

Form 3 - Public Disclosure Form

This form shall be submitted by the CAB no less than thirty (30) working days prior to any onsite audit. Any changes to this information shall be submitted to the ASC within five (5) days of the change and not later than 10 days before the planned audit. If later, a new announcement is submitted and another 30 days rule will apply.

The information on this form shall be public and should be posted on the ASC website within three (3) days of submission (except unannounced audits).

This form shall be written to be readable to the stakeholders and other interested parties.

This form should be translated into local languages when appropriate

PDF 1 Public Disclosure Form

PDF 1.1 Name of CAB

DNV-GL

PDF 1.2 Date of Submission

28/10/2020

PDF 1.3 CAB Contact Person

PDF 1.3.1 Name of Contact Person

Paul Casburn

PDF 1.3.2 Position in the CAB's-organisation

Lead Auditor

PDF 1.3.3 Mailing address

Veritasveien 1, 1363 Høvik, Norway

PDF 1.3.4 Email address

paul.casburn@dnvgl.com

PDF 1.3.5 Phone number

00353 87 1864429

PDF 1.3.6 Other

NA

PDF 1.4 ASC Name of Client

PDF 1.4.1 Name of the Client

Sashimi Royal A/S

PDF 1.4.1.a Name of the unit of certification

Sashimi Royal A/S

PDF 1.4.2 Name of Contact Person

Claus Rom

PDF 1.4.3 Position in the client's organisation

Director

PDF 1.4.4 Mailing address

Nordre Strandvej 66
7730 Hanstholm
Denmark

PDF 1.4.5 Email address

admin@sashimiroyal.com

PDF 1.4.6 Phone number

+45 (0)92726111

PDF 1.4.7 Other

N/A.

PDF 1.5 Unit of Certification

PDF 1.5.1 Single Site

PDF 1.5.2 Multi-site

PDF 1.5.2.a Ownership status

PDF 1.5.3 Group certification

x
N/A
Owned
N/A

PDF 1.6 Sites to be audited

Site Name	GPS Coordinates	List all species per site and indicate if they are in the scope of the standard	Ownership status (owned/ subcontracted)	Date of planned audit and type of audit (Initial, SA1, SA2, recertification, etc.)	Status (new, in production/ following /in harvest)
Sashimi Royal	57.1210136, 8.6328901	Yellowtail Kingfish <i>Seriola lalandi</i> . In scope	Owned	SA2 . 16th + 17th December 2020	In production

PDF 1.7 Species and Standards

Standard	Species (scientific name) produced	Included in scope (Yes/No)	ASC endorsed standard to be used	Version Number
Seriola/Cobia 1.1	<i>Seriola lalandi</i>	Yes	ASC Seriola and Cobia Standard	Version 1.1 March 2019

PDF 1.8 Planned Stakeholder Consultation(s) and How Stakeholders can Become Involved

Name/organisation	Relevance for this audit	How to involve this stakeholder (in-person/phone interview/input submission)	When stakeholder may be contacted	How this stakeholder will be contacted
Thisted Kommune	Municipality	Input submission	During announcement or audit	Email
Dansk Akvakultur	Aquaculture	Input submission	During announcement or audit	Email
DanForel	Aquaculture	Input submission	During announcement or audit	Email
WWF Denmark	NGO	Input submission	During announcement or audit	Email
DN, Sportsfiskerforbundet	Sport Fishing	Input submission	During announcement or audit	Email
Denmarks Naturfredningsforening	NGO - The Danish Society for Nature Conservation	Input submission	During announcement or audit	Email
Royal Danish Fish A/S	Neighbour & Processing	Input submission	During announcement or audit	Email
FF Skagen Fish meal	Neighbour & Fish meal factory	Input submission	During announcement or audit	Email
Dansk Ornitologisk Forening				
Hanstholm Havn				
Friluftsrådet Nordvest,				

PDF 1.9 Proposed Timeline

PDF 1.9.1	Contract Signed:	June 2018
PDF 1.9.2	Start of audit:	16th December 2020
PDF 1.9.3	Onsite Audit(s):	Remote audit for technical auditor. Social auditor will be onsite December 21st 2020
PDF 1.9.4	Determination/Decision:	Has already been taken. This is a surveillance audit.

PDF 1.10 Audit Team

	Column1	Name	ASC Registration Reference
PDF 1.10.1	Lead Auditor	Paul Casburn	
PDF 1.10.2			
	Translator	Kaino Schlippé-Steffensen	
PDF 1.10.3	Social Auditor	Karsten Borg Høj	

ASC Audit Report - Opening

General Requirements

- C1** Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located.
- C2** Audit reports may contain confidential annexes for commercially sensitive information.
 - C2.1** The CAB shall agree the content of any commercially sensitive information with the applicant, which can still be accessible by the ASC and the appointed accreditation body upon request as stipulated in the certification contract.
 - C2.2** The public report shall contain a clear overview of the items which are in the confidential annexes.
 - C2.3** Except for the annexes that contain commercially sensitive information all audit reports will be public.
- C3** The CAB is solely responsible for the content of all reports, including the content of any confidential annexes.
- C4 Reporting Deadlines for certification and re-certification audit reports (in working day)**
 - C4.1** Within thirty (30) days of the completing of the audit the CAB shall submit a draft report in English and the national or most common language spoken in the area where the operation is located.
 - C4.2** Within five (5) days the ASC should post the draft report to the ASC website.
 - C4.3** The CAB shall allow stakeholders and interested parties to comment on the report for fifteen (15) days.
 - C4.4** Within twenty (20) days of the close of comments, the CAB shall submit the final report to the ASC in English and the national or most common language spoken in the area where the operation is located.
 - C4.5** Within five (5) days the ASC should post the final report to the ASC website.
 - C4.6** Audit reports shall contain accurate and reproducible results.
- C5 Reporting Deadlines* for surveillance audit reports**
 - C5.1** Within ninety (90) days of the completing of the audit the CAB shall submit a final report in English and the national or most common language spoken in the area where the operation is located.
 - C5.2** Within five (5) days the ASC should post the final report to the ASC website.
 - C5.3** Audit reports shall contain accurate and reproducible results.

1 Title Page

1.1 Name of Applicant

Sashimi Royal A/S

1.2 Report Title [e.g. Public Draft Certification Report/ Final certification report/Surveillance report]

Audit Report Surveillance 2

1.3 CAB name

DNV GL

1.4 Name of Lead Auditor

Paul Casburn

1.5 Names and positions of report authors and reviewers

Paul Casburn, Lead and technical auditor. Karsten Borg Høj, Social Auditor
Kjell Roar Bekkevold, Technical reviewer.

1.6 Client's Contact person: Name and Title

Mr. Claus Rom, Managing Director
Mr. Palle Jensen, Quality Manager

1.7 Date

12/04/2021

2 Table of Contents

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3 Glossary

Terms and abbreviations that are specific to this audit report and that are not otherwise defined in the ASC glossary

EU = European union
ERA = Environmental authority
CVR = Tax number
GGN = Global Gap number
VHS = Viral Haemorrhagic septicaemia
IHN = Infectious hematopoietic necrosis
IPN = Infectious Pancreatic necrosis
BKD = Bacterial kidney disease
ILA = Infectious salmonid anemia
RAS = Recirculated Aquaculture system

4 Summary

A concise summary of the report and findings. The summary shall be written to be readable to the stakeholders and other interested parties.

4.1 A brief description of the scope of the audit (including activities of the UoC being audited)

Grow-out production of Yellowtail Kingfish (*Seriola lalandi*) in land-based, indoor, closed recirculating aquaculture system (RAS) in Hanstholm, Denmark.
 The scope of the audit included principles and criteria of the ASC Seriola Standard, Version 1.1. The audit included all farming related activities (on-site handling and document review), incl. water quality monitoring and harvest. For the social part, employees in different areas were interviewed during the on-site audit and meetings were held with the employees.

4.2 A brief description of the operations of the unit of certification

The growing facility is made up of 2 doughnut type rings with 7 tanks in each Ring. The water volume moved per hour is 7,200 cubic meters and the makeup water is 1500m3 per day. Total holding capacity is 400 tons of standing stock and approximately 380,000 fish. Fish reach harvest size in 1 year. All final products are sold to Nordic seafood only.

4.3 Type of unit of certification (select only one type of unit of certification in the list)

Single farm (owned by client)

4.4 Type of audit (select all the types of audit that apply in the list)

Surveillance 1

4.4.1 Number of sites included in the unit of certification

Initial audit - 09/2018
 Surveillance audit 1 - 01/2020
 Surveillance audit 2 - 12/ 2020
 Recertification audit - mm/ yyyy

Owned by client	Subcontracted by client
1	0
1	0
1	0

4.5 A summary of the major findings

There were no major findings. See summary of findings TAB.

4.6 The Audit determination

Continue certification. Compliant and remains certified.

5 CAB Contact Information

5.1 CAB Name

DNV GL

5.2 CAB Mailing Address

Veritasveien 1, 1363 Høvik, Norway

5.3 Email Address

paul.casburn@dnvgl.com

5.4 Other Contact Information

N/A

6 Background on the Applicant

6.1 Information on the Public Disclosure Form (Form 3) except 1.2-1.3. All information updated as necessary to reflect the audit as conducted.

No changes.

6.2 A description of the unit of certification (*for initial audit*) / changes, if any (*for surveillance and recertification audits*)

The scope of the audits is a land-based, indoor (closed) RAS with 1 production system with 7 compartments in inner tank for the small fish and 6 compartments at the outer tank for the larger fish.

6.3 Other certifications currently held by the unit of certification	No
6.4 Other certification(s) obtained by the UoC before this audit	N/A.
6.5 Estimated annual production volumes of the unit of certification of the <u>current</u> year	450 tons
6.6 <u>Actual</u> annual production volumes of the unit of certification of the <u>previous</u> year (<i>mandatory for surveillance and recertification audits</i>)	450 tons
6.7 Production system(s) employed within the unit of certification (<i>select one or more in the list</i>)	Land-based, indoor, closed recirculating aquaculture system (RAS)
6.8 Number of employees working at the unit of certification (<i>see notes in comment to this cell</i>)	17 (10 in production).
6.9 Size, and/or number of ponds, pens (if multi site, per site)	Indoor (closed) RAS in 1 production system with 14 tanks. The re-circulation system is a doughnut configuration. Total floor area of the facility is 30,000 m2.

7 Scope

7.1 The Standard(s) against which the audit was conducted, including version number	ASC Seriola and Cobia Standard, V. 1.1, March 2019
7.2 The species produced at the applicant farm (<i>in English and Latin names</i>)	Yellowtail Kingfish (<i>Seriola lalandi</i>)

7.3 A description of the scope of the audit including a description of whether the unit of certification covers all production or harvest areas (i.e. ponds) managed by the operation or located at the included sites, or whether only a sub-set of these are included in the unit of certification. If only a sub-set of production or harvest areas are included in the unit of certification these shall be clearly named.

The scope of the audit is grow-out facilities of Yellowtail Kingfish from Juveniles (50-80gr.) to harvest size (4kg approx) in the faciity located at Hantsholm in Denmark called Sashimi royal. Harvet is included as its carried out on site. All tanks are included in the scope. Processing takes place elsewhere.

7.4 The names and addresses of any storage, processing, or distribution sites included in the operation (including subcontracted operations) that will potentially be handling certified products, up until the point where product enters further chain of custody.

The fish are ony processed in Nordic Seafoods ASC-C-00062 located at Hirtshals in Denmark.
<https://www.nordicseafood.com/products/fresh-fish>

7.5 Description of the receiving water body(ies).

The receiving water body is the Skaggerak, located on the west coast of Denmark. The facility is located within an industrial zone of a commercial port.

8 Audit Plan

8.1 The names of the auditors and the dates when each of the following were undertaken or completed: conducting the audit, writing of the report, reviewing the report, and taking the certification decision.

Remote Audit: Paul Casburn 16th and 17th December 2020
 On-site social audit: Karsten Borg, December 18th.
 Writing of the report: Paul Casburn and Karsten Borg, December 2020.
 Reviewing the report: Kjell Roar Bekkevold. March 2021.

This is a Surveillance audit and the site remains certified.

