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| **Aquaculture Stewardship Council and Marine Stewardship Council**

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| **ASC-MSC Seaweed (Algae) Surveillance Reporting Template**Select number of reportVersion 1.1 (Issued 10 December 2020) |
| Scheme documents:* [ASC-MSC Seaweed (Algae) Standard](https://www.asc-aqua.org/wp-content/uploads/2017/11/ASC-MSC-Seaweed-Algae-Standard-v1.01.pdf)
* [ASC-MSC Seaweed (Algae) Certification and Accreditation Requirements](https://www.asc-aqua.org/wp-content/uploads/2017/11/ASC-MSC-Seaweed-Algae-Certification-and-Accreditation-Requirements-v1.01.pdf)

This document is to be cited as: ASC-MSC Seaweed (Algae) Surveillance Reporting Template v1.1 |
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| Versions issued |
| Version No. | Date | Description of amendment  |
| 1.0 | 8-Dec-17 | N/A – new document |
| 1.1 | 10-Dec-20 | Updated to Word version |

|  |  |
| --- | --- |
| **[Fishery name]** |  |
| **[Client Contact details]** |  |
| **[CAB contact details]** |  |
| **[Authors** |  |
| **[Date]** | Click or tap to enter a date. |

Insert CAB Logo or delete

(Format / Shape Fill / Picture)

Instructions

|  |
| --- |
| This Reporting Template should be used for surveillance audits.Each section has instructions of what is required within that section of that report. Sometimes an instruction can be traced to an individual requirement in the CAR or Standard. At other times, an instruction represents multiple requirements.Additional supporting material can be attached as a PDF Annex.Any references used to support statements in the evaluation tables of the reports shall be included in the “References” section of the table and an in-text reference (e.g., number or author, date), made to the relevant source.Some words/phrases are underlined with a dotted underline; explanations for these words/phrases can be found by hovering over them. |

1 General Information

|  |  |
| --- | --- |
| **[Name of the production unit](#Productionunit" \o "To be determined by the fishery client and the CAB.)** |  |
| **[Target species common name/s](#Targetspecies" \o "Common name/s of the target species that will be assessed under P1. This should include common names used in the key commercial markets for the species.)** |  |
| **[Species Latin name](#SpeciesLatinname" \o "Scientific name for the species (i.e., Genus, species). Include subspecies or strain if applicable.)** |  |
| **[Production system](#Productionsystem" \o "The type of gear or production methodology employed in the production unit.)** |  |
| **[Location of the production unit](#Locationproductionunit" \o "A description of the geographical area within which the harvest/culture system is undertaken. This may be only a part of or the entire stock unit included under stock name above.)** |  |
| **[Stock Region](#Stockregion" \o "When harvesting natural populations of seaweeds (categories A, Bi, and Ci), the smaller well-defined area, water body/bodies or site/s that is managed as an independent unit.)** |  |
| **[Receiving water body](#Receivingwaterbody" \o "A precise geographical delimination of the water body or bodies that may be impacted by the activity.)** |  |
| **[Clients part of the production unit](#Clientspartofproductionunit" \o "The person/s, entity or entities harvesting and/or culturing the target stock or species.)** |  |
| **[Facilities](#Facilities" \o "Any at-sea or land-based facilities associated with the culturing activities.)** |  |
| **[Unit of Certification (if different)](#UoC" \o "The definition of the UoC may also include any other client group members to be covered by the certificate.)** |  |
| **Client** | Name of the company |  |
|  | Name of first point of contact for the assessment |  |
|  | Position in the client organisation |  |
|  | Email address |  |
|  | Phone number |  |
|  | Mailing address |  |
| **Conformity Assessment Body (CAB)** | Name of the CAB |  |
|  | Name of assessment team leader |  |
|  | Name of first point of contact for the assessment (if different from the assessment team leader) |  |
|  | Email address |  |
|  | Phone number |  |
|  | Mailing address |  |

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| --- | --- |
| **Date certified** |  |
| 1st, 2nd |

2 Audit Plan

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| --- | --- | --- |
| **Assessment team\*** | **Name** | **Summary of qualifications** |
| **Team leader** |  |  |
| **Team member 1** |  |  |
| **Team member 2** |  |  |
| **Social auditor** |  |  |

\*Add or delete rows as needed.

