAFSource (FIP) > 2.0 (Colba).
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

Section 4.2: FAFSource and FAFSource (FIP)

Indicator: Use of wet feed and moist pellets.
Requirement: All.
Applicability: All.

* Specifically, the policy shall include that vegetable ingredients, or products derived from vegetable ingredients, must not come from the Amazon Basin as geographically defined by the Brazilian Soya Moratorium.
† Companies: Carrying genes already inventoried by CBH from an unrelated species. Taking genes from one species and inserting them into another species to get that trait expressed in the offspring. The SC notes that there is currently no credible evidence of food safety or environmental detriment from GMQ applications.

ANNEX 6. PRODUCTION MANAGER'S CERTIFICATE AND COLLECTIVE MANAGEMENT PLAN ON-OR OFF-FARM ANTIBIOTIC

Criterion	Indicator	Requirement	Applicability	Compliance Criteria
6.1.1	Indicator: Commitment to participate in an Ase-Based Management (ABM) scheme. Requirement: The farm participates in an ABM, where it exists, for managing disease and resistance to treatments. Applicability: All	1. Review records of farm participation in an ABM scheme and demonstrate active scheme activity. 2. Submit to the CAB a description of how the farm (incubator, management of disease and inclusion to treatment), to receive: medication of raising, housing, farm's treatment, and information sharing. 3. Provide the CAB access to documentation which is sufficient for the auditor to evaluate the ABM compliance with definition of an ABM as participation in the scheme, components, and coordination requirements.	A. Review records of farm participation in a scheme. Contact other ABM participants in necessary to confirm the accuracy of farm records. Review evidence of active scheme in the farm. B. Review description of ABM to verify that the management activities include those stated. C. Evaluate documents to confirm the ABM.	
6.1.2	Indicator: A demonstrated commitment ^{†††} to collaborate with NGOs, academia and governments on areas of mutually agreed research to measure possible impacts of pests or parasites on wild stocks. Requirement: Yes. Applicability: All	1. Review records to show how the farm and/or its operating company has communicated with external groups (NGOs, academia, governments) to agree on and collaborate towards areas of research to measure impacts on wild stocks, including records of requests for research support and collaboration and responses to those requests. 2. Provide non-financial support to research activities in 5.1.2a by either: providing researchers with access to farm data; or - facilitating research activities in some equivalent way. 3. When the farm and/or its operating company denies a request to collaborate on a research project, ensure that there is a written justification for rejecting the proposal. 4. Maintain records from research collaborations (e.g. communications with researchers) to show that the farm has supported the research activities identified in 5.1.2a.	A. Review evidence that the farm and/or its operating company has communicated with external groups to agree on areas of research about possible impacts on wild stocks and its trading and responding to research requests. B. Review how the farm and/or its operating company has provided non-financial support for research activities. C. As applicable, review the provided record of rejecting proposals to confirm that details were justified and there is no consistent pattern to indicate that the farm and/or its operating company lacks a demonstrated commitment to collaborate on research activities. D. Verify that the farm's communications with researchers demonstrate a commitment to collaborate on relevant areas of research.	
6.1.3	Indicator: On-farm testing for endoparasites, with test results made easily publicly available. Requirements: Yes, with results made easily publicly available within seven days of testing. Applicability: All	1. Prepare an annual schedule for endoparasite testing that identifies conditions of testing being feasible. 2. Maintain records of results of endoparasite testing for endoparasites. If the results from testing due to evidence: maintain documentation of waste and resources. 3. Document the methodology used for testing endoparasites. Testing includes both monitoring and identifying endoparasites, but not just testing without an observational term. Follow appropriate sample size, use random sampling, and record the number of fish after the measurement. Efficiency of the testing system used should be as low as an alternative method (e.g. video) that provide for CAB with access on the method and efficacy of the method. 4. Make the testing results from each public access to a portal on the company's website/active social day of testing of approved public stakeholders to be made public. 5. Keep records of when and where test results were made public. 6. Submit test results to CAB on one year per year.	A. Review endoparasite testing schedule to confirm regular testing. B. Review records to confirm that testing follows the farm's annual schedule. Review the details for any endoparasite testing details. C. Review the farm's methodology for testing endoparasites. If applicable, observe testing when on-site. If from a third party, review an alternate testing method, document the detection and remove evidence of efficacy of the method. D. Test access from an affine partner to confirm that results are easily publicly available. If applicable, confirm that the farm has both a public access to results and access to stakeholders. E. Review records for the past year to confirm the farm posted test results within 7 days of each test. Check dates against testing schedule. F. Customer must have submitted test results to CAB.	

* Commitment: At a minimum, a farm and/or its operating company must demonstrate this commitment through providing farm-level data to researchers, granting researchers access to sites, or other similar non-financial support for research activities. Posting results on a public website is an example of "easily publicly available."