8.2 Previous Audits (if applicable):

NC reference number Standard clause reference Closing deadline - status - closing date of each NC

8.2.1 Initial audit - 09/2018

NC reference number	Standard clause reference	Closing deadline - status - closing date of each NC
1	1.1.1 Minor	CLOSED dd 5-9-2018
2`	1.1.4 Minor	CLOSED dd 5-9-2018
3	2.3.1 Minor	CLOSED dd 5-9-2018
4	2.3.2 Major	CLOSED dd 5-9-2018
5	2.4.2 Minor	CLOSED dd 5-9-2018
6	3.2.1 Minor	CLOSED dd 5-9-2018
7	4.1.1 Minor	CLOSED dd 5-9-2018
8	4.2.1 Major	CLOSED dd 5-9-2018
9	4.3.1 Minor	CLOSED dd 5-9-2018
10	4.3.2 Minor	CLOSED dd 5-9-2018
11	4.3.3 Minor	CLOSED dd 5-9-2018
12	4.4.3 Minor	CLOSED dd 5-9-2018
13	6.4.2 Major	CLOSED dd 5-9-2018
14	6.4.3 Minor	CLOSED dd 5-9-2018
15	6.7.2 Minor	CLOSED dd 5-9-2018
16	6.8.1 Minor	CLOSED dd 5-9-2018
17	6.8.2 Major	CLOSED dd 5-9-2018
18	6.9.2 Major	CLOSED dd 5-9-2018
19	7.1.1 Minor	CLOSED dd 5-9-2018

Surveillance audit 1 - 01/2020
 Surveillance audit 2 - mm/ yyyy
 Recertification audit - mm/ yyyy
 Unannounced audit - mm/ yyyy
 NC close-out audit - mm/ yyyy
 Scope extension audit mm/ yyyy

NC1- SA12020	1.1.3 Major	All closed following the audit.
NC2- SA12020	3.3.2 Minor	
NC3- SA12020	4.1.1 Minor	
NC4- SA12020	4.2.1 Minor	
NC5-	4.3.2 Minor	
	6.4.1 Major	
	6.4.2 Minor	
		See summary of Findings.

8.3 Audit plan as implemented including:

- 8.3.1 Desk Reviews
- 8.3.2 Onsite audits
- 8.3.3 Stakeholder interviews and Community meetings
- 8.3.4 Draft report sent to client
- 8.3.5 Draft report sent to ASC
- 8.3.6 Final report sent to Client and ASC

Dates	Locations
nov-20	Auditor offices
dic-20	Remote audit due to Covid 19
NA	None requested
	gen-20
NA	Surveillance audit

8.4 Names and affiliations of individuals consulted or otherwise involved in the audit including: representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit.

Claus Rom, Managing director
 Bo Thomas Christensen and Oliver Jensen in combination, production manager
 Christian Bidstrup, Technician/maintenance
 Lenette Pedersen Blaabjerg, Sales & Marketing
 Palle Jensen, Quality / Lab.

The audit was held as a remote audit due to the COVID-19 situation and in accordance with "ASC policy for audits during the Covid-19 outbreak" d.t 18.03.2020.
 Demonstrations of equipment and processes took place, relevant to the scope of the audit, according to the ASC Seriola and Cobia standard v1.1 and following guidelines in the ASC Seriola and Cobia Audit Manual v1.1
 No stakeholder requests or submissions were recieved prior to the audit being published.
 Harvest was not witnessed at this time as due to Covid the audit was a remote one and no harvestign was taking place onsite.☒

8.5 Stakeholder submissions, including written or other documented information and CAB written responses to each submission at different stages of the certification process (audit notification, during on-sitt audit, public comment period)

Name of stakeholder (if permission given to make name public)	Relevance to be contacted	Date of contact	CAB responded Yes/No	Brief summary of points Raised	Use of comment by CAB	Response sent to stakeholder
	None					

8.6 E5.1.i List of sites exempted from the scope of an initial audit and how they meet conditions in E5.1.i

NA

8.6.1 E5.1.ii Justification for auditing site(s) meeting conditions under E5.1.i

NA

8.7 E5.1.1.i List of sites removed after the initial audit

NA

8.7.1 E5.2.2 Reason for the removal of sites from the certificate.

NA

8.8 E5.4 Map of sites included in the unit of certification has been attached

NA

8.9 E5.5 Site(s) in following period included in the audit (*only for surveillance and re-certification audits*)

		Audit
PRINCIPLE 1: COMPLY WITH ALL APPLICABLE LAWS AND REGULATIONS		
1.1. Criteria: All applicable laws and regulations		
Indicator	Compliance Criteria (Use as guidance for audit only)	
1.1.1	<p>Indicator: Documents demonstrating compliance with all relevant local and national laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain digital or hard copies of applicable land and water use laws. Provide the audit team with a summary of applicable laws and permit requirements along with contact details for relevant staff.</p> <p>b. Maintain original (or certified copies of) lease agreements, land titles and concession permit(s) on file as applicable.</p> <p>c. Keep records of inspections for compliance with national and local laws and regulations (only if such inspections are legally required in the country of operation).</p> <p>d. Others, please describe</p>
1.1.2	<p>Indicator: Documents demonstrating compliance with all tax laws.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide a certificate of tax clearance or tax law conformity from local Revenue authority;</p> <p>OR</p> <p>Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax). Note that CABs will not disclose confidential tax information unless client is required to or chooses to make it public.</p> <p>b. Demonstrate that the farm ensures compliance with tax laws appropriate to its size and scale. Large-scale producers should for instance use the services of a qualified and knowledgeable tax professional such as a chartered Public Accountant to manage overall compliance with taxation law. Small-scale producers should show tax receipts.</p> <p>c. If tax is paid by a parent company legally then the farm should present information to this effect.</p> <p>d. Others, please describe</p>

1.1.3	<p>Indicator: Documents demonstrating compliance with all labor laws and regulations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Demonstrate how the farm conforms with the requirements of national and regional/local labor codes and employment law.</p> <p>b. Keep records of farm inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of operation).</p> <p>c. Others, please describe</p>
1.1.4	<p>Indicator: Documents demonstrating compliance with regulations and permits concerning water quality impacts.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Obtain permits for discharge water where applicable.</p> <p>b. Maintain records of monitoring and compliance with discharge laws and/or regulations as required.</p> <p>c. Maintain records of monitoring and compliance with waste and pollution laws/regulations.</p> <p>d. Others, please describe</p>
PRINCIPLE 2: CONSERVE NATURAL		
<i>Crite</i>		
2.1.1	<p>Indicator: TOC , sulphide, or redox levels in sediment immediately outside of Allowable Zone Effect (AZE)(1) attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in TOC, sulphide, or redox levels in sediment at the edge of the AZE in comparison to the control site..</p> <p>Applicability: All farms except as noted in footnote 1. For farms that have yet to define an AZE, within 3 years from the publication of the Seriola and Cobia</p>	<p>a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.</p> <p>OR (for farms that have yet to define an AZE and for up to 3 years from the publication of the Seriola and Cobia standards):</p> <p>Prepare a map of the farm showing GPS locations of all sediment-sampling stations.</p> <p>b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a-g, and 2.1.2.</p> <p>c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</p> <p>d. Collect sediment samples using an appropriate methodology and sampling regime, following the guidance in the Seriola and Cobia Standards (i.e. at the time of peak cage biomass and at all required stations).</p> <p>e. For option #1, measure and record redox potential (mV) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p>

	standards.	<p>f. For option #2, measure and record sulphide concentration (uM) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>g. For option #3, measure and record Total Organic Carbon (e.g. % by weight) in surficial sediment samples taken from immediately outside the AZE as well as at an un-impacted control site far removed from the farm using an appropriate, nationally or internationally recognized testing method.</p> <p>h. Others, please describe</p>
2.1.2	<p>Indicator: Abundance of harmful (invasive or noxious) macrofauna immediately outside of AZE attributable to farm operations as evidenced by control.</p> <p>Requirement: No significant change in harmful macrofauna at the edge of the AZE in comparison to the control site..</p> <p>Applicability: All farms except as noted in footnote 1. For farms that have yet to define an AZE, within 3 years from the publication of the Seriola and Cobia standards.</p>	<p>a. Prepare a map of the farm showing boundary of AZE and GPS locations of all sediment-sampling stations. If the farm uses a site-specific AZE, provide justification for its selection to the CAB.</p> <p>OR (for farms that have yet to define an AZE and for up to 3 years from the publication of the Seriola and Cobia standards):</p> <p>Prepare a map of the farm showing GPS locations of all sediment-sampling stations.</p> <p>b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1a-g, and 2.1.2.</p> <p>c. Inform the CAB of which indicator the farm has selected for evaluating and monitoring benthic impact.</p> <p>d. Analyze epifaunal and infaunal components of sediment samples including identification to species level and enumeration of all species, for all sampling stations.</p> <p>e. Estimate proportions of all faunal species present in sediments immediately outside the AZE and at an un-impacted control site far removed from the farm and test for significance in difference (95% C.I.) in presence of opportunistic species and species that are considered to be indicators of benthic enrichment or harm.</p> <p>f. Others, please describe</p>
<i>Criterion</i>		
2.2.1	<p>Indicator: Turbidity levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in turbidity levels in the water column at the edge of the AZE in</p>	<p>a. Devise appropriate and detailed turbidity monitoring procedure with detailed maps of sampling points and detailed methodology.</p> <p>b. Measure and record turbidity initially on a monthly basis at the edge of the Allowable Zone of Effect and at an un-impacted control site far removed from the farm.</p> <p>c. Conduct analysis of turbidity data for statistically significant difference (95% C.I.) between turbidity at the edge of the AZE and at one or more control sites far removed from any potential farm influence.</p>

	<p>comparison to the control site.</p> <p>Applicability: All.</p>	<p>d. Provide results of statistical analysis for initial 12 month turbidity monitoring</p> <p>e. Implement annual turbidity monitoring procedure.</p> <p>f. Others, please describe</p>
<p>2.2.2</p>	<p>Indicator: Ammonia levels in the water column inside and outside AZE.</p> <p>Requirement: No significant change in ammonia levels in the water column at the edge of the AZE in comparison to the control site.</p> <p>Applicability: All.</p>	<p>a. Devise appropriate and detailed ammonia monitoring procedure with detailed maps of sampling points and methodology. The monitoring action must be appropriate for size and scale of the impact and if the farm can prove low impact over a year then don't have to monitor so frequently afterwards.</p> <p>b. Measure and record ammonia initially on a monthly basis at the edge of the Allowable Zone of Effect and at an un-impacted reference (control) site far removed from the influence of a farm.</p> <p>c. Conduct analysis of ammonia data for statistically significant difference (95% C.I.) between ammonia levels at the edge of the AZE and at one or more control sites far removed from any potential farm influence.</p> <p>d. Provide results of statistical analysis for initial 12 month ammonia monitoring.</p> <p>e. Implement annual ammonia monitoring procedure.</p> <p>f. Others, please describe</p>
<i>Criterion 2.3</i>		
<p>2.3.1</p>	<p>Indicator: Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum: a) identification of proximity to critical, sensitive or protected habitats and species, b) description of the potential impacts the farm might have on biodiversity, with a focus on affected habitats or species, and c) a description of strategies and current and future programs underway to eliminate or minimize any identified impacts the farm might have.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Collect documentation that allows an interpretation of the farms location in the context of biodiversity and ecosystems that may be at risk from under assessment farm related impacts. The monitoring action must be appropriate for size and scale of the potential impact of the farm and if the farm can prove low impact over a year then don't have to monitor so frequently afterwards.</p> <p>b. Complete a detailed risk assessment for potential impacts of the farm on critical, sensitive and protected habitats and species. Demonstrate how the farm has strategies and programmes in place that are designed to minimise or eliminate negative impacts on species and habitats.</p> <p>c. Collect independent evidence that confirms the level of interaction and/or impact of the farm on critical, sensitive or protected habitats and species. Evidence can include stakeholder submission.</p> <p>d. Others, please describe</p>
		<p>a. Provide Geographical Information System (GIS) files according to ASC guidelines showing the boundaries of the farm relative to nearby protected areas (see footnote 4).</p>

2.3.2	<p>Indicator: Allowance for the farm to be sited in a legally designated protected area .</p> <p>Requirement: None (see note above).</p> <p>Applicability: All.</p>	<p>b. If the farm is sited in a legally protected area, review the scope of applicability of Indicator 2.3.2a. (see Instructions above) to determine if the farm is allowed an exception to the requirements. If yes, inform the CAB and provide supporting evidence.</p> <p>c. Demonstrate that the farm does not conflict with or interfere with the operation or integrity of designated parks, limited use protected areas or national preservation areas.</p> <p>d. Others, please describe</p>
<i>Criteria</i>		
2.4.1	<p>Indicator: Acoustic deterrent devices allowed.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Prepare a written statement affirming that the farm's management is committed to not using acoustic deterrent devices (ADDs) or acoustic harassment devices (AHDs) for control of marine pests and/or predators.</p> <p>b. Compile documentary evidence to show that no ADDs or AHDs are used on the farm (e.g. predator and pest control procedure and evidence of implementation).</p> <p>d. Others, please describe</p>
2.4.2	<p>Indicator: Number of mortalities of endangered or red-listed animals in the farm lease area and adjacent areas due to farm operations or personnel or associates.</p> <p>Requirement: 0.</p> <p>Applicability: All.</p>	<p>a. Provide a list of endangered and red-listed animals occurring in the farm lease area and surrounding areas.</p> <p>b. Produce a documented record of the farm's impact on biodiversity and nearby ecosystems. Detail species/habitats, spatial/temporal aspects, type of interaction and outcome.</p> <p>c. Establish list of predators and pests requiring control. Identify clearly the permitted mitigation/control procedures and records that must be kept.</p> <p>d. Record all mortalities, species and time of the event.</p> <p>e. Others, please describe</p>
2.4.3	<p>Indicator: Evidence that the following steps were taken prior to lethal action against a (non-endangered or non red-listed) predator:</p> <ol style="list-style-type: none"> 1. All other avenues were pursued prior to using lethal action. 2. Approval was given from a senior manager above the farm manager 	<p>a. Provide a company document that sets out the procedure that must be followed prior to lethal resolution of a predator.</p> <p>b. Maintain a log of predator control events that allows for verification of adherence to company procedures regarding predator control.</p>