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| --- | --- |
| **[Date of surveillance site visit](#Datesurveillancesitevisit" \o "The CAB shall not conduct the annual surveillance audit earlier or later than 6 months from the anniversary date of the certificate issuance. [CAR 17.23.2])** |  |
| **[Location](#Location" \o "Insert location of site visit (location where production unit takes place or where the client is based). Either is sufficient as long as the necessary information can be collected through face-to-face meetings w/ stakeholders. [CAR G17.23.1])** |  |
| **Outline of other surveillance activities** |  |

Stakeholders interviewed

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Organisation** | **Position** | **Summary feedback received** |
|  |  |  |  |
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Stakeholders written submission received

Note: All written submissions from stakeholders (if any) received during the audit should be attached as a PDF Annex.

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| --- | --- | --- | --- |
| **Name** | **Organisation** | **Position** | **Summary feedback received** |
|  |  |  |  |
|  |  |  |  |

Employees interviewed

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Organisation** | **Position** | **Summary feedback received** |
|  |  |  |  |
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3 Background information

|  |  |
| --- | --- |
| [Management system](#Managementsystem" \o "Changes, if any, to the management system. The capacity of the management system to manage any change in scope, size or complexity within the certified production unit.) |  |
| [Relevant regulations](#Relevantregulations" \o "Legal and regulatory compliance, including any changes that have occurred in legislation or regulations.) |  |
| [Personnel involved in the production unit](#Personnelinvolved" \o "Any changes in the personnel of the production unit.) |  |
| [Scientific base of information, including stock assessments](#Scientificbase" \o "Changes in science relevant to the fishery.) |  |
| Other new certified production units in the area |  |
| Any complaints or allegations of non-conformity with the ASC-MSC seaweed requirements |  |
| A sample of sites and records to verify that the management systems are effective and consistent covering any high-risk areas or personnel changes |  |
| Any changes affecting the operation’s traceability, chain of custody, or the ability to trace certified products back to the unit of certification |  |
| If no changes have been identified, that shall be stated here. |  |

4 Summary of scoring table

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Principle | Performance Indicator | Level | Number of Conditions | Pass |
| 1 | PI 1.1 | Stock Status  |   |   |   |
| PI 1.2 | Harvest strategy |   |   |
| PI 1.3 | Genetic impact on wild stock  |   |   |
| 2 | PI 2.1 | Habitat |   |   |   |
| PI 2.2 | Ecosystem structure and function |   |   |
| PI 2.3 | ETP species |   |   |
| PI 2.4 | Other species |   |   |
| PI 2.5 | Waste management and pollution control |   |   |
| PI 2.6 | Pest(s) and disease(s) and management |   |   |
| PI 2.7 | Energy efficiency |   |   |
| PI 2.8 | Translocations |   |   |
| PI 2.9 | Introduction of alien species |   |   |
| 3 | PI 3.1 | Legal and/or customary framework |   |   |   |
| PI 3.2 | Decision-making processes |   |   |
| PI 3.3 | Compliance and enforcement |   |   |
| 4 | PI 4.1 | Child labour |   |   |   |
| PI 4.2 | Forced, bonded or compulsory labour |   |   |
| PI 4.3 | Discrimination |   |   |
| PI 4.4 | Health, safety and insurance |   |   |
| PI 4.5 | Fair and decent wages |   |   |
| PI 4.6 | Freedom of association and collective bargaining |   |   |
| PI 4.7 | Disciplinary practices |   |   |
| PI 4.8 | Working hours |   |   |
| PI 4.9 | Environmental and social training |   |   |
| 5 | PI 5.1 | Community impacts |   |   |   |
| PI 5.2 | Conflict resolution |   |   |
| PI 5.3 | Rights of indigenous groups |   |   |
| PI 5.4 | Visibility, positioning and orientation of farms or water-based structures |   |   |
| PI 5.5 | Identification and recovery of substantial gear |   |   |
| PI 5.6 | Noise, light and odour |   |   |
| PI 5.7 | Decommissioning of abandoned farms or water-based structures |   |   |

Table 1. Maximum number of conditions allowed for a certified UoA.

|  |  |
| --- | --- |
|  | Production unit category (as in Table 2) |
| Principle  | A | Bi | Bii | Ci | Cii |
| P1 | 1 | 1 | 0 | 1 | 0 |
| P2 | 2 | 2 | 2 | 2 | 2 |
| P3 | 1 | 1 | 1 | 1 | 1 |
| P4 | 2 | 2 | 2 | 2 | 2 |
| P5 | 2 | 2 | 2 | 1 | 1 |
| Total | 8 | 8 | 7 | 7 | 6 |

