ASC Feed Standard Implementation Workshop

A holistic approach to addressing the impacts of aquafeed

November 2022
Aquaculture Stewardship Council
www.asc-aqua.org
# Agenda

<table>
<thead>
<tr>
<th>Topic</th>
<th>Presenter</th>
<th>Time (CET)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction and aim of the Feed Standard</td>
<td>Alex Warrington</td>
<td>14:00 – 14:10</td>
</tr>
<tr>
<td>Overview of ASC Feed Requirements (Standard, RUoC, CAR)</td>
<td>Alex Warrington</td>
<td>14:10 – 14:20</td>
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<tr>
<td>Brief overview of Principle 1 and Q&amp;A</td>
<td>Alex Warrington</td>
<td>14:20 – 14:40</td>
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<tr>
<td>Due Diligence and Q&amp;A</td>
<td>Alex Warrington</td>
<td>14:40 – 15:30</td>
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<tr>
<td>10 minute break</td>
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<td>15:30 – 15:40</td>
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<tr>
<td>MSL and Q&amp;A</td>
<td>Alex Warrington</td>
<td>15:40 – 16:10</td>
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<tr>
<td>Production Models and Q&amp;A</td>
<td>Jen Glancy</td>
<td>16:10 – 16:30</td>
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<td>10 minute break</td>
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<td>16:30 – 16:40</td>
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<tr>
<td>License agreement and fee</td>
<td>Alex Warrington</td>
<td>16:40 – 16:50</td>
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<tr>
<td>How to get certified</td>
<td>Jen Glancy</td>
<td>16:55 – 17:05</td>
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<tr>
<td>How to use / where to find documents &amp; reporting templates</td>
<td>Alex Warrington</td>
<td>17:05 – 17:15</td>
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<tr>
<td>Final Q&amp;A</td>
<td>Alex Warrington</td>
<td>17:15 – 17:30</td>
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</table>
Introduction and aim of the ASC Feed Standard
Why has ASC created a Feed Standard?

- Environmental & social impacts of feed are a source of concern for a growing number of consumers
- Those concerns have mainly focused in the past on the impacts caused by **marine ingredients**
- But globally, marine ingredients make up just 12% of total feed ingredients – approx. 70-75% of ingredient volume in aquafeed is derived from **agriculture**
Why has ASC created a Feed Standard?

• To avoid exchanging one set of environmental impacts for another by substituting raw materials, a **holistic approach** is necessary.

• ASC Feed Standard will be the first Standard to take into consideration the **impacts created across all key ingredient groups** and across the entire ingredient supply chain (feed mills & suppliers).

• Includes all major agriculture crops such as wheat, corn and canola, in addition to soy and palm oil, and marine ingredients.
Recognise an industry in transition

ASC is…

Building on risk assessment & responsible supply industry changes to date

Improving transparency & preventing the worst practices across more supply chains

Aiming to ‘move the middle’ performers
ASC Feed Standard – a flexible and transparent approach to risk

- >1% ingredient volume
- Supplier & raw material
- Mitigation of key risks
- Improvement ladder
- Flexibility in volume
- Traceability
- Beyond soy and palm...
- Deforestation-free
- Traceability
- Reference to certifications
- Risk based approach

Supply Chain  Marine Ingredients  Plant Ingredients  Efficiencies
Overview of ASC Feed Requirements
Scheme Documentation

**Standard Documents**
(ASC Standards Team)

- Feed Standard
- Interpretation Manual

**Assurance Documents**
(ASC Assurance Team)

- RUoC
- CAR

Relevant documents for feed mill

Relevant documents for CAB

Certification Requirements for Unit of Certification (RUoC)
Certification and Accreditation Requirements (CAR)
# ASC Feed Standard Principles

## Principles

<table>
<thead>
<tr>
<th>Principle 1</th>
<th>Principle 2</th>
<th>Principle 3</th>
<th>Principle 4</th>
<th>Principle 5</th>
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## Scope

<table>
<thead>
<tr>
<th>Feed Mill</th>
<th>Suppliers &amp; Ingredients</th>
<th>Feed Mill</th>
<th>Marine Ingredients</th>
<th>Plant Ingredients</th>
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</table>

## Requirements

<table>
<thead>
<tr>
<th>Legal Labour Communities Environmental</th>
<th>Code of Conduct &amp; Due Diligence</th>
<th>Production Model: Mass Balance or Segregation</th>
<th>Fisheries improvement</th>
<th>Deforestation &amp; Conversion free</th>
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</table>
Feed Interpretation Manual Purpose

1. Provides **support to ASC Feed Standard applicants and certified mills** in their process of implementing the standard.

2. Helps **auditors ensure consistency and rigour in the interpretation and application** of the ASC Feed Standard and thereby maintain consistency between sites, in combination with the ASC Assurance documentation.

3. It will be **updated based on the experience and further learnings gained during the implementation** of the Standard and associated documents.

4. The Interpretation Manual is a **non-normative** document (i.e. a non-conformity cannot be raised against it).
RUoC Purpose

- ASC RUoC mirrors the CAR, setting the requirements for applicant feed mills and certificate holders.

- Contains administrative and process requirements that Applicants and ASC certified mills need to conform to in addition to the performance requirements specified in the Feed Standard.

- Some of these requirements are auditable and NCs can be raised e.g., Production Models (section 4), Non-Conforming Product (section 17).