	<p>Requirement: Yes, unless human safety is immediately threatened.</p> <p>Applicability: All.</p>	<p>d. Others, please describe</p>
2.4.4	<p>Indicator: Evidence that information about any lethal incident on the farm has been:</p> <ol style="list-style-type: none"> 1. Reported to the appropriate government oversight agency. 2. Made easily publicly accessible. <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Demonstrate that details on lethal predator management events have been transmitted to appropriate/most relevant government oversight agency.</p> <p>b. Demonstrate that details on lethal predator management events are made available to the public.</p> <p>c. Others, please describe</p>
2.4.5	<p>Indicator: Maximum number of lethal incidents on farm over the prior two years.</p> <p>Requirement: For birds: 4 lethal incidents. For sharks: 2 lethal incidents. For marine mammals: 1 lethal incident.</p> <p>Applicability: All.</p>	<p>a. Maintain log of lethal incidents for a minimum of two years. For first audit, > 6 months of data are required.</p> <p>b. Calculate the total number of lethal incidents involving different species or groups of species (e.g. sharks, birds, marine mammals) during the previous two-year period.</p> <p>c. If the farm can demonstrate valid publicly available research that whatever is killed is hindering the recovery of any population then it may be exempt from the set requirement number in this indicator.</p> <p>d. Others, please describe</p>
2.4.6	<p>Indicator: In the event of any lethal incident, evidence that an assessment of the probability of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Carry out documented review of lethal incidents and revise risk assessment and procedures (see 2.3.1) if necessary / as appropriate.</p> <p>b. Demonstrate through revision of procedures that management of predators is continually being reviewed with a view to eliminating the need for lethal management.</p> <p>c. Others, please describe</p>
PRINCIPLE 3: PROTEC		

3.1.1	<p>Indicator: Culture of a non-native species.</p> <p>Requirement: None, unless commercial farming of the species already occurs in the region at time of the first publication of the SCAD standards, or a closed land-based production system with minimal risk of escapes and/or pest and pathogen transfer to wild populations is used.</p> <p>Applicability: All.</p>	<p>a. Confirm to the CAB that the farm produces only native species OR.</p> <p>b. If non-native species, provide verifiable evidence that the species was being legally cultured commercially in the country and/or region/state prior to the publishing of the <u>seriola and cobia standard in 2015</u> OR</p> <p>c. If the farm cannot provide evidence for 3.1.1b, provide documented evidence that the production system is closed to the natural environment and for each of the following: 1) non-native species are separated from wild fish by effective physical barriers that are in place and well maintained; 2) barriers ensure there are no escapes of reared fish specimens that might survive and subsequently reproduce; and 3) barriers ensure there are no escapes of biological material that might survive and subsequently reproduce (e.g. UV or other effective treatment) by treating effluent water prior to it exiting the system to the natural environment.</p> <p>d. Others, please describe</p>
<i>Cr</i>		
3.2.1	<p>Indicator: Culture of transgenic fish by the farm.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Prepare a declaration stating that the farm does not use transgenic stock.</p> <p>b. Maintain records for the origin of all cultured stocks including stocking date, supplier details, and contact person(s) for stock purchases.</p> <p>c. Ensure stock purchase/origin documentation clearly identifies genetic status and whether stock is transgenic or not.</p> <p>d. Others, please describe</p>
	<p>Indicator: For all fish, the operation must have an established plan related to escape management, and adhere to rigorous maintenance procedures and frequent net</p>	<p>a. Prepare a Stock Escape Prevention and Management Plan that includes a detailed farm operations risk assessment and submit it to the CAB prior to the first audit. The plan should explicitly detail what maintenance procedures are critical and important in the context of avoiding escapes, including but not limited to farm equipment maintenance and frequency of <u>net inspections</u>.</p> <p>b. If the farm operates an open net pen system, ensure the plan (3.3.1a):</p> <ul style="list-style-type: none"> -clearly identifies the important and critical issues in the context of minimizing escape events; and -sets out clear procedures for ensuring: <ul style="list-style-type: none"> • net strength testing; • use of appropriate net mesh size; • net traceability; • system robustness; • predator management; • record keeping; • reporting risk events (e.g. holes, infrastructure issues, handling errors); • staff training to cover all of the above areas; and • staff training on escape prevention and counting technologies.

3.3.1	<p>inspections.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>c. If the farm operates a closed system, ensure the plan (3.3.1a):</p> <ul style="list-style-type: none"> -clearly identifies the important and critical issues in the context of minimizing escape events; and -sets out clear procedures for ensuring: <ul style="list-style-type: none"> • system robustness;- • predator management; • record keeping; • reporting risk events (e.g. holes, infrastructure issues, handling errors); • staff training to cover all of the above areas; and • staff training on escape prevention and counting technologies. <p>d. Maintain records as specified in the plan.</p> <p>e. Train staff on escape prevention planning and management as per the farm's plan.</p> <p>g. Others, please describe</p>
3.3.2	<p>Indicator: Operations will undertake and maintain detailed records on fish escapes and counting. This will include records of breaches in nets, estimates on escapes and stocked vs. recovered fish counts. Note: farms will also include technology and methodology for undertaking fish counts.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain detailed records for mortalities, stocking count, harvest count (recovered fish), and details of escape events and possible escapes (e.g. through holes in nets).</p> <p>b. Calculate the unrecorded stock escape as described in the instructions (above) for the most recent full production cycle. For first audit, farm must demonstrate understanding of calculation and the requirement to disclose unrecorded losses after harvest of the current cycle.</p> <p>c. Make the results from 3.3.2b available publicly. Keep records of when and where results were made public (e.g. date posted to a company website) for all production cycles.</p> <p>d. Others, please describe</p>
3.3.3	<p>Indicator: For selectively bred stock or for non-selectively bred stock not from local sources or for wild fingerlings not from local sources more than 2 escape events of 30% (cumulative total fish not recovered) over 2 years .</p> <p>Requirement: No.</p> <p>Applicability: All.</p>	<p>a. Determine whether stocks under culture are selectively bred, non-selectively bred but not from local sources or are from wild fingerlings not collected locally. If none of these apply, requirements 3.3.3 b.-d. do not apply.</p> <p>b. Where appropriate, maintain monitoring records of all incidences of confirmed or suspected escapes, specifying date, cause, and estimated number of escapees.</p> <p>c. Where appropriate, aggregate cumulative escapes (events and numbers) of all stocks in the most recent production cycle.</p> <p>d. Where appropriate, maintain the monitoring records described in 3.3.3a for at least 10 years beginning with the production cycle for which farm is first applying for certification.</p> <p>e. Others, please describe</p>

3.3.4	<p>Indicator: All escape events of farmed <i>Seriola</i> or <i>Cobia</i> are reported to the pertinent regulatory agency.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Document details of reportable escape events and suspected escape events. Make available details of reportable escapes and make results from 3.3.2b available to regulatory agencies. In absence of regulatory requirement keep the data and make it available for ASC on request.</p> <p>c. Others, please describe</p>
3.4.1	<p>Indicator: Evidence that purchased or collected wild fingerlings are harvested from a source fishery with a public fishery assessment, for example FishSource or is in a credible fishery improvement process (FIP) towards an ISEAL compliant fisheries sustainability certification scheme.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide details of source fishery from which fingerlings are taken. Provide supporting documentation including purchase orders, invoices, delivery notes etc. that attest to the <u>origin of wild fingerlings</u>.</p> <p>b. Provide FishSource score (www.FishSource.com) for wild fingerling fishery or evidence of MSC certification. If FishSource score or MSC certification is not available, then proceed to 3.4.1 c</p> <p>c. Demonstrate to audit team that the wild fingerling source fishery is in a credible Fisheries Improvement Programme towards an ISEAL compliant fisheries certification scheme</p> <p>d. Others, please describe</p>
3.4.2	<p>Indicator: Traceability of wild or hatchery purchased or collected fingerlings to their source.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide details of hatchery or fishery from which fingerlings are obtained. Provide supporting documentation including purchase orders, transit/movement authorisations, catching vessel details, invoices, delivery notes, stocking records etc. that attest to the origin of all stock present on the farm.</p> <p>c. Others, please describe</p>
PRINCIPLE 4: USE RESOURCES <i>Criteria</i>		
4.1.1	<p>Indicator: Evidence of traceability, demonstrated by the feed producer, of fishmeal and fish oil ingredients .</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records.</p> <p>b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to production of feeds and send them a copy of the ASC <i>Seriola</i> and <i>Cobia</i> Standard.</p> <p>c. For each feed producer supplying the farm, confirm that an independent third party audit of the producer has recently been completed against an ISEAL compliant standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer.</p> <p>d. Obtain declaration from feed producers and suppliers stating that the company can assure traceability of all fishmeal and fish oil ingredients used in making <i>seriola</i> and <i>cobia</i> diets.</p>

		f. Others, please describe
4.2.1	<p>Indicator: a) Fishmeal Forage Fish Dependency Ratio (FFDRm) and Fish Oil Forage Fish Dependency Ratio (FFDRo) for <i>Seriola</i> (calculated using formulae in Appendix 1). Kampachi (<i>S. rivoliana</i>, <i>S. dumerili</i>), Hamachi (<i>S. quinqueradiata</i>). b) FFDRm and FFDRo Cobia (calculated using formulae in Appendix 1)</p> <p>Requirement: a) Kampachi: $FFDRm \leq 2.9/FFDRo \leq 2.9$ Hamachi: $FFDRm \leq 6.0/FFDRo \leq 7.0$ (now) $FFDRm \leq 4.8/FFDRo \leq 5.0$ (3 years) $FFDRm \leq 2.9/FFDRo \leq 2.9$ (6 years) b) $FFDRm \leq 6.0/FFDRo \leq 6.0$ (now) $FFDRm \leq 4.0/FFDRo \leq 4.0$ (3 years) $FFDRm \leq 2.9/FFDRo \leq 2.9$ (6 years)</p> <p>Applicability: All.</p>	<p>a. Maintain a detailed inventory of the feed used that includes information concerning:</p> <ul style="list-style-type: none"> Quantities used of each formulation (kg); Percentage of fishmeal and fish oil in each formulation used; Source (fishery) of fishmeal and fish oil in each formulation used; Percentage of fishmeal and fish oil in each formulation derived from trimmings; Supporting documentation and signed declaration from feed supplier. <p>b. For FFDRm and FFDRo calculations, exclude fishmeal and/or oil derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery as per more detailed guidance in Appendix 1.</p> <p>c. Calculate eFCR using formula in Appendix 1 .</p> <p>d. Calculate FFDRm and FFDRo using the relevant formulas in Appendix 1 .</p> <p>e. Others, please describe</p>
4.2.2	<p>Indicator: Use of wet feed and moist pellets.</p> <p>Requirement: Must be sourced from the same ecosystem as the farm.</p> <p>Applicability: All.</p>	<p>a. Maintain records of wet fish and moist pellet use on the farm, where the fish content originated from and where it was caught.</p> <p>b. Others, please describe</p>
		<i>Criteria</i>
	<p>Indicator: Timeframe for at least 90% fishmeal or fish oil used in feed to come from fisheries certified under an ISEAL member's accredited certification whose primary goal is to promote ecological sustainability</p>	<p>a. Obtain documentation that indicates the relative quantities of fishmeal and fish oil used in feed manufacture that is certified under an ISEAL member's accredited certification.</p> <p>b. Prepare a letter stating the farm's intent to source feed containing fishmeal and fish oil originating from fisheries certified under an ISEAL member standard.</p>