5 Summary of conditions

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Condition number** | [**Condition**](#Condition) | **Timeframe** | **Performance Indicator** | **Scoring issue** | **Related to previously raised condition?** | **Action Plan** | **[Wording of condition change?](#Wordingconditionchange" \o "If the requirements of any condition are changed, the team shall provide written justification for this in the Surveillance Report. [CAR 17.23.9])** | **[Progress on Condition [Year x]](#ProgressonCondition" \o "Additional rows may be added to include progress on the condition from previous surveillance audits. If a condition is closed, a statement shall be included on whether the PI has been rescored and what the new score is. )** | **[Status of condition](#Statusofcondition" \o "Indicate whether the condition is \"on target,\" \"ahead of target,\" \"behind target\" or \"closed.\" The report shall detail what actions are required for any unclosed conditions, including revised timescales and what the implications are. [CAR 7.23.8])** |
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|  |  |
| --- | --- |
|  | Production unit category (as in Table 2) |
| Principle  | A | Bi | Bii | Ci | Cii |
| P1 | 1 | 1 | 0 | 1 | 0 |
| P2 | 2 | 2 | 2 | 2 | 2 |
| P3 | 1 | 1 | 1 | 1 | 1 |
| P4 | 2 | 2 | 2 | 2 | 2 |
| P5 | 2 | 2 | 2 | 1 | 1 |
| Total | 8 | 8 | 7 | 7 | 6 |

6 Conclusion

|  |  |
| --- | --- |
| **[Summary of findings](#SummaryofFindings" \o "Summary of changes, specify if conditions closed, on target, etc., and if any PI has been rescored, etc.)** |  |
| **[Include a statement confirming the status of certification](#StatusofCertification" \o "Certified, suspended, etc.)** |  |

7 References

8 Revised assessment tree scoring

Annex 2: Assessment tree – rescoring evaluation tables (if necessary)

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| --- |
| The final set of PIs to be included in the assessment tree shall be defined depending on the characteristics of the production unit in the UoA, as indicated in Table 3 of the Standard. Unless otherwise indicated, each PI shall be scored. |

Principle 1: Sustainable wild seaweed populations

PI 1.1 – Stock status

|  |  |
| --- | --- |
| **PI 1.1** | **Stock status** |
| Scoring Issue | Minimum | Target |
| **a** | Stock status relative to irreversible impact |
| Guidepost | Available information indicates that the wild stock is above the point where the harvesting impact is irreversible or very slowly reversible. | The wild stock is at or fluctuating around a level consistent with MSY (or proxy). ORAvailable information indicates that harvesting impact causes insignificant change to the wild stock, which is unlikely to be detectable against natural variability for this population, or if detectable is minimal and has no impact on population dynamics. |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 1.2 – Harvest strategy

|  |  |
| --- | --- |
| **PI 1.2** | **Harvest strategy** |
| Scoring Issue | Minimum | Target |
| **a** | Harvest strategy design |
| Guidepost | The harvest strategy is expected to achieve stock management objectives reflected in the stock status target (PI 1.1), based on plausible argument. | The harvest strategy is responsive to the state of the stock, and the elements of the harvest strategy work together towards achieving stock management objectives reflected in the stock status target (PI 1.1). |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Harvest strategy evaluation |
| Guidepost |  | The harvest strategy may not have been fully tested but evidence exists that it is achieving its objectives. |
| Met? |  | Select one |
| Rationale |  |  |

PI 1.3 – Genetic impact on wild stock

|  |  |
| --- | --- |
| **PI 1.3** | **Genetic impact on wild stock** |
| Scoring Issue | Minimum | Target |
| **a** | Genetic outcome |
| Guidepost | The harvesting or farming activity is **unlikely** to impact the genetic structure of wild populations. | The harvesting or farming activity is **highly unlikely** to impact the genetic structure of wild populations. |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Genetic impact management  |
| Guidepost | There are **measures** in place, which are expected to maintain the genetic structure of the wild population at levels compatible with the target genetic outcome level of performance.  | There is a **partial strategy** in place, which is expected to maintain the genetic structure of the wild population at levels compatible with the target genetic outcome level of performance. |
| Met? | Select one | Select one |
| Rationale |  |  |