  (will be included in the Feed Audit Report Template)
CAR Purpose

1. Establishes certification requirements to enable all CABs to operate in a consistent and controlled manner

2. Establishes accreditation requirements for CABs who will be assessed by the ASC appointed accreditation body (ASI)

3. Provides transparency required of an international certification scheme - to have credibility with potential stakeholders, inc. governments, CABs, NGOs, suppliers & consumers

4. To provide a documentation framework to assure long-term continuity and consistency in the delivery of ASC certification
ASC Feed Standard Timeline

**New ASC Feed Standard Launch**
- June 2021

**Release of CAR & RUoC**
- July 2022

**Accepted certification schemes published**
- September 2022

**Training**
- November 2022
  - Auditor Training
  - Implementation workshop for mills & supply chain
  - Country risk score-cards published

**Guidance published**
- December 2022
  - Interpretation Manual published
  - Logo & claims use guidance published
  - CAB*** Accreditation
  - Standard V1.01 published

**Effective Date**
- January 14th 2023
  - Feed Standard is Effective
  - Initial audits can take place
  - Start of 2 yr. farm transition period
  - Development of formal training modules

**Compliant Feed**
- January 14th 2025
  - All ASC farms must have transitioned to compliant feed under new Feed Standard
  - Review for Standard v2 begins

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*CAR = Certification and Accreditation Requirements
**RUoC = Requirements for Unit of Certification
***CAB = Conformity Assessment Body
Brief overview of Principle 1 and Q&A
P1: Legal, Social & Environmental requirements

The feed mill has a management system to implement...

**Labour Rights**
- Forced Labour
- Child Labour
- Discrimination
- Freedom of association
- Contracts & wages
- Performance & disciplinary practices

**Working Conditions**
- Health & Safety
- Working Hours
- Accommodation

**Engagement, Dialogue & Grievance**
- Grievance mechanisms
- Proactive engagement
- Impact on communities & Indigenous and tribal peoples

**Operational Environmental Impacts**
- Water use
- Waste
- Effluent
- Energy use
- GHG reporting
Environmental Reporting templates

- Excel format
- Will be available through MyASC and on the ASC Feed Standard webpage under ‘other documents’
- Report to ASC every year through MyASC
- Relates to all feed produced; GHG emissions relates to ASC compliant feed only
- GHG emissions must be made public on feed mill’s website
RUoC Annex C Competency Requirements

UoC competencies

<table>
<thead>
<tr>
<th>Table D – Internal Auditor</th>
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</thead>
<tbody>
<tr>
<td>• General knowledge of Mgmt systems standard e.g., ISO 9001</td>
</tr>
<tr>
<td>• Experience relevant to the scope of certification e.g., feed manufacturing / milling</td>
</tr>
<tr>
<td>• Internal auditor course based on ISO 19011</td>
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<tr>
<td>• Completed ASC feed training module (once available)</td>
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<tr>
<td>• Social auditing training course</td>
</tr>
<tr>
<td>• Observed min. 3 management system audits.</td>
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<table>
<thead>
<tr>
<th>Table E – H&amp;S (1.7 of Std)</th>
</tr>
</thead>
<tbody>
<tr>
<td>• 2 yrs. experience managing H&amp;S systems</td>
</tr>
<tr>
<td>• fulfil local regulations related to minimum specific health and safety training hours required depending on the number of workers and the level of risk of the organization</td>
</tr>
<tr>
<td>• If no local regulations then based on number of employees.</td>
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<table>
<thead>
<tr>
<th>See Also…</th>
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<tbody>
<tr>
<td>• RUoC Section 4.1. Feed Mill Staff competency requirements which includes requirements relating to Due Diligence processes.</td>
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</table>
Due Diligence and Q&A
P2: The feed mill sources ingredients responsibly

- Principle 2 applies to all ingredients that represent >1% of the total annual ingredient-weight (volume) received by the feed mill for use in aquafeeds (not just ASC).

- If the feed mill also produces livestock feed, the received volume shall be based on the ingredient volume destined for inclusion in aquafeed.

- Excluded are feed additives (per default, regardless of volume limit): premixes, vitamins, minerals, trace elements and colourants.
P2: The feed mill sources ingredients responsibly (Criterion 2.1)

The mill implements a **Supplier Code of Conduct**
Covers all P1 requirements

Signed by ingredient manufacturers
(not a requirement for traders)

And passed onto their suppliers
(only to Tier 2)
P2: The feed mill sources ingredients responsibly (Criterion 2.1)

• The feed mill communicates that it will discontinue purchases from ingredient manufacturers, and ingredient manufacturers from their suppliers, that do not meet the Supplier Code of Conduct.

• The Supplier Code of Conduct is considered to be met if all requirements listed in 2.1.1 are fully met or measures have been implemented to ensure they will be met against a time-bound action plan.

• The feed mill publishes the Supplier Code of Conduct on its website.
P2: The feed mill sources ingredients responsibly (Criterion 2.2)
The mill conducts due diligence on all ingredients accounting for more than 1% in all aquafeeds (not just ASC) against the Risk Factors (see Annex 3 – Table 1)

**Ingredient Manufacturer**
- Legal compliance
- Operational environmental impacts
- Social (forced/child labour, discrimination & grievance mechanism)

**Raw Material**
- **Plant ingredients**: illegal deforestation/conversion, social (forced/child labour)
- **Marine ingredients**: IUU, Cites/IUCN endangered species, social (forced/child labour)
P2: The feed mill sources ingredients responsibly (Criterion 2.2)

- For ingredients made from livestock by-products/single cell protein/algae/insects (i.e., the primary raw material is not within the ASC plant or marine definition) DD only extends to the ingredient manufacturer – not to the primary raw material (e.g., poultry farm).

- The DD for marine raw material shall include all products derived from fisheries, whole fish as well as by-products, with the exception of by-catch retained under the EU landing obligation and aquaculture by-products.