<p>4.3.1</p>	<p>Requirement: Within 5 years following the date of the publication of the SCAD standards.</p> <p>Applicability: All.</p>	<p>c. If audit >5years after publication of Seriola and Cobia standards, provide documentation that confirms that requirement for at least 90% fishmeal or fish oil used in feed to come from fisheries certified under an ISEAL member's accredited certification has been met.</p> <p>d. Others, please describe</p>
<p>4.3.2</p>	<p>Indicator: Prior to achieving 4.3.1, the fishmeal or fish oil used in feed must have a FishSource score of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP).</p> <p>Requirement: At least 80% of the fish meal and fish oil used in feed (excluding fishmeal and oil from byproducts) must meet this criteria.</p> <p>Applicability: All.</p>	<p>a. Obtain documentation from feed producers and/or suppliers that independently confirms the FishSource scores for at least 80% of fishmeal and fish oil used in feed manufacture. OR</p> <p>b. Where FishSource scores are not available for any particular fishmeal or fish oil ingredient/s, compile evidence that attests to the fishmeal and fish oil suppliers being engaged in a credible FIP.</p> <p>c. Others, please describe</p>
<p>4.3.3</p>	<p>Indicator: Feed containing fishmeal and/or fish oil originating from by-products or trimmings from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species .</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Compile and maintain, consistent with 4.2.1a, a list of the fishery of origin for all fishmeal and fish oil originating from by-products and trimmings.</p> <p>b. Obtain a declaration from the feed producer and/or supplier stating that no fishmeal or fish oil originating from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species is used to produce feed.</p> <p>c. If meal or oil originated from a species listed as "vulnerable" by IUCN but that species is sourced from a local stock that is not considered vulnerable, obtain documentary evidence to support a request for an exception based on regional differences in status of the relevant species/populations.</p> <p>d. Others, please describe</p>
	<p>Indicator: Feed ingredients which come from other fish from the same genus.</p>	<p>a. Obtain from feed producers and/or suppliers declarations that the fishmeal and/or fish oil does not originate from fish of the same genus as that under cultivation.</p>

4.3.4	Requirement: None. Applicability: All.	<p>b. Obtain documentary evidence that feed manufacturer operates procedures to ensure that no raw material in a diet originates from the same genus as the fish for which the diet is intended. This includes all fishmeal and fish oil (including bulk fish and waste/trimmings/byproduct) that may be used.</p> <p>c. Others, please describe</p>
<i>Criterion 4.4</i>		
4.4.1	Indicator: Presence and evidence of traceability and a responsible sourcing policy for the feed manufacturer for feed ingredients which comply with internationally recognized moratoriums and local laws . Requirement: Yes. Applicability: All.	<p>a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records.</p> <p>b. Inform each feed producer (and supplier) in writing of ASC requirements pertaining to traceability and responsible sourcing for feed manufacturers and/or suppliers.</p> <p>c. For each feed producer used by the farm, confirm that an independent third party audit of the producer was recently completed by a CAB against a standard that includes an evaluation of feed input traceability. Obtain a copy of the most recent audit report for each feed producer.</p> <p>d. Others, please describe</p>
4.4.2	Indicator: Documentation of the use of transgenic plant raw material, or raw materials derived from genetically modified plants, in the feed. Requirement: Yes. Applicability: All.	<p>a. Obtain from feed supplier(s) a declaration detailing the content of transgenic plant raw materials and/or raw materials derived from genetically modified plants, in feed. This requirement is just about knowing that the feed includes or does not include transgenic material and then not claim the opposite.</p> <p>b. Disclose to the buyer(s) a list of any transgenic and /or genetically modified plant raw material used in feeds and maintain documentary evidence of this disclosure. For first audits, farm records of initial disclosures shall pre-date the audit by > 6 months.</p> <p>c. Others, please describe</p>
	Indicator: Percent of non-marine ingredients from sources certified by an ISEAL Member's certification scheme that addresses environmental and social sustainability.	<p>a. Obtain documentation that indicates the relative quantities of non-marine ingredients used in feed manufacture that is certified under an ISEAL member's accredited certification.</p> <p>b. For non-conforming farms, prepare a declaration stating the farm's intent to source feed that contains non-marine ingredients certified under an ISEAL member standard that addresses both environmental and social sustainability.</p>

4.4.3	<p>Requirement: 80% for soy and palm oil within 5 years from the date of the publication of the ASC Seriola and Cobia Standard .</p> <p>Applicability: All.</p>	<p>c. If audit >5years after publication of Seriola and Cobia standards, provide documentation that confirms that requirement for at least 80% of non-marine ingredients used in feed comes from ISEAL member certifications that address both environmental and social sustainability.</p> <p>d. Others, please describe</p>
PRINCIPLE 5: PROACTIVELY MAINTAIN THE HEALTH OF THE FISH <i>Criteria</i>		
5.1.1	<p>Indicator: Commitment to participate in an Area-Based Management (ABM) scheme.</p> <p>Requirement: The farm participates in an ABM, where it exists, for managing disease and resistance to treatments.</p> <p>Applicability: All.</p>	<p>a. Keep record of farm's participation in an ABM scheme and communication around scheme availability.</p> <p>b. Submit to the CAB a description of how the ABM coordinates management of disease and resistance to treatments, for instance: - coordination of stocking; - following; - therapeutic treatments; and - information sharing.</p> <p>c. Provide the CAB access to documentation which is sufficient for the auditor to evaluate the ABM's compliance with definition of area, minimum % participation in the scheme, components, and coordination requirements.</p> <p>d. Others, please describe</p>
5.1.2	<p>Indicator: A demonstrated commitment to collaborate with NGOs, academics and governments on areas of mutually agreed research to measure possible impacts of pests or parasites on wild stocks.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Retain records to show how the farm and/or its operating company has communicated with external groups (NGOs, academics, governments) to agree on and collaborate towards areas of research to measure impacts on wild stocks, including records of requests for research support and collaboration and responses to those requests.</p> <p>b. Provide non-financial support to research activities in 5.1.2a by either: - providing researchers with access to farm-level data; - granting researchers direct access to farm sites; or - facilitating research activities in some equivalent way.</p> <p>c. When the farm and/or its operating company denies a request to collaborate on a research project, ensure that there is a written justification for rejecting the proposal.</p> <p>d. Maintain records from research collaborations (e.g. communications with researchers) to show that the farm has supported the research activities identified in 5.1.2a.</p> <p>e. Others, please describe</p>
		<p>a. Prepare an annual schedule for ectoparasite testing that identifies timeframes of routine testing frequency.</p>

5.1.3	<p>Indicator: On-farm testing for ectoparasites, with test results made easily publicly available.</p> <p>Requirement: Yes, with results made easily publicly available within seven days of testing.</p> <p>Applicability: All.</p>	<p>b. Maintain records of results of on-farm testing for ectoparasites. If farm deviates from schedule due to weather maintain documentation of event and rationale.</p> <p>c. Document the methodology used for testing ectoparasites ('testing' includes both counting and identifying ectoparasites). The method must follow national or international norms, follows accepted minimum sample size, use random sampling, and record the species and life stage of the ectoparasite. If farm uses a closed production system and would like to use an alternate method (i.e. video), farm shall provide the CAB with details on the method and efficacy of the method.</p> <p>d. Make the testing results from easily publicly available (e.g. posted to the company's website) within seven days of testing. If requested, provide stakeholders access to hardcopies of test results.</p> <p>e. Keep records of when and where test results were made public.</p> <p>f. Submit test results to ASC at least once per year.</p> <p>g. Others, please describe</p>
5.2.1	<p>Indicator: Use of therapeutic treatments that are banned by law under the local jurisdiction or listed as critically important for human medicine by the World Health Organization</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	<p>a. Maintain a current version of the WHO list of antimicrobials critically and highly important for human health.</p> <p>b. Maintain a list of therapeutants the use of which in finfish aquaculture are banned by law and also maintain a list of therapeutants the use of which in finfish aquaculture are permitted by law.</p> <p>c. If the farm has used antibiotics listed as critically important to human health and/or has used therapeutants that are banned in finfish culture to treat any fish during the current production cycle, inform the CAB prior to scheduling audit.</p> <p>d. If yes to 5.2.1c, request an exemption to the requirement of 5.2.1 from the CAB in order to certify only that portion of production that complies with the indicator. Prior to the audit, provide the CAB with records sufficient to establish details of treatment, which holding facilities were treated, and how the farm will ensure full traceability and separation of treated fish through and post- harvest.</p> <p>e. Others, please describe</p>
5.2.2	<p>Indicator: Prophylactic use of chemical antimicrobial treatments (excluding prebiotics or vaccinations).</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	<p>a. Maintain records for all purchases of chemical antimicrobials (invoices, prescriptions) for the current and prior production cycles.</p> <p>b. Maintain a detailed log of all medication-related events (see also 5.2.1a and 5.2.3).</p> <p>c. Calculate the total amount (g) and treatments (#) of chemical antimicrobials used during the current and preceding production cycles.</p> <p>d. Others, please describe</p>
		<p>a. Prepare a fish health management plan that incorporates components related to identification and monitoring of fish disease and parasites. This plan may be part of a more comprehensive farm planning document.</p>

5.2.3	<p>Indicator: Farms have a comprehensive fish health management plan approved by the farm's designated veterinarian that includes either a) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists, or b) veterinarian-approved alternative fish health management strategies.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>b. Ensure that documentation is available to verify that the fish health management plan includes mandatory procedures for either: i) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists; OR ii) veterinarian-approved alternative fish health management strategies.</p> <p>c. Ensure that the farm's current fish health management plan was reviewed and approved by the farm's designated veterinarian.</p> <p>d. Demonstrate that the farm complies with World Organisation for Animal Health (OIE) regulations relating to transfer of fish/eggs/fingerlings, Specific pathogen free status and quarantine status (see http://www.oie.int/international-standard-setting/aquatic-code/access-online/).</p> <p>e. Others, please describe</p>
5.2.4	<p>Indicator: Allowable farm level anti-parasiticide treatment not including freshwater, formaldehyde or hydrogen peroxide.</p> <p>Requirement: None .</p> <p>Applicability: All.</p>	<p>a. Identify permitted anti-parasiticides that may be applied to stock during the farming procedure in the fish health management plan. Provide Material Data Safety Sheets for all anti-parasiticide products that are used. Only freshwater, formaldehyde and hydrogen peroxide is allowed and others are banned.</p> <p>b. Make available records relating to all chemical, veterinary and therapeutant suppliers. Include Invoices, laboratory testing results as well as prescriptions and treatment records.</p> <p>c. Others, please describe</p>
5.3.1	<p>Indicator: Weekly average percent dissolved oxygen (DO) saturation on farm, calculated in the following methodology.</p> <p>Requirement: >70% saturation .</p> <p>Applicability: All farms. Exception can be granted to farms that do not conform to >70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.</p>	<p>a. Monitor and record on-farm percent saturation of DO at a minimum of twice daily using a calibrated oxygen meter or equivalent method. For first audits, farm records must cover ≥ 6 months. The ASC recognizes that it is not always safe to carry out weekly monitoring and there can be pragmatic and sensible solutions to testing. Under no circumstances should worker safety be compromised if, for example, there is bad weather.</p> <p>b. Provide a written justification for any missed samples or deviations in sampling time.</p> <p>c. Calculate weekly average percent saturation based on data.</p> <p>d. If any weekly average DO values are < 70%, or approaching that level, monitor and record DO at a reference site and compare to on-farm levels (see Instructions).</p> <p>e. Arrange for auditor to witness DO monitoring and calibration while on site.</p> <p>f. Others, please describe</p>
	<p>Indicator: Maximum percentage of weekly samples from 5.3.1 that fall under 70%.</p>	<p>a. Calculate the percentage of on-farm samples taken that are less than 70% saturation DO.</p> <p>b. Inform CAB if the percentage of on-farm DO measurements that are less than 70% DO is greater than 5%. Provide data for previous 6 months.</p>

5.3.2	<p>Requirement: <5%.</p> <p>Applicability: All farms. Exception can be granted to farms that do not conform to >70% saturation where it can be demonstrated that farm site DO readings are consistent with those of a reference site.</p>	c. Others, please describe
PRINCIPLE 6:		
6.1.1	<p>Indicator: Number of incidences of child labor .</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions:</p> <ul style="list-style-type: none"> • in developing countries where the legal minimum age may be set to 14 years ; or • in countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed. <p>If the farm operates in a country where the legal minimum ages is not 15, then the employer shall maintain documentation attesting to this fact.</p> <p>b. Minimum age of permanent workers is 15 or older (except in countries as noted at 6.1.1a).</p> <p>c. Employer must maintain personnel records that are sufficient to demonstrate conformity with requirements.</p> <p>d. Others, please describe</p>
6.1.2	<p>Indicator: Percentage of young workers that are protected</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. Young workers are appropriately identified in company policies & training programs, and job descriptions are available for all young workers at the site.</p> <p>b. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs.</p> <p>c. Daily records of working hours (i.e. timesheets) are available for all young workers.</p> <p>d. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours.</p> <p>e. Young workers are not exposed to hazards and do not perform hazardous work . Work on floating cages in poor weather conditions shall be considered hazardous.</p> <p>f. Others, please describe</p>
<i>Crit</i>		
6.2.1	<p>Indicator: Number of Incidents where employers withhold any part of employee salary, property, or benefits upon termination of employment.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. It must be demonstrated that workers are free to leave the employment and workplace and that they are not subject to withholding of payments or denial of any other benefits of employment; or under any other obligations to the employer other than those are legal and contractual in nature.</p> <p>b. Conformity will be verified further through discussion with selected staff members during the on-site audit.</p> <p>c. Others, please describe</p>