Principle 2: Environmental impacts

PI 2.1 - Habitats

|  |  |
| --- | --- |
| **PI 2.1** | Habitats |
| Scoring Issue | Minimum | Target |
| **a** | Seaweed-habitat status |
| Guidepost | The UoA is **unlikely** to reduce structure and function of the habitat created by the target seaweed to a point where there would be serious or irreversible harm. | The UoA is **highly unlikely** to reduce structure and function of the habitat created by the target seaweed to a point where there would be serious or irreversible harm. |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Other commonly encountered habitat status |
| Guidepost | The UoA is **unlikely** to reduce structure and function of other commonly encountered habitats to a point where there would be serious or irreversible harm. | The UoA is **highly unlikely** to reduce structure and function of other commonly encountered habitats to a point where there would be serious or irreversible harm. |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **c** | Vulnerable Marine Ecosystem (VME) status |
| Guidepost | The UoA is **unlikely** to reduce structure and function of the VME habitats to a point where there would be serious or irreversible harm. | The UoA is **highly unlikely** to reduce structure and function of the VME habitats to a point where there would be serious or irreversible harm. |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.2 – Ecosystem structure and function

|  |  |
| --- | --- |
| **PI 2.2** | **Ecosystem structure and function** |
| Scoring Issue | Minimum | Target |
| **a** | Ecosystem status |
| Guidepost | The UoA is **unlikely** to disrupt the key elements underlying ecosystem structure and function to the point where there would be serious or irreversible harm. | The UoA is **highly unlikely** to disrupt the key elements underlying ecosystem structure and function to the point where there would be serious or irreversible harm. |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.3 – ETP species

|  |  |
| --- | --- |
| **PI 2.3** | **ETP species** |
| Scoring Issue | Minimum | Target |
| **a** | Effects of the UoA on population/stocks within national or international limits, where applicable |
| Guidepost | Where national and/or international requirements set limits for impact on ETP species, the effects of the UoA on the population/stock are known and **likely** to be within these limits. | Where national and/or international requirements set limits for impacts on ETP species, the **combined effects** of the UoAs and any other certified seaweed UoA on the population/stock are known and **highly likely** to be within these limits. |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **b** | Direct effects |
| Guidepost | Known direct effects of the UoA are **likely** to not hinder recovery of ETP species. | Direct effects of the UoA are **highly likely** to not hinder recovery of ETP species. |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **c** | Indirect effects |
| Guidepost |  | Indirect effects have been considered for the UoA and are thought to be highly likely to not create unacceptable impacts.  |
| Met? |  | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **d** | Management strategy in place |
| Guidepost | There are **measures** in place that minimise the UoA-related impact on ETP species, and it is expected to be **highly likely** to achieve national and international requirements for the protection of ETP species.ORWhere there are no requirements for protection and rebuilding provided through national ETP legislation or international agreements, there are **measures** in place that are expected to ensure the UoA does not hinder the recovery of ETP species. | There is a **strategy** in place for managing the impact of the UoA on ETP species, including measures to minimise mortality, which is designed to be **highly likely** to achieve national and international requirements for the protection of ETP species.ORWhere there are no requirements for protection and rebuilding provided through national ETP legislation or international agreements, there is a **strategy** in place that is expected to ensure the UoA does not hinder the recovery of ETP species.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **e** | Management strategy evaluation |
| Guidepost | The **measures** are considered likely to work, based on plausible argument. | There is an **objective** **basis for confidence** that the measures/strategy will work, based on information directly about the UoA and/or the species involved. |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **f** | Management strategy implementation |
| Guidepost |  | There is some evidence that the measures/ strategy is being implemented successfully. |
| Met? |  | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **g** | Review of alternative measures to minimise mortality of ETP species |
| Guidepost | There is a review of the potential effectiveness and practicality of alternative measures to minimise UoA-related mortality of ETP species. | There is a regular review of the potential effectiveness and practicality of alternative measures to minimise UoA-related mortality of ETP species and they are implemented as appropriate. |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.4 – Other species

|  |  |
| --- | --- |
| **PI 2.4** | **Other species** |
| Scoring Issue | Minimum | Target |
| **a** | Main species stock status |
| Guidepost | Main species are likely to be above biologically based limits.ORIf the main species are below biologically based limits, there are **measures** in place expected to ensure that the UoA does not hinder recovery and rebuilding. | Main species are **highly likely** to be above biologically based limits.ORIf the main species are below biologically based limits there is either **evidence of recovery or a demonstrably effective strategy** in place between the UoA and any other certified seaweed UoAs, which categorise these species as main, to ensure that they collectively do not hinder recovery and rebuilding.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Management strategy in place |
| Guidepost | There are **measures** in place, if necessary, which are expected to maintain or not hinder rebuilding of main species at/to levels, which are highly likely to be above biologically based limits or to ensure that the UoA does not hinder their recovery. | There is a **partial strategy** in place for the UoA, if necessary, which is expected to maintain or to not hinder rebuilding of the main species at/to levels, which are highly likely to be above the biologically based limits or to ensure that the UoA does not hinder their recovery.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **c** | Management strategy evaluation |
| Guidepost | The measures are considered **likely** to work, based on plausible argument (e.g. general experience, theory or comparison with similar UoAs/species, etc.).  | There is **some objective basis for confidence** that the measures/partial strategy will work, based on some information directly about the UoA and/or species involved.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **d** | Management strategy implementation |
| Guidepost |  | There is **some evidence** that the measures/ partial strategy is being implemented successfully.  |
| Met? |  | Select one |
| Rationale |  |  |