- For an ingredient to be used in any aquafeed, the result of the DD must be low risk for all the applicable risk factors under Criterion 2.2.

- Any combination of the DD pathways can be used to determine low risk.
The Due Diligence Pathways

Four DD pathways can be used to determine low risk for each risk factor

- Developed by ASC
- Based on publicly available indices
- Rank each country into low/medium/high risk
- Mill conducts an assessment of industry/sector/fishery
  - Competency requirements
  - Traceability level depends on risk outcome
- Similar to an internal audit of suppliers
  - Competency requirements
  - Ingredient Manufacturer must provide evidence to mill
- List of ASC approved 3rd-party schemes
  - Criteria developed by ASC (standard setting process, assurance, traceability & standard content)

1) Country Score Card
2) Industry / sector / fishery assessment
3) Ingredient Manufacturer assessment
4) Certification
## 1) Country Score Card

### Ingredient Manufacturer
(Use country of location.)

<table>
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<tr>
<th>Country</th>
<th>Legal Risk</th>
<th>Social Risk</th>
<th>Environmental Risk</th>
<th>Legal Risk</th>
<th>Social Risk</th>
<th>Environmental Risk</th>
<th>Plant Based Primary Raw Material (Use country of production.)</th>
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*table not finalised*
4) Certification

<table>
<thead>
<tr>
<th>Scheme name and standard version</th>
<th>Legal (Criteria 4.1.1 in Annex 1)</th>
<th>Social (Criteria 4.1.2 in Annex 1)</th>
<th>Environmental (Criteria 4.1.3 in Annex 1)</th>
<th>Legal (Criteria 4.2.1 in Annex 1)</th>
<th>Social (Criteria 4.2.2 in Annex 1)</th>
<th>Environmental (Criteria 4.2.3 in Annex 1)</th>
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<tbody>
<tr>
<td>Marine Stewardship Council (MSC) v2.01</td>
<td>NO</td>
<td>YES (through CoC)</td>
<td>NO</td>
<td>YES</td>
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<td>YES</td>
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<tr>
<td>ASC - MSC Seaweed v1.01</td>
<td>YES</td>
<td>YES</td>
<td>YES; Additional check required on GMO/medicinal additive disclosure.</td>
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<td>Marin Trust v2.0</td>
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<td>YES; Additional check required on GMO/medicinal additive disclosure.</td>
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- Identity Preserved, Segregated and Mass Balance production/traceability chain of custody models are accepted.
- Certificate trading models e.g., credits, book and claim, are not accepted.
- Corresponding Chain of Custody certification required throughout the supply chain.

- If a scheme is not listed, it has either not met the criteria or it has not been assessed.
- Feed mills can send the assessment template to any certification scheme, not listed, which they are already using within their supply chain. ASC will review completed assessment forms on a rolling basis and update this table.
3) Ingredient Manufacturer assessment

- Similar to an internal audit – the ingredient manufacturer provides evidence to the feed mill to demonstrate low risk (see Feed Interpretation Manual).

- Ingredient manufacturer risk factors: the feed mill assesses the ingredient manufacturer by requesting and reviewing the same or similar evidence the feed mill provides when audited against the equivalent Feed Standard indicators/criterion.

<table>
<thead>
<tr>
<th>Risk Factor</th>
<th>Example evidence to be reviewed by feed mill</th>
</tr>
</thead>
</table>
| LEGAL: The risk that the ingredient manufacturer does not meet the following indicator: 1.1.1 legal licenses and permits, by operating in an area affected by poor regulatory oversight resulting in systematic violations of laws and regulation. | • Business license  
• Factory license |

- Marine & plant-based primary raw material production risk factors: the ingredient manufacturer demonstrates to the mill it has an appropriate system/sufficient information to ensure low risk at raw material production level.

Elements of ingredient manufacturer management and control systems that are reviewed include:

- risk assessments
- supply chain mapping and traceability activities and status
- procedures for identifying and addressing non-compliance, including grievances lodged and their status
- activities related to responsible land acquisition and development practices, e.g., impact assessments monitoring, verification, and reporting systems
2) Industry / sector / fishery assessment

- The feed mill maps its relevant supply chains as far back as possible
- The feed mill assesses the risk factor through the processes described in the Feed Interpretation Manual.
2) Industry assessment

Industry assessment (for ingredient manufacturer)

1. The unit of assessment can begin at a high level:
   - manufacturers of same ingredient/ingredient type within a country e.g., soymeal manufacturers within Brazil.
     ➢ Using evidence such as a recent 3rd party report which addresses the risk factor under assessment.

2. If low risk cannot be determined, the unit of assessment can move to a more specific level:
   - An industry association (if ingredient manufacturer is a member) e.g., ABIOVE, the Brazilian Association of Vegetable Oil Industries.
     ➢ Using evidence such as auditing and reporting requirements for members, which address the risk factor under assessment.

3. If low risk cannot be determined, the unit of assessment can become the ingredient manufacturer itself (which then becomes Pathway 3).
2) Sector assessment

Sub-national/sectoral assessment (for plant-based raw material production)

1. The unit of assessment can begin at a high level:
   - Raw material sector within a region e.g., soy from Mato Grosso, Brazil.
   - Using evidence such as a recent 3rd party report which addresses the risk factor under assessment.

2. If low risk cannot be determined, the unit of assessment can move to a more specific level:
   - Groups of soy production units located in close geographic proximity and under common management.
   - Using evidence such as auditing and reporting requirements for members, GIS data, interviews with employees, etc. which address the risk factor under assessment.