ANNEX 6.2 Chemical treatments

Criterion	Indicator	Requirement	Applicability	Compliance Criteria
6.2.1	Indicator: Use of therapeutic treatments that are banned by law under the local jurisdiction or listed as critically important for human medicine by the World Health Organization. Requirement: Not permitted. Applicability: All	1. Maintain a current version of the WHO list of antimicrobials critically and highly important for human health. 2. Maintain a list of therapeutic uses of which in fish aquaculture are banned by law and also maintain a list of therapeutic uses of which in fish aquaculture are permitted by law. 3. If the farm has used antimicrobials listed as critically important to human health and/or has used therapeutic uses that are banned in fish culture to treat any fish during the current production cycle, inform the CAB with the following details: a. If yes to 3.2, request an exemption to the requirement of 6.2.1 from the CAB in order to verify only that portion of production that complies with the indicator. Prior to the audit, provide the CAB with records sufficient to establish details of treatment, which holding facilities were treated, and how the farms will ensure full traceability and separation of treated fish through tagging. 4. Keep records of when and where test results were made public.	A. Confirm that the farm has the current copy of the WHO list of antimicrobials. B. Confirm that the farm bans this. C. Make note of the farm's critical antimicrobials and/or banned therapeutic usage and do not schedule an on-site audit until the client provides additional information that will permit request of exemption to 5.2.1 and 5.2.2d. D. Review the farm's exemption request and supporting documents to verify that the farm can satisfactorily demonstrate responsibility to meet an exemption.	
6.2.2	Indicator: Prophylactic use of chemical antimicrobial treatments (including antibiotics) for disease prevention. Requirement: Not permitted. Applicability: All	1. Maintain records for all purchases of chemical antimicrobials (injection, pre-mixtures) for the current and preceding production cycles (see also 5.2.1 and 5.2.2). 2. Maintain a recordkeeping of all medication-related events (see also 5.2.1 and 5.2.2). 3. Calculate the total amount (g) and treatments (h) of chemical antimicrobials used during the current and preceding production cycles (see also 5.2.1).	A. Review purchase records and calculate total amount of chemical antimicrobials procured by client. Request storage access to verify quantities on-site. B. Review log of medication events to verify that the quantity of chemical antimicrobials applied by the client does not suggest prophylactic use. C. Verify that the total amount of chemical antimicrobials used in the current production cycle is equal to the total amount procured.	
6.2.3	Indicator: Farms have a comprehensive fish health management plan approved by the farm's designated veterinarian that includes either a vaccination against diseases that present a risk in the region and for which effective and commercially viable vaccine exists, or if no vaccine is approved alternative fish health management strategies. Requirements: Yes. Applicability: All	1. Prepare a fish health management plan that responds to components related to identification and monitoring of fish disease and parasites. The plan may be part of a more comprehensive farm planning document. 2. Ensure that documentation is available to verify that the fish health management plan includes mandatory procedures for either: a. vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists, OR b. veterinarian-approved alternative fish health management strategies. 3. Ensure that the farm's current fish health management plan was reviewed and approved by the farm's designated veterinarian. 4. Demonstrate that the farm complies with World Organization for Animal Health (OIE) regulations relating to transfer of fish pathogens. Specific pathogen free status and quarantine status (see http://www.oie.int/inter/national-standards/getting-to-aquatic-codes/access-online/).	A. Obtain and review the farm's fish health management plan. B. Review evidence that procedures for vaccination of stock as identified in the fish health management plan are routinely implemented, and/or that approved alternative fish health strategies are implemented. C. Verify there is evidence to show that the farm's designated veterinarian reviewed and approved the current version of the plan. D. Verify that the farm has documented and implemented procedures aimed at achieving and demonstrating compliance with the OIE Aquatic Animal Health Code.	
6.2.4	Indicator: Allowed form level and parasiticide treatment not including freshwater formalin ^{††††} or hydrogen peroxide. Requirements: None. ^{†††††} Applicability: All	1. Identify permitted and parasiticide that may be applied to stock during the farming procedure in the fish health management plan. Provide Material Data Safety Sheets for all anti-parasiticide products that are used. Only freshwater formaldehyde and hydrogen peroxide is allowed and others are banned. 2. Make a available records relating to all chemical, veterinary and therapeutic supplies. Include invoices including testing results as well as prescriptions and treatment records.	A. Review fish health management plan and procedures relating to use of anti-parasiticide. Review MSDS to verify what chemicals or compounds are applied. Compliance is demonstrated other endoparasite treatments that include other than freshwater formaldehyde and hydrogen peroxide are used as anti-parasitic agents. B. Confirm conformity with the requirement that the farm does not use anti-parasiticide treatments other than those permitted under the standard by review of documentation and interview with farm staff.	

†† <http://www.who.int/bulletin/diseases/prevention/antimicrobials-use/>
††† To countries where formalin is banned, its use would not be permitted under the standard or Principle 1, why all farm takes precaution.
†††† The SC believes that the ASC can make an exception for benign treatments. The ban on the use of formalin for fish health treatment that has no impacts on the surrounding environment or species in the responsibility of the producer.