6.2.2	<p>Indicator: Number of incidents where employees are required to surrender original identity documents upon commencing employment (except as required for processing of legal documentation).</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. It must be demonstrated that workers are not required to surrender original identity documents except for when and for as long as it is necessary for the purpose of processing legal documentation.</p> <p>b. Conformity will be verified further through discussion with selected staff members during the on-site audit.</p> <p>c. Others, please describe</p>
<i>Criteria</i>		
6.3.1	<p>Indicator: Evidence of comprehensive and proactive antidiscrimination policies, procedures and practices including, but not limited to, discrimination in the workplace and equal access to all jobs in relation to gender, age, race, religion, creed, caste, or sexual orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Demonstrate that employer has a written pro-active anti-discrimination policy in place, stating the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.</p> <p>b. Demonstrate that employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints and that these policies are understood and adhered to by staff.</p> <p>c. Demonstrate that employer proactively respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises.</p> <p>d. Demonstrate that all managers and supervisors receive training on diversity and non-discrimination and pro-active tolerance of diversity. All personnel receive non-discrimination training. Internal or external training is acceptable if proven effective.</p> <p>e. Others, please describe</p>
6.3.2	<p>Indicator: Number of confirmed incidences of discrimination.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Employer maintains a record of all discrimination complaints. Records do not show evidence that the farm discriminates on grounds related to age, gender, religion, race, creed, caste, sexual orientation, national origin, disability, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>b. Interview with employees and employee testimonies will be used to confirm that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p> <p>c. Others, please describe</p>
	<p>Indicator: Equality of pay, benefits and promotion opportunities for all employees independent of gender, age, race, religion, creed, caste or sexual</p>	<p>a. Include in anti-discrimination policy reference to equality of pay, benefits and promotional opportunities being independent of race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p>

6.3.3	<p>orientation.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>b. Interview with employees and employee testimonies will be used to confirm that the company does not discriminate on pay, benefits or promotional opportunities on the basis of race, caste, religion, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.</p>
		c. Others, please describe
6.3.4	<p>Indicator: Number of incidents where employer dismisses an employee on the basis of marital status or pregnancy or deny employee legal rights to pregnancy or maternity leave.</p> <p>Requirement: None.</p>	<p>a. Check human resource records and employee files to verify grounds for dismissal or incidents of denying employee legal rights related to maternity or paternity leave.</p> <p>b. During the on-site audit, interview employees in relation to grounds for dismissal and company performance with respect to the granting of parental leave.</p>
		c. Others, please describe
<i>Critical</i>		
6.4.1	<p>Indicator: Percentage of employees trained in health and safety practices, procedures and policies relevant to the job.</p> <p>Requirement: 100% for operations above five employees.</p> <p>Applicability: All.</p>	<p>a. Employer has documented practices, procedures (including emergency response procedures) and policies to protect employees from workplace hazards and to minimize risk of accident or injury. The information shall be available to employees.</p> <p>b. Employees know and understand emergency response procedures.</p> <p>c. Employer conducts health and safety training for all employees on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization, Occupational Safety and Health (OSH) and effective use of PPE.</p>
		d. Others, please describe
6.4.2	<p>Indicator: Safety equipment (Personal Protective Equipment, PPE) provided and maintained and in use.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Employer provides workers with PPE that is appropriate to known health and safety hazards.</p> <p>b. Employees receive annual training in the proper use of PPE. For workers who participated in the initial training(s) previously an annual refreshment training may suffice, unless new PPE has been put to use.</p> <p>c. During the on-site audit, employees will be interviewed to confirm the above.</p>
		d. Others, please describe
6.4.3	<p>Indicator: All health and safety related accidents and violations are recorded and corrective actions taken when necessary.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Employer records all health- and safety-related accidents.</p> <p>b. Employer records and maintains complete documentation for all occupational health and safety events, accidents, violations and investigations.</p> <p>c. Employer implements corrective action plans in response to any accidents that occur. Plans are documented and they include an analysis of root cause, actions to address root cause, actions to remediate, and actions to prevent future accidents of similar nature.</p> <p>d. Interview employees in order to determine what procedures are implemented and explain what analysis has been done and what steps were taken on foot of accidents or health and safety related events or concerns.</p>
		e. Others, please describe

6.4.4	<p>Indicator: Evidence of employer responsibility and/or proof of insurance (accident or injury) for 100% of worker costs in a job-related accident or injury when not covered under national law.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Employer maintains and makes available documentation to confirm that all personnel are adequately insured to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must be provided to all workers including part-time, temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance.</p> <p>b. Others, please describe</p>
6.5.1	<p>Indicator: Percentage of workers whose basic wage (before overtime and bonuses) is below the minimum wage.</p> <p>Requirement: 0%.</p> <p>Applicability: All.</p>	<p>a. Employer keeps documents to show the legal minimum wage in the country of operation. If there is no legal minimum wage in the country, the employer keeps documents to show the industry-standard minimum wage. The intention of this indicator is to protect the most vulnerable workers, other staff such as managers may be paid in kind and are not to be considered as 'workers' for the purpose of this indicator.</p> <p>b. Employer's records (e.g. payroll) confirm that worker's wages for a standard work week (\leq 48 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show how the current wage meets or exceeds industry standard. If wages are based on piece-rate or pay-per-production, the employer's records must show how workers can reasonably attain (within regular working hours) wages that meet or exceed the legal minimum wage.</p> <p>c. Maintain documentary evidence (e.g. payroll, timesheets, punch cards, production records, and/or utility records). Workers will be interviewed during on-site audit to verify conformity with the above.</p> <p>d. Others, please describe</p>
6.5.2	<p>Indicator: The percentage of workers whose basic wage (before overtime and bonuses) is below the basic needs wage 5 years after adoption of the standard.</p> <p>Requirement: 0%.</p> <p>Applicability: All.</p>	<p>a. Auditor to calculate the basic needs wage and compare it to the farm's calculation to verify for accuracy.</p> <p>b. Provide evidence that all farm workers are paid at least the basic needs wage (before overtime and bonuses) within 5 years of publication of the seriola and cobia standard.</p> <p>c. Demonstrate basic needs wage for the country of operation. The audit team will verify accuracy of the calculation and end figure.</p> <p>d. Others, please describe</p>
		<p>a. Wages and benefits are clearly articulated to workers and documented in contracts.</p> <p>b. The method for setting wages is clearly set out and explained to workers.</p>

6.5.3	<p>Indicator: Evidence of transparency in wage-setting and rendering.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>c. Employer renders wages and benefits in a way that is convenient for the worker (e.g. cash, check, or electronic payment methods). Workers do not have to travel to collect benefits nor do they receive promissory notes, coupons or merchandise in lieu of payment.</p> <p>d. Workers will be interviewed to confirm conformity with the standards requirements.</p> <p>e. Others, please describe</p>
<i>Criterion 6.6 Access to Trade Unions</i>		
6.6.1	<p>Indicator: Percentage of employees with access to trade unions, worker organizations, and/or the ability to self-organize as well as the ability to bargain collectively or access the representative(s) chosen by workers without management interference.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. Demonstrate that all workers have the freedom to join a trade union or any legitimate workers organisation, free of any form of interference from employers or competing organizations set up or backed by the employer. Farms shall prepare documentation to demonstrate to the auditor that domestic regulation fully meets these criteria.</p> <p>b. Demonstrate that workers are permitted to self-organize and/or engage in collective bargaining.</p> <p>c. During interviews with workers, verify conformity with the requirements of 6.6.1 and that workers are free to access worker chosen representatives without interference from management or agents of the company.</p> <p>d. Others, please describe</p>
6.6.2	<p>Indicator: Incidences of members of unions or worker organizations being discriminated against.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. During interviews with workers and workers representatives, determine if there are incidents of members of unions or workers organizations being discriminated against by management.</p> <p>b. Review any stated cases of discrimination on the basis of union membership or membership of workers organisations with management to verify whether the farm is in conformity with requirements of the standard.</p> <p>c. Others, please describe</p>
<i>Criterion 6.7 Harassment and disciplinary practice</i>		
6.7.1	<p>Indicator: Incidences of excessive or abusive disciplinary Actions.</p> <p>Requirement: None.</p> <p>Applicability: All.</p>	<p>a. Verify that the employer does not use threatening, humiliating or punishing disciplinary practices that negatively impact a worker's physical and mental health or dignity.</p> <p>b. Allegations of corporal punishment, mental abuse, physical coercion, or verbal abuse must be fully documented in a company procedure so that these can be corroborated by auditors.</p> <p>c. During on-site audit, workers will be interviewed to determine whether there is evidence of excessive or abusive disciplinary actions.</p> <p>d. Others, please describe</p>
	<p>Indicator: Evidence of clear, fair and transparent disciplinary procedures documented and communicated to employees.</p>	<p>a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker. Maintain evidence that employees are aware of procedures and that the process is transparent.</p>

6.7.2	Requirement: Yes. Applicability: All.	b. Maintain documentary audit trail for incidences of disciplinary action and outcome (incl. worker evaluation reports). Workers may be interviewed during onsite audit to determine level of conformity and that disciplinary action policy is fair and effective.
		c. Others, please describe
6.7.3	Indicator: Evidence that incidences of harassment are recorded and addressed with corrective actions. Requirement: 100%. Applicability: All.	a. Employer has in place a policy in relation to harassment of workers. The policy requires a procedure to be initiated in the event of incidents of harassment by management of workers or between workers. The procedure is documented and records details, action taken, outcome and corrective actions required. b. During the on-site audit, interview workers with respect to harassment, policies and procedures as well as examples of harassment action and outcomes to verify level of conformance. c. Others, please describe
6.8.1	Indicator: Incidences, violations or abuse of working hours or overtime laws . Requirement: None. Applicability: All.	a. The employer must make available documentation showing the legal requirements for working hours and overtime in the region where the farm operates. If local legislation allows workers to exceed internationally accepted recommendations (48 regular hours, 12 hours overtime) then requirements of the international standards apply. b. Examination of a randomly selected sample of records (by the auditor) - including time sheets and payroll records show that farm workers do not exceed the number of working hours allowed under the law. c. If an employer requires employees to work shifts at the farm (e.g. 10 days on and six days off), the employer compensates workers with an equivalent time off in the calendar month and there is evidence that employees have agreed to this schedule (e.g. in the hiring contract) d. Farm workers may be interviewed to confirm there is no abuse of working hours and overtime laws. e. Others, please describe
6.8.2	Indicator: Overtime is limited, voluntary , paid at a premium rate and restricted to exceptional circumstances. Requirement: Yes. Applicability: All farms unless exempted.	a. Make available payment records (e.g. pay advice) show that workers are paid a premium rate for overtime hours. b. Overtime is limited and occurs in exceptional circumstances as evidenced by farm records (e.g. production records, time sheets, and other records of working hours) c. Workers may be interviewed to confirm that all overtime is voluntary (unless there is a collective bargaining agreement in place which specifically allows for compulsory overtime). c. Others, please describe
<i>Criterion 6.</i>		
6.9.1	Indicator: Percentage of workers who have contracts or other written employment agreements.	a. The employer maintains a record of all employment contracts. b. There is no evidence for labor-only contracting relationships or false apprenticeship schemes.