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| --- | --- |
| **e** | Review of alternative measures |
| Guidepost | There is a review of the potential effectiveness and practicality of alternative measures to minimise UoA-related mortality of unwanted catch of main species.  | There is a **regular** review of the potential effectiveness and practicality of alternative measures to minimise UoA-related mortality of unwanted catch of main species **and they are implemented as appropriate**. |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.5 – Waste management and pollution control

|  |  |
| --- | --- |
| **PI 2.5** | **Waste management and pollution control** |
| Scoring Issue | Minimum | Target |
| **a** | Waste reduction |
| Guidepost | There are **some measures** in place that can help to reduce waste produced by the UoA.  | There is a **strategy** in place, which is expected to reduce waste produced by the UoA.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Chemicals and hydrocarbon wastes |
| Guidepost | There are **some measures** in place that can help to reduce chemical and hydrocarbon wastes produced by the UoA.  | There is a **strategy** in place, which is expected to reduce chemical and hydrocarbon waste produced by the UoA.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **c** | Chemicals and hydrocarbon spills |
| Guidepost | There are **some measures** in place that can help to prevent spills of chemicals and hydrocarbons originating from the UoA.  | There is a **spill prevention and response plan** in place for chemicals and hydrocarbons originating from the UoA.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.6 – Pest/s and disease/s management

|  |  |
| --- | --- |
| **PI 2.6** | **Pest/s and disease/s management** |
| Scoring Issue | Minimum | Target |
| **a** | Spread of pest/s and disease/s |
| Guidepost | There is a **partial strategy** that is expected to prevent the spread of pest/s and disease/s.  | There is a **strategy** that is expected to prevent the spread of pest/s and disease/s. |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.7 – Energy efficiency

|  |  |
| --- | --- |
| **PI 2.7** | **Energy efficiency**  |
| Scoring Issue | Minimum | Target |
| **a** | Energy use monitoring |
| Guidepost | There is some information about energy use of the production unit.  | There is evidence of energy use monitoring relative to production and ongoing effort to improve efficiency. |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Maintenance records of equipment |
| Guidepost | There are maintenance records for equipment.  | Maintenance records for equipment are up to date and available.  |
| Met? | Select one | Select one |
| Rationale  |  |  |

PI 2.8 – Translocation

|  |  |
| --- | --- |
| **PI 2.8** | **Translocations** |
| Scoring Issue | Minimum | Target |
| **a** | Impact of translocation activity |
| Guidepost | The translocation activity is **unlikely** to introduce diseases, pests, pathogens, or non-native species into the surrounding ecosystem.  | The translocation activity is **highly unlikely** to introduce diseases, pests, pathogens, or non-native species into the surrounding ecosystem.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Translocation management strategy evaluation  |
| Guidepost | There is a **partial strategy** in place that is expected to protect the surrounding ecosystem from the translocation activity at levels compatible with the translocation impact target level of performance defined in SIa (target level).  | There is a **strategy** in place that is expected to protect the surrounding ecosystem from the translocation activity at levels compatible with the translocation impact target level of performance defined in SIa (target level).  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 2.9 – Introduction of alien species

|  |  |
| --- | --- |
| **PI 2.9** | **Introduction of alien species** |
| Scoring Issue | Minimum | Target |
| **a** | Management of alien species |
| Guidepost | There is a **partial strategy** in place to prevent progression of ecosystem impacts from occurring due to the presence of the alien species.  | There is a **strategy** in place to prevent progression of ecosystem impacts from occurring due to the presence of the alien species.  |
| Met? | Select one | Select one |
| Rationale |  |  |