ANNEX 6.3 Environmental water

Criterion	Indicator	Requirement	Applicability	Compliance Criteria
6.3.1	Indicator: Weekly average percent dissolved oxygen (DO) saturation on farm, calculated on the following methodology: Requirements: 70% saturation. ^{†††††} Applicability: All farms. Exemption can be granted to farms that do not conform to 70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.	Notes on measurement of Dissolved Oxygen The standard require the sampling of dissolved oxygen on the farm site and the calculation of the percent saturation for those samples. [] DO shall be measured: (a) at least once a day and (b) with recognition that DO will vary depending on region and operational parameters. Percent saturation shall be calculated for each sample from the data and a weekly average percent saturation shall result. A limited amount of manual samples due to adverse weather conditions will be considered acceptable: - Sampling one daily shall also be considered acceptable, though not preferred. - DO shall be measured at a depth of 3m at a location where the conditions of the water will be similar to those fish experience. For example, measurements can be taken at the edge of the net pen area, in the downstream direction of the current, or off of a feed shed or housing structure on the site. Measurements shall be taken on the same location at the same time on the edge of the net pen area, in the downstream direction of the current, or off of a feed shed or housing structure on the site. Measurements shall be taken on the same location at the same time on the edge of the net pen area, in the downstream direction of the current, or off of a feed shed or housing structure on the site. Weekly averages shall be calculated and report to the farm's calculation. - Should a farm fall below the 70% weekly average, demonstration of consistency of % saturation with a reference site. The reference site shall be at least 300m from the edge of the net pen area, in a location that is undisturbed by inflow and/or patterns in upwelling to the farm site and is not influenced by nutrient inputs from anthropogenic causes including aquaculture, agricultural runoff, or nutrient releases from coastal communities.	A. Monitor and record on-farm percent saturation of DO at a minimum of once daily using a calibrated oxygen meter or equivalent method. For hot areas, farm records must cover 3 months. The ASC recognizes that it is not always safe to rely on weekly monitoring and there can be programmatic and variable situations to bring. Under no circumstances should water safety be compromised. If, for example, there is bad weather. B. Provide a written justification for any missed samples or deviations in sampling time. C. Calculate weekly average percent saturation based on data. D. At any weekly average DO value less than 70%, or approaching that level, monitor and record DO at a reference site and compare to on-farm levels (see instructions). E. Arrange for auditor to witness DO monitoring and collection while on site.	A. Do not schedule audit until client provides a minimum of 6 months of DO data. B. Review records for completeness and conformity with DO sampling and monitoring methodology. C. Calculate weekly average percent saturation based on data. D. As needed, review DO data from reference site and documents in the audit report (see instructions). E. Witness DO monitoring and verify collection while on site. On-site values should fall within range of farm data for DO. If a local range measurement is observed, note a consistency.
6.3.2	Indicator: Minimum percentage of weekly samples from 5.3.1 that fall under 70%. Requirements: 75%. Applicability: All farms. Exemption can be granted to farms that do not conform to 75% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.	1. Calculate the percentage of on-farm samples taken that are less than 70% saturation DO. 2. Inform CAB if the percentage of on-farm DO measurements that are less than 70% DO is greater than 25%. Provide date for previous 6 months.	A. Review the farm's calculation and confirm that 75% of weekly samples fall under 70% saturation DO. B. Verify that concurrent monitoring of DO for a reference site in place and that there is consistency between readings at farm and reference sites.	

††††† Exception: If farm can document evidence that DO levels do not represent times to cultured animals, as evidenced by DO levels being monitored with a DO meter regularly, with a frequency determined by a qualified veterinarian and remaining above the minimum level, as determined by the designated veterinarian. To determine exact levels, the veterinarian should examine stress hormone levels, FC5 growth rate.