	<p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>c. Be advised that workers will be interviewed to confirm the above.</p> <p>d. Others, please describe</p>
6.9.2	<p>Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors when operating on the farm site.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Farm has a policy to ensure that all companies contracted to provide supplies or services (e.g. divers, cleaning, maintenance) have socially responsible employment practices and policies.</p> <p>b. Producing company has criteria for evaluating its suppliers and contractors. The company keeps a list of approved suppliers and contractors.</p> <p>c. Producing company keeps records of communications with suppliers and subcontractors that relate to compliance with 6.7.2.</p> <p>d. All workers on site including those indirectly employed are to be protected by the requirements of Principle 6 and the auditor can check records, observations and interviews with these workers to evaluate compliance.</p> <p>e. Others, please describe</p>
6.10.1	<p>Indicator: Evidence of worker access to effective, fair and confidential grievance procedures.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. The employer has a clear labor conflict resolution policy for the presentation, treatment, and resolution of worker grievances in a confidential manner, supported by a documented procedure.</p> <p>b. Workers are familiar with the company's labor conflict resolution policies and procedures. There is evidence that workers have access to fair treatment of complaints.</p> <p>c. The farm must maintain documentary evidence (e.g. complaint or grievance filings, minutes from review meetings). Workers may be interviewed during on-site audit in order to verify conformity.</p> <p>d. Others, please describe</p>
6.10.2	<p>Indicator: Percentage of grievances handled that are addressed within a 90-day timeframe.</p> <p>Requirement: 100%.</p> <p>Applicability: All.</p>	<p>a. The employer maintains a record of all grievances, complaints and labor conflicts that are raised.</p> <p>b. The employer keeps a documentary record of follow-up and outcome, according to procedural requirements (including corrective actions) and timeframe in which grievances are addressed.</p> <p>c. Workers will be interviewed to verify conformity with the procedure for dealing with grievances and that they were addressed within a 90-day timeframe.</p> <p>d. Others, please describe</p>
<i>Criterion 6.11 Li</i>		
6.11.1	<p>Indicator: Farm employees have access to clean, sanitary, safe and suitable living conditions.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Provide evidence that potable/safe drinking water is always available for workers</p> <p>b. Provide evidence that adequate sanitary facilities are available for workers</p> <p>c. Provide evidence of safe, secure and quality accommodation sufficient to withstand local conditions in the event of storms or other natural events that could endanger lives.</p> <p>d. Provide evidence that accommodation provided is suitable to workers needs (and their family's), appropriate for their gender if accommodated on site also.</p> <p>d. Others, please describe</p>

6.11.2	<p>Indicator: Existence of separate sanitary and toilet facilities for men and women; with the exception of work sites with fewer than 10 employees or where married couples are working and accommodated together.</p> <p>Requirement: Yes.</p> <p>Applicability: All farms and accommodation and worksites except as permitted exclusions (6.11.2a).</p>	<p>a. Provide separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together and at worksites that have less than 10 employees.</p> <p>b. Others, please describe</p>
PRINCIPLE 7: BE A		
7.1.1	<p>Indicator: Evidence of regular and meaningful consultation and engagement with community representatives and organizations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. The farm pro-actively arranges for consultations with the local community at least twice every year (bi-annually).</p> <p>b. Consultations are meaningful. OPTIONAL: the farm may choose to use participatory Social Impact Assessment (pSIA) or an equivalent method for consultations.</p> <p>c. Consultations include participation by representatives from the local community who were asked to contribute to the agenda in advance of meetings.</p> <p>d. Consultations include communication about, or discussion of, the potential human health risks of therapeutic treatments. The intention is for the farm to resolve conflicts that the farm has control / responsibility over and interviews are to be conducted in language appropriate to the community. Not to use technical language like for instance, 'theraputants'.</p> <p>e. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above.</p> <p>f. Be advised that representatives from the local community and organizations may be interviewed to confirm the above.</p> <p>g. Others, please describe</p>
7.1.2	<p>Indicator: Presence and evidence of an effective policy and mechanism for the presentation, treatment and resolution of complaints by community stakeholders and organizations.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>a. Farm policy provides a mechanism for presentation, treatment and resolution of complaints lodged by stakeholders, community members, and organizations.</p> <p>b. The farm follows its policy for handling stakeholder complaints as evidenced by farm documentation (e.g. follow-up communications with stakeholders, reports to stakeholder describing corrective actions).</p> <p>c. The farm's mechanism for handling complaints is effective based on resolution of stakeholder complaints (e.g. follow-up correspondence from stakeholders).</p> <p>d. Be advised that representatives from the local community, including complainants where applicable, may be interviewed to confirm the above.</p> <p>e. Others, please describe</p>
<i>Criterion 7.</i>		
	<p>Indicator: Local groups consulted during project design</p>	<p>a. As required by law in the jurisdiction: - farm consults with local and/or indigenous groups and retains documentary evidence (e.g. meeting minutes, summaries) to show how the process complies with 7.2.1b.</p>

7.2.1	<p>and operation.</p> <p>Requirement: At least 2x per year or as required by relevant local and/or national laws and regulations.</p> <p>Applicability: All.</p>	<p>b. Farm management demonstrates an understanding of relevant local and/or national laws and regulations that pertain to consultations with indigenous groups.</p> <p>c. Representatives from the local community, including complainants where applicable, may be interviewed to confirm the above consultation and engagement with local groups at planning and operational stages.</p> <p>d. Others, please describe</p>
7.3.1	<p>Indicator: Changes undertaken restricting access to vital community resources without community approval.</p> <p>Requirement: 0.</p> <p>Applicability: All.</p>	<p>a. Resources that are considered vital to the community have been documented and are known by the farm (i.e. through the assessment process required under Indicator</p> <p>b. The farm seeks and obtains community approval before undertaking changes that restrict access to vital community resources. Approvals are documented.</p> <p>c. Representatives from the community may be interviewed to provide evidence of whether or not the farm has restricted access to vital resources without prior community approval.</p> <p>d. Others, please describe</p>
7.3.2	<p>Indicator: Assessments of company's impact on access to resources.</p> <p>Requirement: At least once per year.</p> <p>Applicability: All.</p>	<p>a. There is a documented assessment of the farm's impact upon access to resources. Can be completed as part of community consultations under 7.2.1.</p> <p>b. Representatives from the community may be interviewed to generally corroborate the accuracy of evidence presented in 7.3.2a.</p> <p>c. Others, please describe</p>

report - ASC SERIOLA/COBIA STANDARD			
Corresponds to Seriola and Cobia standard v. 1.1			
APPLICABLE INTERNATIONAL, NATIONAL AND LOCAL LAWS AND REGULATIONS			
legal requirements and regulations where farming operation is located			
Audit evidence	Evaluation	Description of NC	Value/ Metric
<p>1. Write down all audit evidence. Audit evidence (including evidence of conformity and nonconformity) should be recorded so that the audit can be repeated by a different audit team.</p> <p>2. Replace explanatory text.</p> <p>3. If you see any Compliance Criteria which is not listed below, please describe also in the cells below.</p>	<p>(Per indicator, select one category in the drop-</p>	<p>Provide an explanation of the reason(s) for the classification of any NCs or non-applicability</p>	<p>Provide values - if applicable for the respective Indicator</p>
<p>There has been no change in the licences for the facility since the initial audit. 5 laws and regulations relating to fish farming in Denmark are available: Building/construction regulations, environmental protection law, guidance on the approval for saltwater fish farming, Feed Regulation, Discharge Regulation, EU Regulation on foreign species. Water intake for both sea water and fresh water are subject to a new application that is ongoing for future development.</p> <p>No requirements from the government regarding to Total N and P released, but annual limits are set by the EIA for Sashimi Royal at 48 and 5.5 Kg/MT produced fish.</p> <p>The land is rented from the Harbour of Hanstholm. Lease agreement between Sashimi Royal Aps (CVR 36950609) and Hansholm Havn, dated 18-12-2016.</p> <p>Environmental approval dd 27-8-2014 and authorisation for aquaculture farming from Miljø Fødevareministeriet (Food Administration Agency), with Sashimi Royal A/S autorisationsnummer 36950609125276, dated 14-8-2017.</p> <p>The farm has approval for on-site slaughtering from the Miljø Fødevareministeriet (Food Administration Agency), authorisation nr. 6524</p> <p>Aquaculture/Fish production, Authorisation number 36950609125276 from the Miljø Fødevareministeriet (Food Administration Agency)</p>	Compliant		
<p>CVR number is how the company is compliant to Tax system in Denmark. This number does change at all. The number is 36950609.</p>	Compliant		

<p>The social auditor reviewed these labour requirements in detail within principle 6. There is no indication that the company does not comply with labour requirements. There is a company Handbook for employees which includes rules and regulations. These comply with general requirements about labour and employment procedure as expected within an EU developed country.</p>	<p>Compliant</p>		
<p>Sludge goes to biogas use. There is no permit required for bio gas use. ERA document describes the effluent. The amount of effluent is monitored as is the Nitrogen and phosphorus once a month. By the 1st of May 2021 a new treatment system will be in place that will remove more Nitrogen and there is an agreement in place from the Kommune to do this. There was a plan to put this in place in 2020 but due to Covid this has been delayed until May 2021. The Thistead Kommune has agreed this and the Environmental authorities have approved the plan. The water abstraction so far for 2020 is for 208,057m3 of seawater in 2020 with a limit of 880,000 m3. The fresh water use is 82,698m3 with a total allowable use of 394,200 m3.</p>	<p>Compliant</p>		
<p>HABITAT, LOCAL BIODIVERSITY AND ECOSYSTEM STRUCTURE AND FUNCTION</p>			
<p><i>tion 2.1 Benthic biodiversity and benthic effects</i></p>			
<p>As this is a land based re-circulation unit there is no AZE as defined.</p>	<p>N/A</p>	<p>As this is a land based re-circulation unit there is no AZE as defined.</p>	

<p>As this is a land based re-circulation unit there is no AZE as defined.</p>	<p>N/A</p>	<p>As this is a land based re-circulation unit there is no AZE as defined.</p>	
<p><i>2.2 Water quality in and near the site of operation</i></p>			
<p>As this is a land based unit there is no water column</p>	<p>N/A</p>	<p>As this is a land based unit there is no water</p>	

		column.	
As this is a land based unit there is no water column.	N/A	As this is a land based unit there is no water column.	
<i>Interaction with critical or sensitive habitats and species</i>			
<p>There have been no changes since the first audit. The company has developed a document for the workers on site that involve the 11 protected species in the area of the farm. These species include: Otter Canis Lupus, Bats and Phocoena phocoena.</p> <p>Instructions provided to the employees dated 25/11/2020 and includes that no killing of the listed animal species and precautions to be taken. Any killings must be listed and reported.</p>	Compliant		

<p>The farm has provided a polygonal map to the ASC in an email dated 7th December 2020 . This map was CC'd to the auditor and was reviewed during the audit. Google Earth was also used to see the site and its surrounds. There is no doubt the farm is located in a dedicated industrial area.</p>	<p>Compliant</p>		
<p><i>2.4 Interaction with wildlife, including predators</i></p>			
<p>This is a land site and there are no Acoustic devices EWERS AS are the pest control (rodent) providers and they assure that not they do not use Acoustic devices. Contract in place since 1/11/2017. Last report dated 4/10/2020.</p>	<p>Compliant</p>		
<p>The site and company has had no animal mortalities at all. The company has developed a document for the workers on site that involve the 11 protected species in the area of the farm. Theses species include: Otter Canis Lupus, Bats and Phocoena phocoena. There are no predator issues as the facility is located entirely indoors.</p>	<p>Compliant</p>		
<p>There are no lethal actions necessary as this is an enclosed re-circulation system, located totally indoors.</p>	<p>N/A</p>	<p>There are no lethal actions necessary as this is an enclosed re-circulation system</p>	

<p>The company procedure on lethal incidents and interactions with wildlife, includes instructions on how to make the lethal incident easily publicly available. The company has a website and if there are any reports required this is where they will be found.</p>	Compliant		
<p>There have been no lethal incidents. The facility is located on land and is fully enclosed in a building. If there was anything the facility has the ability to record any incidents.</p>	Compliant		
<p>There have been no lethal incidents. The facility is located on land and is fully enclosed in a building. If there was anything the facility has the ability to record any incidents and to make an assessment. Risk of any incidents is extremely low.</p>	Compliant	As the farm is fully based ashore and located in a building there are no issues with lethal incidents.	
THE HEALTH AND GENETIC INTEGRITY OF WILD POPULATIONS <i>Criterion 3.1 Culture of non-native species</i>			

<p>The species farmed known as Yellowtail <i>Seriola lalandi</i>, is non-native in Denmark. Authorisation for farming <i>Seriola lalandi</i> in a land based re-circulation system was granted 14-8-2017. Granting of the permission was only as the system was re-circulated and land based. In November 2019 the Environmental agency verified and endorsed the farming of the species in the facility. The only other facility allowed to have Yellowtail in Denmark is the sister company that provides juveniles and that is the Maximus facility (CVR 12822405).</p>	Compliant		
<i>Criterion 3.2 Introduction of transgenic species</i>			
<p>Declaration from the company dated 2018 stating that there is no Transgenics. Also one form the supplying hatchery called Maximus dated 25/9/2020, that the fish are not transgenic.</p>	Compliant		
<i>Criterion 3.3 Escapes</i>			
<p>There is a plan in place. A visit by the Danish Environmental Protection Agency took place in September 2019 and concluded that the company meets the requirements for being a closed facility. Staff had escape prevention training</p>			