Principle 3: Effective management

PI 3.1 – Legal and/or customary framework

|  |  |
| --- | --- |
| **PI 3.1** | **Legal and/or customary framework** |
| Scoring Issue | Minimum | Target |
| **a** | Compatibility of laws or standards with effective management  |
| Guidepost | There is an effective national legal system and a **framework for cooperation**, with other parties where necessary, to deliver management outcomes consistent with the Principles of this standard.  | There is an effective national legal system and organised and **effective cooperation**, with other parties where necessary, to deliver management outcomes consistent with the Principles of this standard.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Respect for rights |
| Guidepost | The management system has a mechanism to **generally respect** the legal rights created explicitly or established by custom of people dependent on harvesting or farming for food or livelihood in a manner consistent with the objectives of Principles of this standard.  | The management system has a mechanism **to observe** the legal rights created explicitly or established by custom of people dependent on harvesting or farming for food or livelihood in a manner consistent with the objectives of Principles of this standard.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 3.2 – Decision-making processes

|  |  |
| --- | --- |
| **PI 3.2** | **Decision-making processes** |
| Scoring Issue | Minimum | Target |
| **a** | Objectives |
| Guidepost | Objectives to guide decision-making, which are consistent with achieving the outcomes expressed in the Principles of this standard, are **implicit** within the production unit specific management system.  | **Short and long-term** objectives, which are consistent with achieving the outcomes expressed in the Principles of this standard, are **explicit** within the production unit’s specific management system.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Decision-making processes |
| Guidepost | There are **some** decision-making processes in place that result in measures and strategies to achieve the production unit specific objectives.  | There are **established** decision-making processes that result in measures and strategies to achieve the production unit specific objectives.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **c** | Responsiveness of decision-making processes |
| Guidepost | Decision-making processes respond to **serious** issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner, and take some account of the wider implications.  | Decision-making processes respond to **all** issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner, and take account of the wider implications of decisions.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **d** | Use of precautionary approach |
| Guidepost |  | Decision-making processes use the precautionary approach and are based on the best available information.  |
| Met? |  | Select one |
| Rationale |  |  |

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| --- | --- |
| **e** | 1. Accountability and transparency of management system and decision-making process
 |
| Guidepost | **Some** information on the production unit’s performance and management action is **generally** available on request to stakeholders.  | Information on the production unit’s performance and management action is available on request to stakeholders, and **explanations are provided for any actions or lack of action associated with findings and relevant recommendations emerging from research, monitoring evaluation and review activity.**  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **f** | 1. Approach to disputes
 |
| Guidepost | Although the management authority or production unit may be subject to continuing court challenges, it is not indicating a disrespect or defiance of the law by repeatedly violating the same law or regulation necessary for the sustainability of the production unit.  | The management system or production unit is attempting to comply in a timely fashion with judicial or administrative tribunal decisions arising from any legal challenges.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 3.3 – Compliance and enforcement

|  |  |
| --- | --- |
| **PI 3.3** | **Compliance and enforcement** |
| Scoring Issue | Minimum | Target |
| **a** | MCS implementation |
| Guidepost | Monitoring, control and surveillance (MCS) **mechanisms** exist and are implemented in the production unit, and there is a reasonable expectation that they are effective.  | A monitoring, control and surveillance **system** (MCS) has been implemented in the production unit and has demonstrated an ability to enforce relevant management measures, strategies and/or rules.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Sanctions |
| Guidepost | Sanctions to deal with non-compliance exist and there is **some evidence** that they are applied.  | Sanctions to deal with non-compliance exist, **are consistently applied,** and thought to provide effective deterrence.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **c** | Compliance |
| Guidepost | Production units are **generally thought** to comply with the management system under assessment, including, when required, providing information necessary for effective management.  | **Some evidence exists** to demonstrate production units comply with the management system under assessment, including, when required, providing information of importance to the effective management of the production unit. |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **d** | Systematic non-compliance |
| Guidepost |  | There is no evidence of systematic non-compliance.  |
| Met? |  | Select one |
| Rationale |  |  |

Principle 4: Social responsibility

PI 4.1 – Child labour

|  |  |
| --- | --- |
| **PI 4.1** | **Child labour** |
| Scoring Issue | Minimum | Target |
| **a** | Child labour |
| Guidepost | No incidences of child labour or young worker abuse are found to have occurred.  | There is evidence that the risk of child labour and young worker abuse has been minimised.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.2 – Forced, bonded or compulsory labour