ANNEX 6.4 OTHER FACTORS WITH RESPONSIBLE LABOR PRACTICES

Criterion	Indicator	Requirement	Applicability	Compliance Criteria
6.4.1	Indicator: Number of incidences of child ^{††††} labor. Requirements: None. Applicability: All	A. In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions: 1. In developing countries where the legal minimum age may be set to 14 years ^{†††††} , or 2. In countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed. If the farm operates in a country where the legal minimum age is not 15, then the employer shall maintain documentation attesting to this fact. B. Minimum age of permanent workers is 15 or older (except in countries as noted at 6.1.1a). C. Employer must maintain personnel records that are sufficient to demonstrate conformity with requirements.	A. Young workers are appropriately identified in company policy, training programs, and job descriptions are available for all young workers at the site. B. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs. C. Daily records of working hours (e.g. timesheets) are available for all young workers. D. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours. E. Young workers are not exposed to hazards ^{††††††} and do not perform hazardous work ^{††††††} . Work on floating cages in poor weather conditions shall be considered hazardous.	
6.4.2	Indicator: Percentage of young workers ^{††††} that are protected ^{†††††} . Requirements: 100%. Applicability: All	A. Young workers are appropriately identified in company policy, training programs, and job descriptions are available for all young workers at the site. B. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs. C. Daily records of working hours (e.g. timesheets) are available for all young workers. D. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours. E. Young workers are not exposed to hazards ^{††††††} and do not perform hazardous work ^{††††††} . Work on floating cages in poor weather conditions shall be considered hazardous.	A. Young workers are appropriately identified in company policy, training programs, and job descriptions are available for all young workers at the site. B. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs. C. Daily records of working hours (e.g. timesheets) are available for all young workers. D. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours. E. Young workers are not exposed to hazards ^{††††††} and do not perform hazardous work ^{††††††} . Work on floating cages in poor weather conditions shall be considered hazardous.	
6.4.3	Indicator: Number of incidences where employees are required to provide original identity documents upon commencing employment (except as required for processing of legal documentation). Requirements: None. Applicability: All	A. It must be demonstrated that workers are not required to provide original identity documents except for when and for as long as it is necessary for the purpose of processing legal documentation. B. Conformity will be verified further through discussion with selected staff members during the on-site audit.	A. Contracts shall be clearly stated and understood by employees ^{††††††} and never lead to an employee being indebted, such as employees paying for essential job training programs. B. Employees shall be free to leave the workplace and manage their own time. The employer shall never be permitted to withhold an employee's original identity documents. C. It must be demonstrated that workers are free to leave the employment and workplace and that they are not subject to withholding of payments or denial of any other benefits of employment, or under any other obligations to the employer other than those legal and contractual in nature. D. Conformity will be verified further through discussion with selected staff members during the on-site audit.	
6.4.4	Indicator: Number of incidences where employees are required to provide original identity documents upon commencing employment (except as required for processing of legal documentation). Requirements: None. Applicability: All	A. It must be demonstrated that workers are not required to provide original identity documents except for when and for as long as it is necessary for the purpose of processing legal documentation. B. Conformity will be verified further through discussion with selected staff members during the on-site audit.	A. It must be demonstrated that workers are not required to provide original identity documents except for when and for as long as it is necessary for the purpose of processing legal documentation. B. Conformity will be verified further through discussion with selected staff members during the on-site audit.	

ANNEX 6.5 Identification of the legal production

6.1.1	<p>Indicator: Evidence of comprehensive and pro-active¹⁸ anti-discrimination¹⁹ policies, procedures and practices including, but not limited to, discrimination in the workplace and equal access to all jobs in relation to gender, age, race, religion, creed, caste, or sexual orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: AI.</p>	<p>a. Demonstrate that employer has a written pro-active anti-discrimination policy in place, stating the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.</p> <p>b. Demonstrate that employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints and that these policies are understood and adhered to by staff.</p> <p>c. Demonstrate that employer proactively respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises.</p> <p>d. Demonstrate that all managers and supervisors receive training on diversity and non-discrimination and pro-active tolerance of diversity. All personnel receive non-discrimination training, internal or external through a recognized or proven effective.</p>
6.1.2	<p>Indicator: Number of confirmed incidents of discrimination.</p> <p>Requirement: None.</p> <p>Applicability: AI.</p>	<p>a. Employer maintains a record of all discrimination complaints. Records do not show evidence that the firm discriminates on grounds related to age, gender, religion, race, creed, caste, national origin, national origin, disability, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employee and employee testimonials will be used to confirm that the company does not interfere with the rights of personnel to observe tenets or practices, or to most needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p>
6.1.3	<p>Indicator: Equality of pay, benefits and promotion opportunities for all employees independent of gender, age, race, religion, creed, caste or sexual orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: AI.</p>	<p>a. Include in anti-discrimination policy reference to equality of pay, benefits and promotional opportunities being independent of race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employee and employee testimonials will be used to confirm that the company does not discriminate on pay, benefits or promotional opportunities on the basis of race, caste, religion, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p>
6.1.4	<p>Indicator: Number of incidents where employer dismisses an employee on the basis of marital status or pregnancy or deny employee legal rights to pregnancy or maternity leave.</p> <p>Requirement: None.</p> <p>Applicability: AI.</p>	<p>a. Check human resource records and employee files to verify grounds for dismissal or incidents of denying employee legal rights related to maternity or paternity leave.</p> <p>b. During the on-site audit, interview employees in relation to grounds for dismissal and company performance with respect to the granting of parental leave.</p>

¹⁸Child labor refers to any work by a child younger than age specified in definition of a child, except for light work as provided for in ILO Convention 138, article 7. The conventions permit children between 12 and 17 to work on farms, provided that time for school and play is guaranteed and children are excluded from hazardous, abusive and physically hard work.

¹⁹Child labor: Any work by a child younger than the age specified in the definition of a child.

²⁰Child: Any person under 15 years of age. A higher or varied age if the minimum age law of an area stipulates a higher age for work or mandatory schooling. Minimum age may be 14 if the country allows it under the development country exceptions in ILO convention 138.

²¹Young worker: Any worker between the age of 15 and 18, or between 16 and 18, or under the age of 18.

²²Prohibit: Workers between 15 and 18 years of age will not be exposed to hazardous health and safety conditions; working hours shall not interfere with their education and the combined daily transportation time and school time, and work time shall not exceed 10 hours.

²³Hazard: The inherent potential to cause injury or damage to a person's health (e.g., employment to handle heavy machinery, and employment exposure to harmful chemicals).