3. If low risk cannot be determined, the unit of assessment can be the production unit itself:
   - Farms, plantations, farmer groups.
   - Using evidence such as site visits, interviews with employees, GIS data, etc. which address the risk factor under assessment.
Fishery assessment (for marine-based primary raw material production)

- For whole fish ingredients, the feed mill conducts an assessment of the risk factors(s) by following, at a minimum, the recommendations to determine low risk within Section 4 (Fisheries and fishing operations) of PAS 1550:2017 ‘Exercising due diligence in establishing the legal origin of seafood products and marine ingredients – Importing and processing – Code of practice.

### Table C1 – Sample risk assessment checklist (continued)

<table>
<thead>
<tr>
<th>Fisheries and fishing operations (Clause 4)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a) What is the seafood/marine ingredient product and what species is it derived from?</td>
<td></td>
</tr>
<tr>
<td>b) Where and how is it caught?</td>
<td></td>
</tr>
<tr>
<td>1) Is the stock overfished? Or data deficient with no plan in place to collect this data (4.1)?</td>
<td></td>
</tr>
<tr>
<td>2) Has the species or fishery been identified to have higher levels of IUU (4.1)?</td>
<td></td>
</tr>
<tr>
<td>3) Is the fishery in an area that is covered by a transparent register of authorized vessels (4.2)</td>
<td></td>
</tr>
<tr>
<td>4) If the fish comes from an area governed by an RFMO, is it governed by quotas or other restrictions and are IUU vessels sanctioned transparently (4.2)?</td>
<td></td>
</tr>
<tr>
<td>c) How are the positions of, and the catch of, fishing vessels monitored (4.3.2)?</td>
<td></td>
</tr>
<tr>
<td>d) Are any of the States involved in monitoring fishing vessels subject to an EU card (4.3.3)?</td>
<td></td>
</tr>
<tr>
<td>e) To complete the due diligence process for the fishing vessel, has all of the information listed in 4.4 been collected?</td>
<td></td>
</tr>
<tr>
<td>f) Is there a history or new evidence that vessels, companies or beneficial owners in a supply chain are / have been involved in illegal activities? If so is there a process to allow the appropriate action to be taken (4.4)?</td>
<td></td>
</tr>
<tr>
<td>g) Is there transhipment in the supply chain? If so have all of the considerations in 4.5 been included in the due diligence?</td>
<td></td>
</tr>
</tbody>
</table>

*table not complete*
2) Fishery assessment

Fishery assessment (for marine-based primary raw material production)

- For marine by-product ingredients, the feed mill conducts the assessment of all the risk factors by following, at a minimum, the recommended indicators of low risk and sources to assess as shown in the table below. Note that as the prevalence of IUU fishing is a proxy for labour issues and the fishing of endangered species, all risk factors are assessed together.

<table>
<thead>
<tr>
<th>Indicator of low risk</th>
<th>Sources and processes used to assess risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>The coastal state EEZ, FAO Area or RFMO where the fish was caught is known</td>
<td>• Catch certificate</td>
</tr>
<tr>
<td>The coastal state EEZ or RFMO where the fish was caught maintains a register of authorised vessels</td>
<td>• Catch certificate</td>
</tr>
<tr>
<td></td>
<td>• Coastal State/ RFMO registers of authorised fishing vessels</td>
</tr>
<tr>
<td>The coastal state EEZ or RFMO where the fish was caught issues licenses in a transparent manner i.e. the application process is published and the list of all licensed vessels is publicly available on a website</td>
<td>• Catch certificate</td>
</tr>
<tr>
<td></td>
<td>• Coastal State/ RFMO website</td>
</tr>
<tr>
<td>The coastal state EEZ or RFMO where the fish was caught has fishing quotas and other seasonal, temporal or technical catch restrictions that are publicly available on a website</td>
<td>• Catch certificate</td>
</tr>
<tr>
<td></td>
<td>• Coastal State/ RFMO website</td>
</tr>
<tr>
<td>The coastal state EEZ or RFMO where the fish was caught operates sanctions on fishing vessels for IUU fishing or illegal labour practices that are published on a publicly available website</td>
<td>• Catch certificate</td>
</tr>
<tr>
<td></td>
<td>• Coastal State/ RFMO website</td>
</tr>
<tr>
<td>The coastal state EEZ or RFMO where the fish was caught applies sanctions to fishing vessels that are sufficient to deter IUU fishing and illegal labour practices i.e., fines are at least five times the value of the catch caught by the vessel during the period IUU activity took place.</td>
<td>• Catch certificate</td>
</tr>
<tr>
<td></td>
<td>• Coastal State/ RFMO website</td>
</tr>
</tbody>
</table>

*table not complete*
RUoC Annex C Competency Requirements

Table A, B and C below, apply **only** when Pathway 2 Sectoral Assessment or Pathway 3 Ingredient Manufacturer Assessments are used for Due Diligence.

<table>
<thead>
<tr>
<th>Table A – All individuals</th>
<th>Table B – DD on Legal and Env Risks in fisheries sector</th>
<th>Table C – DD on Social risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Post high school diploma</td>
<td>• Degree in relevant field (fisheries, env management).</td>
<td>• Degree in social Science or relevant</td>
</tr>
<tr>
<td>• 3 year’s experience in sector under assessment</td>
<td>• Have work experience in Fishery management OR Stock assessments OR Fish sock Biology OR Fishing impacts on aquatic ecosystems</td>
<td>• Specific for fisheries: experience in addressing social issues in fisheries / fisking communities</td>
</tr>
<tr>
<td>• Experience conducting Supply Chain Risk Assessments, DD or similar.</td>
<td>• Successfully completed a relevant fishery assessment training (e.g. online MSC fishery assessor or MSC registered consultant</td>
<td>• Knowledge of local labour &amp; human rights legislation</td>
</tr>
<tr>
<td>• ASC Feed training module (once available)</td>
<td>• have understanding of CITES &amp; ICUN, IUU</td>
<td>• Attend training on fisheries social risk assessment or recognised fisheries social programme.</td>
</tr>
</tbody>
</table>
P2: The feed mill sources ingredients responsibly (Criterion 2.2)

- Qualification / Competency can be demonstrated by both internal or external resources, so long as the criteria is collectively met.