<p>concluded that the company meets the requirements for being a closed facility, but has escape prevention training dated 25/11/2020 and they signed the document.</p> <p>There have been no escapes of fish reported. There are a series of filters in place between the facility and the open ocean and generally the water system is a re-circulation system where the water is re-used.</p>	Compliant		
<p>Records of fish numbers are updated daily using the day sheets that record mortality and feed levels. This data is fed back into the farms XL data sheet that controls and informs the biomass per pen and feed used. On the audit date the total stock was 170,818 fish with an overall biomass of 322670kg. Feed totals are also recorded. There is no suspicion of any escapes. As this is a closed unit there is no need to publicly report fish escapes or use the calculation.</p>	Compliant		
<p>The species farmed is an exotic species to Denmark. No wild fingerlings used. The hatchery is also a fully closed re-circulation system and the water is fully filtered and no escapes are suspected. Noted on 22nd June 2020 from the Miljø-og Fodevareministeriet there is a list of approved closed systems used for cultivation of foreign species and there are 3 on the list. They include Sashimi Royal, and Maximus A/S CVR 12822405 located in Thisted Kommune. The facility has been farming since 2017.</p>	Compliant		

<p>If there are any escapes the company is obliged to report it to the authorities. However, the risk of escape is miniscule and none have been reported.</p>	<p>Compliant</p>		
<p><i>Criterion 3.4 Collection of fingerlings</i></p>			
<p>No wild caught fingerlings are used. The juvenile fish are supplied by Maximus A/S CVR 12822405 located in Thisted Kommune. The fish source score is not applicable.</p>	<p>Compliant</p>		
<p>In Denmark there is a system of fish movement. The CVR numbers of the facilities are noted on each of the movements. Both the sending CVR and receiving CVR are in place along with the date and the number of fish moved.</p>	<p>Compliant</p>		
<p>ES IN AN ENVIRONMENTALLY EFFICIENT AND RESPONSIBLE MANNER</p>			
<p><i>n 4.1 Traceability of marine raw materials in feed</i></p>			
<p>The feed suppliers used are Biomar and Skretting. The feed supply is pretty much 50/50. The feed is in 1 ton bags. Samples are taken from each batch and kept for 3 months. The feed companies are aware of the ASC standard and have the standard previously sent by the company. Both companies have Global GAP certification that insures traceability. The Skretting Spain facility has a GGN 4052852192286 valid until December 2020. There is a Bureau Veritas certificate of conformity to ASC feed requirements valid until 16/5/2021 for the Biomar feed. The GGN for the Biomar facility is 4050373897437.</p>	<p>Compliant</p>		

<i>Criterion 4.2 Efficient and optimized diets</i>			
<p>Feed used is a combination of Skretting and Biomar. Reviewed a feed delivery from Biomar dated 7/12/2020 for 12.1 tons of 7mm feed. 00079/PPKFK/003.</p> <p>They FCR up until July 2020 was 2.72 with 500 tons of feed producing 183.9 tons of fish. 27% of the fish meal used originates from Forage fisheries and 10% of fish oil is from forage fisheries. All other details of the feed makeup is available to the company by request.</p> <p>The FFDRm was calculated at 3.1 and the FFDRo was calculated at 3.0. The company has been running since 2017.</p>	Compliant		<p>FFDRm 3.1 FFDRo 3.0</p>
No wet feed is used. The feed supplier is from both Skretting and Biomar.	N/A	No wet feed used.	
<i>Criterion 4.3 Responsible origin of marine raw materials</i>			

<p>As the audit is <5 years from the publication of the standard this indicator in NA until October 2021.</p>	<p>N/A</p>	<p>As the audit is <5 years from the publication of the standard this indicator in NA until October 2021.</p>	
<p>The company has put together an XL sheet showing the total ingredients used by Biomar including Quantities, species used, Whole fish, Trimmings and their source. EG. Hake Northeast Atlantic for trimmings and Anchoveta, Peruvian N-C including South Ecuador. The Skretting feed has also been evaluated</p> <p>Skretting has not provided details of FishSource scores of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP) for the fish meal and fish oil used in feed supplied.</p> <p>Biomar has provided information on the species it uses and provides the fish scores however, two of the species used in feed is not scored (<i>Sardinella maderensis</i> and <i>Engraulis encrasicolu</i>). Biomar has not confirmed that at least 80% of the fish meal used in the feed is compliant to fish source scores as required.</p>	<p>Minor</p>	<p>Skretting has not provided details of FishSource scores of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP) for the fish meal and fish oil used in feed supplied. NC 1 Closed 16/3/21 PC.</p> <p>Biomar has provided information on the species it uses and provides the fish scores however, two of the species used in feed is not scored (<i>Sardinella maderensis</i> and <i>Engraulis encrasicolu</i>). Biomar has not confirmed that at least 80% of the fish meal used in the feed is compliant to fish source scores as required. NC 1 Closed 16/3/21 PC.</p>	
<p>All the fish Skretting declaration of no IUCN or endangered fish species used dated December 3rd 2020. Biomars supplied a commitment dated December 2020 that states the feed containing fishmeal and/or fish oil originating from by-products or trimmings does not include fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species.</p>	<p>Compliant</p>		
<p>Declaration from Skretting confirms that there is no Seriola / yellowtail fish meal and fish oil from the genus used in their fish feeds. Dated 3rd December 2020.</p>			

<p>Biomars has provided a statement dated December 2020, confirming that there is no Seriola / yellowtail fish meal and fish oil from the genus used in their fish feeds. The companies are GGAP certified and are based in the EU which does not allow the feeding of the same animal meals. Also the supplying fish meal and fish oil factories are IFFO RS / Marine Ingredient certified.</p>	Compliant		
<i>Responsible origin of non-marine raw materials in feed</i>			
<p>Sourcing policy is in place for both feed companies. From Biomar Denmark website https://www.biomar.com/en/denmark/sustainability/sourcing/ Soya products form an important element in fish nutrition and BioMar is supportive of the current activities of the Round Table on Responsible Soy (RTRS), which seeks to promote the use of a standard to ensure that largescale production of soya in South America is undertaken in a responsible manner relative to ecological, social and economic criteria.</p> <p>From the Skretting website https://www.skretting.com/en/sustainability/ingredients/ Skretting and Nutreco have been long-term supporters of multi-stakeholder initiatives that are focused on reducing the deforestation. This includes our involvement as an active member of the Roundtable for Responsible Soy (RTRS), the Roundtable for Sustainable Palm Oil (RSPO), the FEFAC Sustainability Committee and the US Soy Export Council Sustainability Committee.</p> <p>Both companies are GGAP certified but the audit reports are confidential.</p>	Compliant		
<p>The feed suppliers used are Biomar and Skretting. Neither feed company uses transgenic plant materials. https://www.biomar.com/en/denmark/sustainability/sourcing/</p> <p>Skretting also do not use transgenic material. https://www.skretting.com/en/sustainability/ingredients/</p>	Compliant		
		As the audit is <5 years from the publication of	

As the audit is <5 years from the publication of the standard this indicator in NA until October 2021.	N/A	the standard this indicator in NA until October 2021.	
HEALTH AND WELFARE OF CULTURED FISH AND MINIMIZE THE RISK OF DISEASE TRANSMISSION			
<i>Indicator 5.1 Transfer of pests or parasites to wild stocks</i>			
This is a closed water re-circulation system based onshore so there is no ABM requirements.	N/A	This is a closed water re-circulation system based onshore so there is no ABM requirements.	
Not really applicable as the production in land-based RAS has no impact of pests or parasites on wild stocks. However, the company does facilitate research activity with the local university, There are 3 projects running at the moment. One is looking at Algae makeup in the RAS system. Another is looking at the end taste of the fish and how the RAS impacts the fish taste. The last one is looking at the waste water system and its effectiveness and water chemistry.	Compliant		

<p>This is a land based RAS system with no parasite issues as the water is disinfected on incoming source.</p>	<p>N/A</p>	<p>Land based RAS system</p>	
<p><i>Criterion 5.2 Chemicals and treatments</i></p>			
<p>There has been no use of any anti microbials. This is a closed re-circulation system and any use of anti-microbials would have significant impact on the biofilter needed to keep the water usable. List of prohibited chemicals and medications in Denmark is in the fish health plan. Link to WHO list of antimicrobials critically and highly important for human health is available through the WHO website.</p>	<p>Compliant</p>		
<p>Prophylactic use of antibiotics is banned in Denmark. The list of chemicals used by the company contains products for water treatment only. No fish treatments have taken place.</p>	<p>Compliant</p>		

<p>Documented Fish Health Plan, signed by the veterinarian Thomas Clausen, dated 18/11/2020 and signed by TC the Veterinarian. Maximum density is set at 80kg/m³. The notifiable diseases of concern are VHS, IHN, IPN, BKD and ILA. These diseases are primarily for Salmonids. No vaccination takes place as the system is closed and there are no vaccines developed for <i>Seriola</i>. The fish health plan follows OIE guidelines that the farm has adopted.</p>	Compliant		
<p>No parasites present. This is a closed RAS facility. No treatments.</p>	Compliant		0
<p><i>Criterion 5.3 Environmental welfare</i></p>			
<p>This is a closed re-circulation facility. Oxygen is provided, routinely and continuously, as part of the running of a closed system. Oxygen is boosted at feeding times. Venturi diffusers are used on the incoming waters into the fish tanks. Oxygen is set as a minimum of 100% in the fish tanks. There are 10 oxygen probes in each growing ring with 2 alarm systems that trigger if the Oxygen falls below 80%.</p>	Compliant		

<p>See 5.3.1. All oxygen provided to the fish and water at a minimum of 80%.</p>	<p>Compliant</p>		
<p>OPERATE FARMS WITH RESPONSIBLE LABOR PRACTICES <i>Criterion 6.1 Child labor) and young workers</i></p>			
<p>A. Min. Age of employment in Denmark is 15 yrs. B. Youngest worker is 20 years old. Temporary workers (not present) are all over 18 yrs. Agreement with suppliers state the legal requirements. Employee handbook includes statement on child labour. All Employees state, that no employees is below 18 yrs C. List of workers and birthdates is reviewed.</p>	<p>Compliant</p>		
<p>A: Employee handbook page 4 states the conditions for young workers. B: List of workers and birthdates is documenting ages. C/ E: No young workers. Special rules for young workers described in the Employee Handbook (no heavy lifting, no chemical handling etc.). D: N/A</p>	<p>Compliant</p>		
<p><i>Criterion 6.2 Forced , bonded or compulsory labor</i></p>			
<p>A: Employee handbook states requirement (page 8) B: No indications of forced, bonded or compulsory labour</p>	<p>Compliant</p>		

<p>A: Only copies of personnel documents are kept by company. Confidential files are kept. B: No indications of original documents being surrendered. Copies of certificates etc. are kept.</p>	<p>Compliant</p>		
<p><i>ion 6.3 Discrimination in the work environment</i></p>			
<p>A: Employee handbook contains policy (mobning/arbejdsmiljø) page 8. B: Employee handbook contains grievance procedure, page 8 (Mobning/arbejdsmiljø mv.) C: Criteria's for setting wage is described in employee handbook page 7 (Løn) D: All managers demonstrate awareness on non-discrimination. Internal discussion and training of non-discrimination takes place in formal and unformal meetings.</p>	<p>Compliant</p>		
<p>A: No complaints have been registered B: No indications on cases of discrimination incidents.</p>	<p>Compliant</p>		

<p>A: Employee handbook contains policy (mobning/arbejdsmiljø) page 8. B: No indications of discrimination.</p>	Compliant		
<p>Two examples of employees dismissed after disciplinary process. OK</p>	Compliant		
<p><i>Criterion 6.4 Work environment health and safety</i></p>			
<p>A: Emergency plan, Risk assessment and HSE Action plan examined during audit. Actions planned on heavy lifting (catching fish), Risk of falling into water, improvement of lockers rooms and assessment of noise level (need for health/hearing checks). B: Emergency preparedness plans are well known. C: Yearly refresher training was conducted Nov. 25th 2020. D: Confirmed by interviews.</p>	Compliant		100%
<p>A: Gloves, Glasses, rain clothes, masks, fall protection equipment etc. Is provided. B: Yearly refresher training was conducted Nov. 25th 2020. C: Training confirmed and demonstrated by employees.</p>	Compliant		
<p>A: Procedure described in employee handbook, page 3 (Arbejdsulykke). B/C: List of HSE incidents incl. Corrective actions D: Safety rep. Explained the analysis of incidents and accidents and corrective actions.</p>	Compliant		

<p>Insurance (TopDanmark) agreement for 16 full time workers and documentation for yearly payment (22.04.2020).</p>	<p>Compliant</p>		
<p><i>Criterion 6.5 Wages</i></p>			
<p>A: No legal minimum wage in Denmark, but Collective bargaining agreement for the industry in Denmark is used as benchmark. B: Min wage found in the company is 160 D. kr/hr. CBA requires min. 142,62 D.kr/hr. C: Timesheets and pay-slips were examined during audit (Danløn).</p>	<p>Compliant</p>		<p>0%</p>
<p>A/B:Min wage found in the company is 160 D. kr/hr. CBA requires min. 142,62 D.kr/hr.</p>	<p>Compliant</p>		<p>0%</p>