²⁴Respirable work: Work that, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morale of workers (e.g., heavy lifting, disempowerment to a person's body, noise, operating heavy machinery, exposure to toxic chemicals).

²⁵Responsible labor: When a person is forced by the employer or another to work to repay a financial debt to the lending agency.

²⁶Forced Compulsory Labor: At work or services that a worker or employee is required to perform for which a person has no official benefit/benefit voluntarily or for which such work or service is demanded as a repayment of debt. "Debt" can imply monetary sanctions, physical punishment or the loss of rights and privileges or benefits of someone (e.g., withholding of identity documents).

²⁷Standard labor: When a person is forced by the employer or another to work to repay a financial debt to the lending agency.

²⁸Employee: An employee is a person who enters an agreement, which may be formal or informal, with an enterprise to work for the enterprise in return for remuneration in cash or in kind. An 'employee' is anyone working on the farm, whether directly employed or indirectly via for example a sub-contractor.

²⁹Discrimination: Any distinction, exclusion, or preference, which has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion, or preference constitutes discrimination. For instance, a merit or performance based pay increase or bonus is not by itself discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.

³⁰Employees that have written anti-discrimination policies stating the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.

³¹Discrimination: Any distinction, exclusion or preference that has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion or preference constitutes discrimination. For instance, a merit- or performance-based pay increase or bonus is not, by itself, discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.

Section 5.4 Work environment health and safety		Compliance Criteria
6.2.1	<p>Indicator: Percentage of employees trained in health and safety practices, procedures and policies relevant to the job.</p> <p>Requirement: 100% for operations above low safety.</p> <p>Applicability: AI.</p>	<p>a. Employer has documented practices, procedures (including emergency response procedures) and policies to protect employees from workplace hazards and to minimize risk of accident or injury. The information shall be available to employees.</p> <p>b. Employees know and understand emergency response procedures.</p> <p>c. Employer conducts health and safety training for all employees on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization, Occupational Safety and Health (OSHA) 101, and other relevant training.</p>
6.2.2	<p>Indicator: Safety equipment (Personal Protective Equipment, PPE) provided and maintained and in use.</p> <p>Requirement: Yes.</p> <p>Applicability: AI.</p>	<p>a. Employer provides workers with PPE that is appropriate to cover health and safety hazards.</p> <p>b. Employees receive annual training in the proper use of PPE. For workers who participated in the initial training(s), previously an annual refresher training may suffice, unless new PPE has been put in use.</p> <p>c. During the on-site audit, employees will be interviewed to confirm the above.</p>
6.2.3	<p>Indicator: All health and safety related accidents and violations are recorded and corrective actions taken when necessary.</p> <p>Requirement: Yes.</p> <p>Applicability: AI.</p>	<p>a. Employer records all health and safety related accidents.</p> <p>b. Employer records and maintains complete documentation for all occupational health and safety events, accidents, violations and investigations.</p> <p>c. Employer implements corrective action plans in response to any accidents that occur. Plans are documented and they include an analysis of root causes, actions to address root causes, actions to implement, and actions to prevent future accidents of similar nature.</p> <p>d. Interview employees in order to determine what procedures are implemented and explain what analysis has been done and what steps were taken on foot of accidents or health and safety related events or concerns.</p>
6.2.4	<p>Indicator: Evidence of employer responsibility and/or proof of insurance (accident or injury) for 100% of workers (not a job related accident or injury when not covered under national law). Requirement: None.</p> <p>Applicability: AI.</p>	<p>a. Employer maintains and makes available documentation to confirm that all personnel are adequately insured to cover risks related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must be provided for all workers including part-time, temporary, migrant or foreign workers. Written context of employer responsibility to cover accident or injury is acceptable evidence in place of insurance.</p>

Section 6.1 Wages		Compliance Criteria
6.5.1	<p>Indicator: Percentage of workers whose basic wage²¹ (before overtime and bonus) is below the minimum wage²².</p> <p>Requirement: 0%.</p> <p>Applicability: AI.</p>	<p>a. Employer keeps documents to show the legal minimum wage in the country of operation. If there is no legal minimum wage in the country, the employer keeps documents to show the industry standard minimum wage. The intention of this indicator is to protect the most vulnerable workers, other staff such as managers may be in kind and are not to be considered as 'workers' for the purpose of this indicator.</p> <p>b. Employer records (e.g., payroll) confirm that workers' wages for a standard work week (48 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show the current wage meets or exceeds industry standard. If wages are based on piece rate or pay-per-product, the employer's records must show how workers can reasonably attain (within agreed working hours) wages that meet or exceed the legal minimum wage.</p> <p>c. Worker documents evidence (e.g., payroll, timecards, workbooks, production records, and/or utility records). Workers will be interviewed during on-site audit to verify conformity with the above.</p>
6.5.2	<p>Indicator: The percentage of workers whose basic wage²¹ (before overtime and bonus) is below the basic needs wage²³ 12 years after adoption of the standard.</p> <p>Requirement: 0%.</p> <p>Applicability: AI.</p>	<p>a. Auditor to calculate the basic needs wage and compare it to the firm's calculation to verify accuracy.</p> <p>b. Provide evidence that all firm workers are paid at least the basic needs wage (before overtime and bonus) within 5 years of publication of the venue and costs standard.</p> <p>c. Determine basic needs wage for the country of operation. The audit team will verify accuracy of the calculation and end figure.</p>
6.5.3	<p>Indicator: Evidence of transparency in wage setting and ending.</p> <p>Requirement: Yes.</p> <p>Applicability: AI.</p>	<p>a. Wages and benefits are clearly articulated to workers and documented in contracts.</p> <p>b. The method for setting wages is clearly set out and explained to workers.</p> <p>c. Employer records wages and benefits in a way that is consistent for the worker (e.g. cash, check, or electronic payment method). Workers do not have to travel to collect benefits nor do they require permission.</p> <p>d. Workers will be interviewed to confirm conformity with the standards requirements.</p>