- If the outcome of the DD does not determine low risk, the ingredient cannot be sourced until low risk is determined. The feed mill implements measures e.g.,
  - prevention
  - mitigation
  - remediation
  - cease sourcing, however, where possible mitigation is preferred over the discontinuation of sourcing

- The feed mill implements a monitoring program to:
  A. monitor the risk factors, or indicators for the risk factors, to ensure the risk level determined remains valid;
  B. monitor the effectiveness of measures
P2: The feed mill sources ingredients responsibly (Criterion 2.2)

➔ (Annex 3) Repeat the DD process when:
   a) monitoring indicates a different risk level than previously determined,
   b) monitoring indicates that measures implemented are not effective,
   c) significant changes occur, which could affect the risk level previously
determined e.g., a change of supplier
   d) in all cases, at least every certification cycle (3 years).

• If a change is made to the country risk score cards or list of accepted
certification schemes, feed mills have **6 months** to ensure their supply
chains comply
P2: The feed mill sources ingredients responsibly (Criterion 2.2)

• Feed mills use the template provided on the ASC website/MyASC to annually report an overview of the outcome of the Due Diligences carried out and the respective pathways chosen.

• If pathways 2 or 3 are chosen, the feed mill publishes and shares with ASC an up-to-date summary report using the template provided on the ASC website/MyASC.
P5: Plant ingredients

- Additional to Due Diligence (P2)
- Mill categories plant ingredients
- Further Due Diligence mandatory for categories 1 & 2 to assess risk of legal D/C (using the 4 DD pathways)
- Mills commit to addressing the risks associated with category 1 and 2 ingredients, through a public action plan transitioning to D/C free supply chains
- Aligns with Accountability Framework Initiative

Plant Ingredients (passed DD)

1) High Risk (soy & palm)
2) High volume (>50%)
3) Others
AQUACULTURE STEWARDSHIP COUNCIL

Has the DD been passed?
Raw material DD
Ingredient manufacture DD

Is there a public commitment to move towards deforestation/conversion (D/C) free supply chains? 5.1.1

Categorise plant supply chains into 1) known to have global risks (i.e. soy/palm oil), 2) highest-volume, and 3) other; prioritise 1) and 2). 5.1.2

1) Plant ingredients known to have global risks (i.e. soy/palm oil)
2) Highest-volume plant ingredients

Is there a risk that primary raw material originates from areas resulted from (legal) deforestation/conversion? 5.1.3

3) Other plant ingredients

Voluntary: is there a risk that primary raw material originates from areas resulted from (legal) deforestation/conversion? 5.1.4

1) Plant ingredients known to have global risks (i.e. soy/palm oil)

- High risk demonstrated by one of the pathways in Annex 6
  - Does the public commitment include action plans, milestones and a target date to reach D/C free supply chains? 5.1.7
    - no
      - cannot be sourced for aquaculture by the UoC 5.1.9
    - yes
      - can be sourced by the UoC (but not considered "an eligible ingredient") 5.1.9

- Not high risk but low risk cannot be demonstrated by 1 of 4 pathways in Annex 6
- Low risk demonstrated by 1 of 4 pathways in Annex 6

2) Highest-volume plant ingredients

- Low risk demonstrated by 1 of 4 pathways in Annex 6
- Not high risk but low risk cannot be demonstrated by 1 of 4 pathways in Annex 6
- High risk demonstrated by one of the pathways in Annex 6

Is there a public commitment, incl. action plans, milestones and target date to reach D/C free supply chains? 5.1.7

- no
  - cannot be sourced for aquaculture by the UoC 5.1.8, 5.1.9, 2.2.10
- yes

ELIGIBLE INGREDIENTS 5.1.10
MSL and Q&A
P4: Marine ingredients

- Improvement Model
- Additional to Due Diligence (P2)
- Applies to whole fish only
- Four sustainability levels
- Transparency – the mill publishes its level

- Majority (50%) of marine material sourced from minimum one level higher each certification cycle (every 3 years)
- Objective is to reach MSC certification
P4: Marine ingredients

- Full list of Sustainability Categories and calculation method in Annex 4.
- Use the excel template to calculate and report to ASC

<table>
<thead>
<tr>
<th>Volumes</th>
<th>kg/t</th>
</tr>
</thead>
<tbody>
<tr>
<td>All marine</td>
<td>0</td>
</tr>
<tr>
<td>By-products</td>
<td></td>
</tr>
<tr>
<td>Whole fish</td>
<td></td>
</tr>
<tr>
<td>Category 1</td>
<td></td>
</tr>
<tr>
<td>Category 2</td>
<td></td>
</tr>
<tr>
<td>Category 3</td>
<td></td>
</tr>
<tr>
<td>Category 4</td>
<td></td>
</tr>
<tr>
<td>Category 1 %</td>
<td>0%</td>
</tr>
<tr>
<td>Category 2 %</td>
<td>0%</td>
</tr>
<tr>
<td>Category 3 %</td>
<td>0%</td>
</tr>
<tr>
<td>Category 4 %</td>
<td>0%</td>
</tr>
<tr>
<td>Majority Sustainability Level</td>
<td>Level 0</td>
</tr>
</tbody>
</table>