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| --- | --- |
| **PI 4.2** | **Forced, bonded, or compulsory labour** |
| Scoring Issue | Minimum | Target |
| **a** | Incidences and risk of forced, bonded, or compulsory labour |
| Guidepost | No incidences of forced, bonded or compulsory labour are found to have occurred.  | There is evidence that the risk of forced, bonded or compulsory labour has been minimised.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.3 – Discrimination

|  |  |
| --- | --- |
| **PI 4.3** | **Discrimination** |
| Scoring Issue | Minimum | Target |
| **a** | Incidences and risk of discrimination  |
| Guidepost | No incidences of discrimination are found to have occurred.  | There is evidence that the risk of discrimination covering all aspects of potential discrimination has been minimised.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.4 – Health, safety and insurance

|  |  |
| --- | --- |
| **PI 4.4** | **Health, safety, and insurance**  |
| Scoring Issue | Minimum | Target |
| **a** | Safe and healthy working and living environment for workers  |
| Guidepost | The employer provides a safe and healthy working and living environment (where accommodation is provided) for workers.  |  |
| Met? | Select one |  |
| Rationale |  |  |

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| --- | --- |
| **b** | Health and safety records and corrective action |
| Guidepost | There is evidence that health and safety related accidents and violations are recorded and corrective action is taken when necessary. No immediate and serious dangers to personnel health or safety were identified.  | Hazards to personnel health and safety are known. Accidents are analysed for root causes. The root causes are addressed and remediated to prevent future accidents of a similar nature. All incidences including minor accidents are included. Records are complete and accurate.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| **c** | Occupational health and safety assessment and personnel training |
| Guidepost | There is evidence that personnel are trained effectively on health and safety topics related to their role, responsibilities and activities.  | Formal and regular training courses are undertaken. Risk assessments are documented and/or certified. Personnel are appointed to apply health and safety risk assessment, which may include an overseeing management committee, first aiders and/or fire marshals. Special risks associated with changing workplace or worker condition, such as expectant mothers, will have due consideration.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **d** | 1. Organisation responsibility and insurance provided for personnel accident or injury
 |
| Guidepost | No incidences of workers having to cover their own work-related medical expenses.  | The organisation is responsible and there is proof of insurance (accident or injury) for personnel medical costs in a job-related accident or injury, unless otherwise covered. This includes all seasonal workers.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.5 – Fair and decent wages

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| --- | --- |
| **PI 4.5** | **Fair and decent wages** |
| Scoring Issue | Minimum | Target |
| **a** | Fair and decent wages  |
| Guidepost | The organisation pays at least the legally required minimum wage. Deductions in pay for disciplinary actions are not allowed and payments are made in a manner convenient to workers.  | The organisation pays a living wage and there are no labour-only contracting relationships.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.6 – Freedom of association and collective bargaining

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| --- | --- |
| **PI 4.6** | **Freedom of association and collective bargaining** |
| Scoring Issue | Minimum | Target |
| **a.** | Freedom of association and collective bargaining  |
| Guidepost | There are no incidences of the production unit restricting worker access to associate or bargain collectively.  | There is evidence that the risk of restrictions to freedom of association and collective bargaining has been minimised.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.7 – Disciplinary practices

|  |  |
| --- | --- |
| **PI 4.7** | **Disciplinary practices**  |
| Scoring Issue | Minimum | Target |
| **a** | Disciplinary practices  |
| Guidepost | There is a policy in place to ensure against abusive disciplinary practices. No incidences of tolerated abuse have taken place.  | The risk of potential abuse around discipline has been minimised. There are clearly outlined procedures to raise, file and respond to a complaint of abuse in an effective manner. Management and workers are clear on the policy and procedures. Training is provided to supervisors on acceptable disciplinary measures.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.8 – Working hours

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| --- | --- |
| **PI 4.8** | **Working hours** |
| Scoring Issue | Minimum | Target |
| **a** | Working hours  |
| Guidepost | The organisation abides at least to the legally required working and overtime laws. All overtime is voluntary.  | The organisation abides by industry norms. Overtime is not regular. Workers are provided with at least one day off following every six consecutive days of work.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 4.9 – Environmental and social training

|  |  |
| --- | --- |
| **PI 4.9** | **Environmental and social training** |
| Scoring Issue | Minimum | Target |
| **a** | Environmental awareness and training |
| Guidepost | Information is delivered to production unit workers about environmental and social issues included in this standard such as disposal of waste, and prevention and management of chemical and hydrocarbon spills, grievance procedure.  | There is evidence of environmental and social awareness and training in production unit workers, sufficient for them to properly dispose of waste, and prevent and manage chemical and hydrocarbon spills, or to lodge a grievance.  |
| Met? | Select one | Select one |
| Rationale |  |  |