²¹Certificate of training issued by the relevant competent national or provincial authority or by such authority's recognized training center, or evidence of adequate on the job training for health and safety practices. For any employee involved in driving work, there must be evidence of adequate training from an appropriate national or international authority, e.g. valid, valid.

²²Basic wage: The wages paid for a standard working week (no more than 48 hours).

²³Basic needs wage: The wages paid for a standard working week (no more than 48 hours).

²⁴Basic wage: The wages paid for a standard working week (no more than 48 hours).

²⁵Basic needs wage: A wage that covers the basic needs of an individual or family, including housing, food and transport. This concept differs from a minimum wage, which is set by law and may or may not cover the basic needs of workers.

Section 6.4 Access to freedom of association and the right to collective bargaining		Compliance Criteria
6.6.1	<p>Indicator: Percentage of employees with access to trade unions, worker organizations, and/or the ability to self-organize as well as the ability to engage collectively or access the representative(s) (elected) by workers without management interference.</p> <p>Requirement: 100%.</p> <p>Applicability: AI.</p>	<p>a. Demonstrate that all workers have the freedom to join a trade union or any legitimate workers organization, free of any form of interference from employer or competing organizations set-up or backed by the employer.</p> <p>b. Demonstrate that workers are permitted to self-organize and/or engage in collective bargaining.</p> <p>c. During interviews with workers, verify conformity with the requirements of 6.6.1 and that workers are free to access worker chosen representatives without interference from management or agents of the company.</p>
6.6.2	<p>Indicator: Incidence of members of unions or worker organizations being discriminated against.</p> <p>Requirement: None.</p> <p>Applicability: AI.</p>	<p>a. During interviews with workers and worker representatives, determine if there are incidents of members of unions or workers organizations being discriminated against by management.</p> <p>b. Review any stated cases of discrimination on the basis of union membership or membership of workers organizations with management to verify whether the firm is complying with requirements of the</p>

Section 6.7 Freedom of association and the right to collective bargaining		Compliance Criteria
6.7.1	<p>Indicator: Incidence of excessive or abusive²⁶ disciplinary actions.</p> <p>Requirement: None.</p> <p>Applicability: AI.</p>	<p>a. Verify that the employer does not use threatening, humiliating or punishing disciplinary practices that negatively impact a worker's physical and mental health or dignity.</p> <p>b. Allegations of corporal punishment, mental abuse²⁷, physical coercion, or verbal abuse must be fully documented in a company procedure that these can be combated by.</p> <p>c. During on-site audits, workers will be interviewed to determine whether there is evidence of excessive or abusive disciplinary actions.</p>
6.7.2	<p>Indicator: Evidence of clear, fair and transparent disciplinary procedures²⁸ documented and communicated to employees.</p> <p>Requirement: Yes.</p> <p>Applicability: AI.</p>	<p>a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker. Maintain evidence that employees are aware of procedures and that the process is transparent.</p> <p>b. Maintain documentary audit trail for incidences of disciplinary action and outcomes (incl. worker evaluation reports). Workers may be interviewed during on-site audit to determine level of conformity and that disciplinary action policy is fair and effective.</p>
6.7.3	<p>Indicator: Evidence that incidences of harassment are recorded and addressed with corrective actions.</p> <p>Requirement: 100%.</p> <p>Applicability: AI.</p>	<p>a. Employer has in place a policy in relation to harassment of workers. The policy requires a procedure to be initiated in the event of incidents of harassment by management of workers or between workers. The procedure is documented and records details, action taken, outcome and corrective actions required.</p> <p>b. During the on-site audit, interview workers with respect to harassment, policies and procedures as well as examples of harassment action and outcomes to verify level of compliance.</p>