Provide the volume of inclusion of fishery by-products in feed (kg per tonne)
Provide the volume of inclusion of whole fish in feed (kg per tonne)
Provide the volume of inclusion of Category 1 whole fish included in feed (kg per tonne)
Provide the volume of inclusion of Category 2 whole fish included in feed (kg per tonne)
Provide the volume of inclusion of Category 3 whole fish included in feed (kg per tonne)
Provide the volume of inclusion of Category 4 whole fish included in feed (kg per tonne)

This is the percentage of marine ingredients in Category 1
This is the percentage of marine ingredients in Category 2
This is the percentage of marine ingredients in Category 3
This is the percentage of marine ingredients in Category 4

- Whole fish ingredients without a sustainability category of 1 – 4 are non-eligible ingredients (can be used in ASC Mass-Balance Product but do not count towards eligible volume and can be used in non-ASC aquafeed)
### Example Calculation for a Chilean feed mill

- Initial audit = 24 months prior
- Ongoing audits = annually (Jan – Dec).

<table>
<thead>
<tr>
<th>Marine Raw Material (whole)</th>
<th>ASC Category</th>
<th>% of total (whole fish)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meal from whole Anchoveta <em>E. ringens</em> (FAO 87, Chilean EEZ Regions IV-XV)</td>
<td>2 (MarinTrust)</td>
<td>35%</td>
</tr>
<tr>
<td>Oil from whole Anchoveta <em>E. ringens</em> (FAO 87, Chilean EEZ Regions V-X)</td>
<td>2 (MarinTrust)</td>
<td>20%</td>
</tr>
<tr>
<td>Meal from whole Araucanian Herring <em>S. benticki</em> (FAO 87, Chilean EEZ Regions V-X)</td>
<td>2 (MarinTrust)</td>
<td>25%</td>
</tr>
<tr>
<td>Oil from whole Chilean Jack Mackerel <em>T. murphyi</em> (FAO 87, Chilean EEZ Regions X-XV)</td>
<td>4 (MSC)</td>
<td>10%</td>
</tr>
<tr>
<td>Meal from whole Japanese Anchovy <em>E. Japonicus China</em></td>
<td>0</td>
<td>5%</td>
</tr>
<tr>
<td>Other whole fish ingredients</td>
<td>0</td>
<td>5%</td>
</tr>
</tbody>
</table>

**Entry Level = 2**
Example: Maintaining the MSL

<table>
<thead>
<tr>
<th>MSL Calculated period</th>
<th>Initial audit March 2023</th>
<th>Surv. audit March 2024</th>
<th>Surv. audit March 2025</th>
<th>Re-cert. audit March 2026</th>
<th>Surv. audit March 2027</th>
<th>Surv. audit March 2028</th>
<th>Re-cert. audit March 2029</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>MSL Scenario A</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td><strong>MSL Scenario B</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>3</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td><strong>MSL Scenario C</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>MSL Scenario D</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td></td>
</tr>
</tbody>
</table>
To meet that compliant scenario A
At the Re-cert. audit March 2026
Calculated from Jan 2025 – Dec 2025

<table>
<thead>
<tr>
<th>Marine Raw Material (whole)</th>
<th>ASC Category</th>
<th>% of total (whole fish)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meal from whole Anchoveta <em>E. ringens</em> (FAO 87, Chilean EEZ Regions IV-XV)</td>
<td>3 (MSC FIP)</td>
<td>35%</td>
</tr>
<tr>
<td>Oil from whole Anchoveta <em>E. ringens</em> (FAO 87, Chilean EEZ Regions V-X)</td>
<td>3 (MSC FIP)</td>
<td>20%</td>
</tr>
<tr>
<td>Meal from whole Araucanian Herring <em>S. benticki</em> (FAO 87, Chilean EEZ Regions V-X)</td>
<td>3 (MSC FIP)</td>
<td>25%</td>
</tr>
<tr>
<td>Oil from whole Chilean Jack Mackerel <em>T. murphyi</em> (FAO 87, Chilean EEZ Regions X-XV)</td>
<td>4 (MSC)</td>
<td>10%</td>
</tr>
<tr>
<td>Meal from whole Japanese Anchovy <em>E. Japonicus</em> China</td>
<td>0</td>
<td>5%</td>
</tr>
<tr>
<td>Other whole fish ingredients</td>
<td>0</td>
<td>5%</td>
</tr>
</tbody>
</table>

Level = 3

Level = 3
Production Models
### P3: ASC Production Models

- Option of **mass balance** (calculation of volumes) and **segregation** (logo usage only possible on the latter)

- No minimum % eligible ingredients required for mass balance, but P2 due diligence has to be passed for all aquafeeds (not just ASC)

- Transparent communication on product characteristics (nitrogen, phosphorus, GM ingredients etc.)

- See Annex 5 for clarification on eligible vs non-eligible ingredients.
The Segregation Production Model

Within Segregation Model, all Eligible Ingredients are kept physically segregated from all Non-eligible Ingredients.