Principle 5: Community relations and interaction

PI 5.1 – Community impacts

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| --- | --- |
| **PI 5.1** | **Community impacts** |
| Scoring Issue | Minimum | Target |
| **a** | Community impact  |
| Guidepost | An assessment of the production unit community impact is conducted, and if determined necessary by the assessment, an independent p-SIA is conducted.  | Recommendations of the production unit’s community impact assessment are being implemented and the production unit is shown to have positive social benefits for the community.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 5.2 – Conflict resolution

|  |  |
| --- | --- |
| **PI 5.2** | **Conflict resolution** |
| Scoring Issue | Minimum | Target |
| **a** | Resolution of disputes |
| Guidepost | The management system incorporates or is subject by law to a mechanism for the resolution of legal disputes arising within the system.  | The management system incorporates or is subject by law to a transparent mechanism for the resolution of legal disputes, which is considered to be effective in dealing with most issues and that is appropriate to the context of the UoA.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **b** | Roles and responsibilities |
| Guidepost | Organisations and individuals involved in the management process have been identified. Functions, roles and responsibilities are generally understood.  | Functions, roles and responsibilities are explicitly defined and well understood for key areas of responsibility and interaction/s.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **c** | Consultation process |
| Guidepost | The management system includes consultation processes that obtain relevant information from the main affected parties, including local communities and knowledge, to inform the management system.  | The management system includes consultation processes that regularly seek and accept relevant information, including local communities and knowledge. The management system demonstrates transparency and consideration of the information obtained.  |
| Met? | Select one | Select one |
| Rationale |  |  |

|  |  |
| --- | --- |
| **d** | Participation |
| Guidepost | The consultation process provides opportunity for all interested and affected parties to be involved.  |  |
| Met? | Select one |  |
| Rationale |  |  |

PI 5.3 – Rights of indigenous people

|  |  |
| --- | --- |
| **PI 5.3** | **Rights of indigenous people** |
| Scoring Issue | Minimum | Target |
| **a** | Rights of indigenous people |
| Guidepost | There is evidence that the rights of indigenous people are respected by the production unit (where applicable to growing area) and attempts are made to accommodate their needs.  |  |
| Met? | Select one |  |
| Rationale |  |  |

PI 5.4 – Visibility, positioning, and orientation of production units or water-based structures

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| --- | --- |
| **PI 5.4** | **Visibility, positioning, and orientation of production units or water-based structures** |
| Scoring Issue | Minimum | Target |
| **a** | Compliance with navigational rules and regulations |
| Guidepost | Production units allow access for other resource users as prescribed by custom or law.  | Production units proactively facilitate access for other water users.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **b** | Positioning of production unit sites |
| Guidepost | Visible structures of production units are arranged in an orientation and position as prescribed by custom or law.  | Visible structures of production units are arranged in a uniform orientation and position, except where specified by law.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 5.5 – Identification and recovery of substantial gear

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| --- | --- |
| **PI 5.5** | **Identification and recovery of substantial gear** |
| Scoring Issue | Minimum | Target |
| **a** | Identification of substantial gear |
| Guidepost | There is evidence that all substantial gear is identifiable to the production unit.  |   |
| Met? | Select one |  |
| Rationale |  |  |

|  |  |
| --- | --- |
| **b** | Gear recovery |
| Guidepost | There is evidence that gear recovery is conducted by the production unit.   | The production unit ensures that they maintain the proper equipment and /or mechanisms for recovering lost gear.  |
| Met? | Select one | Select one |
| Rationale |  |  |

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| --- | --- |
| **c** | Float use |
| Guidepost | Float use is recorded by the production unit. Floats are securely attached so that they do not become loose.  |  |
| Met? | Select one |  |
| Rationale |  |  |

PI 5.6 – Noise, light, and odour

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| --- | --- |
| **PI 5.6** | **Noise, light, and odour** |
| Scoring Issue | Minimum | Target |
| **a** | Noise, light, and odour |
| Guidepost | There are some measures that can help minimise operational noise, light and odour as appropriate to local custom.  | There is evidence that noise, light and odour originating from the production unit are minimised in areas where it may impact others or as prescribed by law.  |
| Met? | Select one | Select one |
| Rationale |  |  |

PI 5.7 – Decommissioning of abandoned production units or water-based structures

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| --- | --- |
| **PI 5.7** | **Decommissioning of abandoned production units or water-based structures** |
| Scoring Issue | Minimum | Target |
| **a** | Abandoned production units |
| Guidepost | There is a mechanism in place for clearing up any unused production units.  |  |
| Met? | Select one |  |
| Rationale |  |  |