Section 6.8 Working hours and overtime		Compliance Criteria
6.8.1	<p>Indicator: Incidence of excessive or abusive²⁶ working hours or overtime work²⁹.</p> <p>Requirement: None.</p> <p>Applicability: AI.</p>	<p>a. The employer must make an available documentation showing the legal requirements for working hours and overtime in the region where the firm operates. If local legislation allows workers to exceed internationally agreed recommendations (ILO regular hours, 12 hours overtime) then requirements of the international standards apply.</p> <p>b. Examination of a randomly selected sample of records (by the auditor) including time sheets and payroll records show that firm workers do not exceed the number of working hours allowed under the law.</p> <p>c. If a firm/worker requires employees to work shifts or the firm (e.g. 10 days on and 4 days off), the employer compensates workers with an equivalent time off in the calendar month and there is evidence that employees have agreed to this, schedule (e.g., in the hiring contract).</p> <p>d. Firm workers may be interviewed to confirm there is no abuse of working hours and overtime laws.</p>
6.8.2	<p>Indicator: Overtime is voluntary, initiated³⁰, paid at a premium rate and restricted to exceptional circumstances.</p> <p>Requirement: Yes.</p> <p>Applicability: AI (All firms unless exempted).</p>	<p>a. Make available payment records (e.g. pay advice) show that workers are paid a premium rate for overtime hours.</p> <p>b. Overtime is limited and occurs in exceptional circumstances as evidenced by firm records (e.g., production records, time sheets, and other records of working hours).</p> <p>c. Workers may be interviewed to confirm that all overtime is voluntary (unless there is a collective bargaining agreement in place which specifically allows for compulsory overtime).</p>

²⁶Physically or mentally. Mental Abuse: Characterized by the intentional use of power, including verbal abuse, isolation, removal or refusal of harassment, intimidation, or threat of physical force.

²⁷Mental Abuse: Characterized by the intentional use of power, including verbal abuse, isolation, removal or refusal of harassment, intimidation or threat of physical force.

²⁸If disciplinary action is required, progressive verbal and written warnings should be engaged. The aim shall always be to improve the worker; dismissal shall be the last resort. Policies for bonuses, incentives, access to training and promotions are clearly stated and understood, and not used arbitrarily. Fines or basic wage deductions shall not be acceptable disciplinary practices.

²⁹Cases where local legislation on working hours and overtime require internationally accepted recommendations (48 regular hours, 12 hours overtime), the international standards will apply.

³⁰Compulsory overtime is permitted if previously agreed under a collective bargaining agreement.

Section 6.9 Contracts or other written employment agreements		Compliance Criteria
6.9.1	<p>Indicator: Percentage of workers who have contracts³¹ or other written employment agreements.</p> <p>Requirement: 100%.</p>	<p>a. The employer maintains a record of all employment contracts.</p>