INPUT: 10T of feed ingredients

**ELIGIBLE INGREDIENTS**

- Low risk* & sustainability category 1-4
- Plant: low risk & D/C free supply chains

6T

**STORAGE**

**PRODUCTION**

**ASC FEED**

OUTPUT: 10T of feed product
Each bag 1MT

Eligible ingredients are traceable throughout production and back to their receiving

**NON-ELIGIBLE INGREDIENTS**

- Low risk* but not sustainability category 1-4
- Non-Eligible Plant Ingredients

4T

**STORAGE**

**PRODUCTION**

**non-ASC FEED**

4T

*Marine ingredients’ risk and sustainability category as indicated by Due Diligence
The Mass Balance Production Model

This Model allows mixing of Eligible Ingredients and Non-eligible Ingredients at any stage in the feed production process, provided overall quantities are monitored. This results in a claim on a part of the output, proportional to the input of Eligible Ingredients.

INPUT: 10T of feed ingredients

ELIGIBLE INGREDIENTS

Low risk* & sustainability category 1-4
Certified Plant Ingredients

6T

NON-ELIGIBLE INGREDIENTS

Low risk* but not sustainability category 1-4
Non-eligible Plant Ingredients

4T

Ingredients Accounting System (IAS)
Eligible Volume Calculation

STORAGE

PRODUCTION

FEED

OUTPUT: 10T of feed product
Each bag 1T

6T

*Marine ingredients' risk and sustainability category as indicated by Due Diligence
The Ingredient Accounting System (RUoC Section 4.3)

- IAS is not required if only Segregation Production model is in use.
  - ✓ be operated by trained and authorised person(s).
  - ✓ be protected from deliberate and/or accidental altering of data.
  - ✓ be updated on a continuous basis:
- Only Volume destined for use in aquafeed shall be entered into the IAS
- Upon receipt of an eligible ingredient – the received volume is verified as eligible before entering into IAS
- Upon dispatch, volume of ASC product produced under the Mass Balance Production Model, is deducted
- IAS will include consideration of any changes (yield) in weight/volumes, in kg and %,
The Shared Ingredient Accounting System (RUoC Section 4.4)

When a Shared IAS is used, each participating production site shall meet all the following conditions:

- be owned and operated by the Client,
- be certified individually or as a multi-site under the ASC Feed Standard,
- be certified by the same CAB,
- be located within the same country,
- each participating site listed (name, location) in the Shared IAS,
- share or use the same ingredient approval process as described in RUoC Section 4.2.
- have authority to enter into and deduct eligible volume from the Shared IAS,
- acknowledge in writing that non-conformities raised against the Shared IAS of any one participating site may have an impact on eligible volume for all sites involved in the Shared IAS.

The output of ASC product produced by all participating sites shall not exceed the input of eligible volume received by all participating sites within the Accounting Period.
The Mass Balance Production Model (RUoC Section 4.5)

Accounting period **January to December**

- For initial audits, Eligible Volume can be added to the IAS from January of that calendar year onwards, this volume must be verified as accurate during the initial audit.

- Once verified as accurate, Eligible Volume, (i.e., ASC Product), may be deducted from the IAS from the date of initial certification onwards.

- The volume of ASC product dispatched shall not exceed the Eligible Volume entered into the IAS within the Accounting Period.

- The mill may overdraw volume **during** the Accounting Period as long as overall quantities are monitored (via the IAS) and the volume is **balanced by the end of the Accounting Period**.

- Unused eligible volume at the end of the Accounting Period may be carried over and recorded in the IAS for the following twelve (12) month Accounting Period.
Production Model Overview (RUoC Section 4)

Segregation Model

• Eligible Ingredients are kept physically segregated from all Non-eligible Ingredients
• Physical traceability of Eligible ingredients
• May use the ASC Logo

Mass Balance Model

• Administrative accounting of inputs of Eligible Ingredients & outputs of ASC product.
• Allows mixing of Eligible and Non-eligible Ingredients at any stage in the production process, provided overall quantities are monitored (Via IAS).
• Results in a claim on a part of the output, proportional to the volume of Eligible Ingredients purchased and received.
• Cannot use the ASC Logo
License agreement and fee
Licencing and fee structure

• Logo and claims use guidance available end 2022
• Businesses with a least one certified feed mill will be required to complete a licence agreement
• Volume Reporting and fee structure
  • Annual (Jan-Dec) reporting requirements included in licencing agreement and feed standard
  • Total volumes sold under each production model to be reported
  • Licence fee will be based on combined volumes sold by each mill within a tiered charging structure
# Licence fee charging

<table>
<thead>
<tr>
<th>Licence fee based on ASC compliant feed sales (tonnes/year)</th>
<th>From (tonnes/year)</th>
<th>To (tonnes/year)</th>
<th>ASC Mass Balance production model licence fee / MILL (£)</th>
<th>ASC Segregation production model licence fee / MILL (£) (25% discount)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual fee – compliant feed sales (combined from both production models)</td>
<td>0</td>
<td>30000</td>
<td>3000</td>
<td>2250</td>
</tr>
<tr>
<td>30001</td>
<td>50000</td>
<td>6000</td>
<td>4500</td>
<td></td>
</tr>
<tr>
<td>50001</td>
<td>100000</td>
<td>10000</td>
<td>7500</td>
<td></td>
</tr>
<tr>
<td>100001</td>
<td>200000</td>
<td>15000</td>
<td>11250</td>
<td></td>
</tr>
<tr>
<td>200001</td>
<td>-</td>
<td>20000</td>
<td>15000</td>
<td></td>
</tr>
</tbody>
</table>

The 25% discount will be applied to licence fee when a minimum of 20% of the total ASC compliant volume sold in a reporting year is produced under the segregation production model.

Any questions to alastair.dingwall@asc-aqua.org
How to get Certified
CAB Accreditation

- Currently 3 formal applications for accreditation.
  
  Scope extension can take anything from 3 to 6 months

  New accreditation can take from 6 to 12 months.

  Currently: SCS, BVC & KIWA have formally applied.

- Only accredited CABs are visible on the ASI website so CABs in application for ASC Feed Standard accreditation not public on the ASI website.

  ASI website ‘notes’ section updated until accreditation is granted.

  See: https://www.asi-assurance.org/s/find-a-cab
<table>
<thead>
<tr>
<th>Program</th>
<th>Technical Scope</th>
<th>Geographical Scope</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASC</td>
<td>ASC Farm</td>
<td>Worldwide (excluding China)</td>
<td>Accredited/Approved</td>
</tr>
<tr>
<td>MSC</td>
<td>MSC COC/MSMC Fisheries</td>
<td>Worldwide</td>
<td>Accredited/Approved</td>
</tr>
</tbody>
</table>

See all CABs.

**Accreditation details**

- **CAB Name:** SCS Global Services
- **ASI Code:** ASI-ACC-002
- **Note:** SCS Global Services is an applicant for ASC Feed Standard.
- **Status:** Accredited/Approved
- **Technical Scope:** ASC Farm
- **Geographical Scope:** Worldwide (excluding China)
- **CAB is accredited for:** ASI has evaluated this CAB and confirms that the CAB is approved for the latest (most recent) versions of the following accreditation standards: ASC Certification & Accreditation Requirements
- **CAB can certify against:** The CAB is approved for Product Certification against the following certification standards: ASC Abalone Standard, ASC Bivalve Standard, ASC Freshwater Trout Standard, ASC Salmon Standard, ASC Seriola and Cobia Standard, ASC Shrimp Standard, ASC Tilapia Standard
- **Accredited since:** March 30, 2014
- **Current accreditation cycle start date:** October 02, 2021
ASC Feed Certification Process
Valid from January 14th 2023

Feed mill signs a contract with ASC Accredited CAB*

On-site audit takes place & findings presented

Draft audit report available for public comment on ASC website

ASC Certificate and audit report published on ASC website

42 Days

On-site audit takes place & findings presented

Draft audit report prepared

CAB makes Certification Decision on feed mill compliance with ASC Requirements

42 Days

28 Days

+/ 3 days

Audit announced on ASC Website allowing for Stakeholder input

Draft audit report prepared

CAB makes Certification Decision on feed mill compliance with ASC Requirements

21 Days

Time to certification ~ 4.5 months**

Note: All days are Calendar Days

*Conformity Assessment Body
**Certification process may be longer where major findings are identified.
Certification Cycle

Initial Audit
- Initial Audit
- Surveillance Audit 1
  - 12 months
  - +/- 3 months
- Surveillance Audit 2
  - 12 – 15 months

Recertification Audit

3 YEARS
Why Variance Requests?

- Standards, CAR do not provide solution for every situation
- Adaptation of the standards (Indicator) or CAR (Requirement) to the local context is needed, whilst adhering to the original intent of the standard / CAR.
- Adapting a global standard to local context, is permitted under ISEAL Codes of Good Practice.
- VRs are submitted through the CAB (not the UoC)

- Requested adaptations must be:
  1) reviewed by ASC
  2) made public via the ASC Interpretation Platform
- ASC remains the decision making body and outcomes are publicly available to ensure consistency and transparency,
- Application is verified by ASC during quality reviews
- Standard & CAR VR procedures available on web page above.
What is a QA/Interpretation?

- A situation where an interpretation of the language and/or the intent of an indicator or a requirement is needed.

- Interpretations provide temporary additional guidance and information between revisions to programme documents.

- All VRs and QAs form part of the ASC Standard and CAR review process for future revisions.

- To ensure transparency, all VRs and QAs are publicly available on the ASC’s Variance Request and Interpretation Platform.
How to use / where to find documents & reporting templates
### Where can I find…?

<table>
<thead>
<tr>
<th>Location</th>
<th>Documents/info</th>
<th>Purpose</th>
</tr>
</thead>
</table>
| **ASC Feed Standard** | Summary of Feed Standard (web text)  
  Feed Standard v1.0  
  Feed Standard v1.0 translations  
  Feed Standard FAQ v1.0  
  List of Accepted Certification Schemes  
  Certification Assessment Template  
  Country Risk Score Cards  
  Interpretation Manual  
  Reporting templates for Feed Mills | Relevant documents for Feed Mills, CABs and interested stakeholders.  
  Note: Standard v1.0 to be replaced by v1.01  
  Note: Country Risk Score Cards, Interpretation Manual and Reporting templates for Feed Mills to be uploaded. |
| **ASC Get Certified - Feed** | Summary of feed mill certification process (web text)  
  Feed CAR v1.0  
  Feed RUoC v1.0  
  Auditor tools  
  (links to ‘Find a farm/mill and find a CAB’) | Certification process and resources for feed mills and CABs |
| **My ASC** | Documents related to the certification process e.g. Audit report template, reporting templates for feed mills | Feed mills and CABs only given access once certification process begins |
| **Vocabulary Portal** | List of definitions used in Standard, CAR, RUoC and Interpretation Manual | |
| **VR/QA Platform** | List of all variance requests & questions for interpretation | |
| **Find a feed mill** | List of certified feed mills | Will be updated to include feed mills |
| **ASI find a CAB** | List of accredited CABs | Feed mills can find an accredited CAB |
| **ASC’s Controlled Document Master List** | All published, active documents that support the certification framework. | |
| **TBC** | Logo & claims use guidance | |
| **Feed Audit Report Template** | Feed Audit Report Template | Password protected – not yet uploaded |
Questions?

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Thank you

Aquaculture Stewardship Council
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