6.0.1	<p>Requirement: ¹⁰¹ Applicability: AI</p>	<p>a. There is no evidence for labor-only contracting relationships or false apprenticeship schemes.</p> <p>b. Be advised that workers will be interviewed to confirm the above.</p>
6.0.2	<p>Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors when operating on the farm site. Requirement: Yes Applicability: AI</p>	<p>a. Farm has a policy to ensure that all companies contracted to provide supplies or services (e.g., drivers, cleaning, maintenance) have socially responsible employment practices and policies.</p> <p>b. Producing company has criteria for evaluating its suppliers and contractors. The company keeps a list of approved suppliers and contractors.</p> <p>c. Producing company keeps records of communications with suppliers and subcontractors that relate to compliance with 6.0.2.</p> <p>d. All workers on site including those indirectly employed are to be governed by the requirements of Paragraph 6 and the auditor can check records, observations and interviews with these workers to evaluate.</p>
Criterion 6.0: Conflict resolution		
Compliance criteria		
6.0.1	<p>Indicator: Evidence of worker access to effective, fair and confidential grievance procedures. Requirement: Yes Applicability: AI</p>	<p>a. The employer has a clear labor conflict resolution policy for the prevention, treatment, and resolution of worker grievances in a confidential manner, supported by a documented procedure.</p> <p>b. Workers are familiar with the company's labor conflict resolution policies and procedures. There is evidence that workers have access to fair treatment of complaints.</p> <p>c. The farm must maintain documentary evidence (e.g., complaint or grievance filings, minutes from review meetings). Workers may be interviewed during on-site audits in order to verify conformity.</p>
6.0.2	<p>Indicator: Percentage of grievances handled that are addressed ¹⁰² within a 30-day timeframe. Requirement: 100% Applicability: AI</p>	<p>a. The employer maintains a record of all grievances, complaints and labor conflicts that are issued.</p> <p>b. The employer keeps a documentary record of follow-up and outcome, according to procedural requirements (including corrective actions) and timeframes in which grievances are addressed.</p> <p>c. Workers will be interviewed to verify conformity with the procedure for dealing with grievances and that they were addressed within a 30-day timeframe.</p>
Criterion 6.1: Living conditions for employees accommodated on the farm		
Compliance criteria		
6.1.1	<p>Indicator: Farm employees have access to clean, sanitary, safe and suitable living conditions. Requirement: Yes Applicability: AI</p>	<p>a. Provide evidence that potable (safe drinking water is always available for workers.</p> <p>b. Provide evidence that adequate sanitary facilities are available for workers.</p> <p>c. Provide evidence of safe, secure and quality accommodation sufficient to withstand local conditions in the event of storms or other natural events that could endanger lives.</p> <p>d. Provide evidence that accommodation provided is suitable to workers needs (and their family's), appropriate for their gender if accommodation on site also.</p>
6.1.2	<p>Indicator: Evidence of separate sanitary and toilet facilities for men and women, with the exception of work sites with fewer than 10 employees or where married couples are working and accommodated together. Requirement: Yes Applicability: AI</p>	<p>a. Provide separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together and at work sites that have less than 10 employees.</p>
<p>¹⁰¹ Labor-only contracting relationships or false apprenticeship schemes are not acceptable. This includes revolving/continuous labor contracts to deny benefit accrual or equitable remuneration. False Apprenticeship Scheme: The practice of hiring workers under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a "false" apprenticeship if its purpose is to underpay people, avoid legal obligations or employ underage workers. Labor-only contracting arrangement: The practice of hiring workers without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections.</p> <p>¹⁰² Addressed: Acknowledged and resolved, moving through the company's process for grievances, corrective actions taken when necessary.</p>		
Criterion 7: AI & Social Responsibility and Environmental Practices		
Criterion 7.1: Community engagement		
7.1.1	<p>Indicator: Evidence of regular and meaningful ¹⁰³ consultation and engagement with community representatives and organizations. Requirement: Yes Applicability: AI</p>	<p>a. The farm pro-actively engages for consultations with the local community at least twice every year (bi-annually).</p> <p>b. Consultations are meaningful. ¹⁰⁴OPTIONAL: the farm may choose to use participatory Social Impact Assessment (SIA) or an equivalent method for consultation.</p> <p>c. Consultations include participation by representatives from the local community who were asked to contribute to the agenda in advance of meetings.</p> <p>d. Consultations include communication about, or discussion of, the potential human health risks of therapeutic treatments. The intention is for the farm to resolve conflicts that the farm has control / responsibility over and responses are to be mediated in regular operations with community, not to use technical language like the industry. ¹⁰⁵Therapeutic</p> <p>e. Maintain records and documentary evidence (e.g., meeting agenda, minutes, reports) to demonstrate that consultations comply with the above.</p> <p>f. Be advised that representatives from the local community and organizations may be interviewed to confirm the above.</p>
7.1.2	<p>Indicator: Presence and evidence of an effective ¹⁰⁶ policy and mechanism for the presentation, treatment and resolution of complaints by community stakeholders and organizations. Requirement: Yes Applicability: AI</p>	<p>a. Farm policy provides a mechanism for presentation, treatment and resolution of complaints lodged by stakeholders, community members, and organizations.</p> <p>b. The farm follows its policy for handling stakeholder complaints as evidenced by farm documentation (e.g. follow-up communications with stakeholders, reports to stakeholder describing corrective actions).</p> <p>c. The farm's mechanism for handling complaints is effective based on resolution of stakeholder complaints (e.g. follow-up correspondence from stakeholders).</p> <p>d. Be advised that representatives from the local community, including complainants where applicable, may be interviewed to confirm the above.</p>
Criterion 7.2: Report for the local culture and traditional heritage		
Compliance Criteria		
7.2.1	<p>Indicator: Local groups consulted during project design and operation. Requirement: At least 2x per year or as required by relevant local and/or national laws and regulations. Applicability: AI</p>	<p>a. As required by law in the jurisdiction - farm consults with local and/or indigenous groups and retains documentary evidence (e.g. meeting minutes, summaries) to show how the process complies with 7.2.1b.</p> <p>b. Farm management demonstrates an understanding of relevant local and/or national laws and regulations that pertain to consultations with indigenous groups.</p> <p>c. Representatives from the local community, including complainants where applicable, may be interviewed to confirm the above consultation and engagement with local groups or planning and operational stages.</p>
Criterion 7.3: Access to resources		
Compliance Criteria		
7.3.1	<p>Indicator: Changes undertaken restricting access to vital community resources without community approval. Requirement: 0 Applicability: AI</p>	<p>a. Resources that are considered vital to the community have been documented and are known by the farm (i.e. through the assessment process required under Indicator 7.3.2).</p> <p>b. The farm seeks and obtains community approval before undertaking changes that restrict access to vital community resources. Approvals are documented.</p> <p>c. Representatives from the community may be interviewed to provide evidence of whether or not the farm has restricted access to vital resources without prior community approval.</p>
7.3.2	<p>Indicator: Assessments of company's impact on access to resources. Requirement: At least once per year. Applicability: AI</p>	<p>a. There is a documented assessment of the farm's impact upon access to resources. Can be completed as part of community consultations under 7.2.1.</p> <p>b. Representatives from the community may be interviewed to generally corroborate the accuracy of evidence presented in 7.3.2a.</p>
<p>¹⁰³ Regular and meaningful: Meetings shall be held at least bi-annually with elected representatives of affected communities. The community representatives should in part set the agenda for the meetings. Participatory Social Impact Assessment methods may be one option to consider here.</p> <p>¹⁰⁴ Effective: in order to demonstrate that the mechanism is effective, evidence of resolution of complaints can be given.</p>		