<p>A: Audited contracts state the wages, benefits, working hours. B: Criteria's for setting wage is described in employee handbook page 7 (Løn) C: All wages paid by bank transfer. D. Interview confirms transparency in wage processes.</p>	Compliant		
<i>o freedom of association and the right to collective bargaining</i>			
<p>A: Freedom of association described in Employee handbook, page 8 (Mobning/arbejdsmiljø mv.) B: Most employees are members of a trade union (3F) C: Workers has not chosen a union representative.</p>	Compliant		100%
<p>No union rep. No incidents reported during audit.</p>	Compliant		
<i>s in the working environment causing temporary or permanent physical and/or mental harm</i>			
<p>A/B: Employee handbook describes - Page 8 (Mobning/arbejdsmiljø) C: One case of "worker to worker" threatening was discussed during audit. The incident was documented, and disciplinary process was followed.</p>	Compliant		
<p>A: Employee handbook describes - Page 8 (Mobning/arbejdsmiljø)</p>			

<p>A: Employee handbook describes - Page 8 (Mobning/arbejdsmiljø) B: One case of dismiss of employee was discussed during audit. The incident was documented, and disciplinary process was followed.</p>	Compliant		
<p>A: Employee handbook describes - Page 8 (Mobning/arbejdsmiljø) B: No known cases. No recordings</p>	Compliant		100%
<i>Criterion 6.8 Working hours and overtime</i>			
<p>A/B: timesheets an pay-slips document compliance to ASC and legal requirements. C: Not relevant</p>	Compliant		
<p>A: Danløn (Payslips) are examined during audit. B: Overtime is limited, f.ex. Related to slaughtering activity.</p>	Compliant		
<i>9 Contracts or other written employment agreements</i>			
<p>A: Contracts are made for all employees. B: All contracts states the working hours for each employees. Only one parttime contract. Others full time (37</p>	Compliant		100%

hrs/week).			
<p>A: Handbook for suppliers are signed by suppliers. Sent medio December 2020.</p> <p>B/C: List of suppliers and evaluation takes place. New Man power supplier has reviewed "Handbook for suppliers" recently.</p> <p>D: Signed supplier handbook was not yet reviewed from "Baltzer's" (man power).</p>	Compliant		
<i>Criterion 6.10 Conflict resolution</i>			
<p>A: Conflict resolution process is described in Employee handbook, page 8 (Mobning/arbejdsmiljø mv.)</p> <p>B: One case of "worker to worker" threatening was discussed during audit. The incident was documented, and disciplinary process was followed.</p> <p>C: List of conflicts (2) was audited. Workers confirm the process.</p>	Compliant		
A/B: List of conflicts (2) includes actions taken and follow-up. Max timeframe is 90 days.	Compliant		100%
<i>Living conditions for employees accommodated on the farm</i>			
No onsite living	N/A	No onsite living	

No onsite living	N/A	No onsite living	
GOOD NEIGHBOR AND CONSCIENTIOUS CITIZEN PRACTICES <i>Criterion 7.1 Community engagement</i>			
<p>The company regularly visit both customers, interested in the RAS plant and process, suppliers, business people, local companies and associations as well as institutions / educational sites.</p> <p>Groups can make a guided tour of the facility with thorough instruction and explanation -at the same time a dialogue is planned.</p> <p>During the year 2019, there were over 300 visitors. Groups from associations, schools, companies, trade associations, etc. Thy Business Forum, Business People in Thy 40 (formerly Junior Chamber), Ministry of Environment and Food, Aqua-Circle and EUC Northwest 2nd grade students. Less guests in 2020 due to Covid-19.</p>	Compliant		
<p>A/B: Company's Handbook states that external complains are seriously taken up by the management. Before construction, EIA is carried out dd 27-8-2014, where stakeholders got the opportunity to complaint. No complaints received by Thisted Kommune. (2.500 inhabitants in the village Hanstholm). EIA carried out and report dd 27-8-2014 informed the following stakeholders: · Health/medical institution for North Jutland Region · Outdoor Council· NordVest Outdoor Council· Denmark's Nature Conservation Association· Nature Agency· Danish Ornithological Society· Danish Recreational Fisheries Association· The danish Sportfishing society· Denmark's Fisheries Association· Freshwater fishery society· Greenpeace· Hanstholm Harbour</p> <p>C: No complaints registered.</p>	Compliant		
2 Respect for local cultures and traditional territories			

<p>A: No indigenous groups are affected by the company activity. B: National and local environmental requirements are identified, and measurements are evaluated against the permission limits. Dialog with local authority (municipality) is documented.</p>	Compliant		
<p><i>Criterion 7.3 Access to resources</i></p>			
<p>A: National and local environmental requirements are identified, and measurements are evaluated against the permission limits. Dialog with local authority (municipality) is documented. B: A planned cleaning facility is approved by "Thisted Kommune" (Local authority. Action plan to improve cleaning process is also approved.</p>	Compliant		0
<p>A: Environment approval contains the risk assessment and identification of relevant issues. B: Measurements (Evidence) is evaluated against the permission limits by the local authorities.</p>	Compliant		

11 Findings

Risk €

11.1 DO NOT DELETE ANY COLUMN

 11.2 Columns B/C/D/E (in black) are automatically populated from the species checklist/audit manual
 Each NC is raised against a standard indicator or a CAR requirement

11.4 Use the "sort" function for presenting the list to your liking (e.g. grading, status, closure deadline, etc.)

E1. The C?

E2. The CAB shall add the list of additional threats (Annex E, E4.2.1.ii) to this table and provide its risk category and an explanation to support it to this table.

11.5 Add new rows as needed

11.6 Adjust the column width and row as needed - to show the whole text

NC reference	Indicator	Grade of NC	Description of NC	Evidence	Date of detection	Status	Related VR (if)	Root cause (by client)	Corrective/preventive actions proposed by UoC and accepted by CAB	Deadline for NC close-out	Evaluation by CAB (including evidence)	Actual date of close out	Date request for delay received	Justification for delay	Next deadline	Request evaluation by CAB	Date request approved
1	4.3.2	Minor	<p>Skretting has not provided details of FishSource scores of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP) for the fish meal and fish oil used in feed supplied.</p> <p>Biomar has provided information on the species it uses and provides the fish scores however, two of the species used in feed is not scored (Sardinella maderensis and Engraulis encrasicolus). Biomar has not confirmed that at least 80% of the fish meal used in the feed is compliant to fish source scores as required</p>	<p>The company has put together an XL sheet showing the total ingredient s used by Biomar including Quantities, species used, Whole fish, Trimmings and their source. EG. Hake Northeast Atlantic for trimmings and Anchoveta, Peruvian N-C including South Equador. The Skretting feed has also been evaluated</p> <p>Skretting has not provided details of FishSource scores of 6.0 or higher, plus (and) an 8 in the biomass category or show evidence of being engaged in a credible and time bound fisheries improvement project (FIP) for the fish meal and fish oil used in feed supplied.</p> <p>Biomar has provided information on the species it uses and provides the fish scores however, two of the species used in feed is not scored (Sardinella maderensis and Engraulis encrasicolus). Biomar has not confirmed that at least 80% of the fish meal used in the feed is compliant to fish source scores as required.</p>	16/12/2020	Closed	NA	At audit the feed companies have not provided sufficient information on FishSource scores and participation in FIP.	<p>Mail received from the company Skretting (12-2-2021) states that a primary source of fishmeal Atyfen is part of the Mauritanian FIP and that they are in process of certification for Marine Trust. Besides of that Skretting has declared that 'No fish meal or fish oil originating from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, has been introduced in their formula'. Therefore, the company has argued that they are engaged in FIP. In mail from 15-3-2021 Skretting has declared that from now on the company will provide the FishSource scores for the feed delivered to Sashimi Royal. In mail from 3-3-2021 company Biomar has provided information that one of the species in question S. maderensis is from a trimming product and thus excluded from the FishSource score and that the other species questioned E. encrasicolus has not been used as raw material.</p>	16/3/2020 or by agreed plan.	<p>Detailed explanations and plans for the future have been submitted to the auditor for review in an email dated 16/3/2021. Evidence accepted 16/3/2021 PC.</p>	16/03/2021					

ASC Audit Report - Traceability

10 Traceability Factor	Description of risk factor if present.	Describe any traceability, segregation, or other systems in place to manage the risk.
10.1 The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, produced within the same operation.	The risk for substitution is very low to negligible. There is only no other farm in Denmark and the company only send fish for processing through one company called Nordic Seafoods. Therefore all Seriola lalandi farmed in Denmark is ASC certified.	The facility is 100% ASC certified. There are no other Seriola farms in the area, nor in the country.
10.2 The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, present during production, harvest, transport, storage, or processing activities.	The risk for substitution is very low to negligible. Harvest is internal in the farm. Only one processor is used. Farmed Seriola in Europe is rare with an 1 ASC farm in Netherlands and 1 ASC farm in Germany.	The facility is 100% ASC certified. There are no other Seriola farms in the area, nor in the country.
10.3 The possibility of subcontractors being used to handle, transport, store, or process certified products.	The fish are only processed in Nordic Seafoods ASC-C-00062 located at Hirtshals in Denmark. https://www.nordicseafood.com/products/fresh-fish There is no risk involved.	At harvest, fish are killed and bled and packed in tubs with ice and salt. The fish are transported by own truck to 2,5Km away from the farm, where fish are slaughtered, cleaned and packed at their subcontractor. Subcontractor is Filetfabrikken Hanstholm ApS Denmark in Hanstholm, 2,5Km from the farm (ASC-C-01894, valid until 2023-07-12) No other subcontractors are used.
10.4 Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product enters the chain of custody.	The risk for substitution is very low to negligible.	Sashimi Royal is 100% ASC certified. There are no other Seriola farms in the area, nor in the country.

	Owned by client	Subcontracted by client
10.4.a Total number of sites owned/subcontracted by client producing the same species that is included in the scope of certification	1	0
Number of sites included in the unit of certification	1	0

	Site name(s)	Reason(s)
10.4.b Site(s) within UoC that has product to be excluded from entering the chain of custody	N/A.	
10.5 Detail description of the flow of certified product within the operation and the associated traceability system which allows product to be traced from final sale back to the unit of certification	<p>At harvest, fish are killed and bled and packed in tubs with ice and salt. The fish are transported by own truck to 2,5Km away from the farm, where fish are slaughtered, cleaned and packed at their subcontractor.</p> <p>Subcontractor is Filetfabrikken Hanstholm ApS Denmark in Hanstholm, 2,5Km from the farm (ASC-C-01894, valid until 2023-07-12)</p> <p>No other subcontractors are used. The processor is Nordic Seafood ASC-C -00062 , valid until 6-9-2021.</p> <p>Batch number is based on harvest date and time.</p> <p>Records are kept.</p>	

10.6 Traceability Determination:

10.6.1 The traceability and segregation systems in the operation are sufficient to ensure all products identified and sold as certified by the operation originate from the unit of certification, or	Yes
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10.6.2 The traceability and segregation systems are not sufficient and a separate chain of custody certification is required for the operation before products can be sold as ASC-certified or can be eligible to carry the ASC logo.

No separate CoC needed for the farm.

10.6.3 The point from which chain of custody is required to begin

Products are authorised to enter an ASC Chain of Custody certification at the point where the fish is moved from the site into the harvest facility. After harvest, the fish are transported in tubs with ice to the processing plant, where further processing and/or packing takes place. Change of ownership from Sashimi Royal to Nordic Seafood is when the packed fish leave the Filetfabrikken.

10.6.4 If a separate chain of custody certificate is required for the unit of certification

No separate CoC needed for the farm.

For Multi-site clients

ASC Audit Report - Closing

12 Evaluation Results

12.1 A report of the results of the audit of the operation against the specific elements in the standard and guidance documents

The audit was comprehensive and well executed. The evaluation of the company's compliance to the standard is described in detail in the report section II Audit Termination and Audit Report Closing.

The principles where full compliance was found is
PRINCIPLE 1: COMPLY WITH ALL APPLICABLE INTERNATIONAL STANDARDS
PRINCIPLE 2: CONSERVE NATURAL HABITAT, LOCAL ECOSYSTEMS AND BIODIVERSITY
PRINCIPLE 3: PROTECT THE HEALTH AND GENETIC DIVERSITY OF AQUACULTURE SPECIES
PRINCIPLE 5: PROACTIVELY MAINTAIN THE HEALTH AND WELFARE OF AQUACULTURE SPECIES
PRINCIPLE 6: BE SOCIALLY RESPONSIBLE
PRINCIPLE 7: BE A GOOD NEIGHBOR AND CONSCIOUS OF THE ENVIRONMENT

For the rest of the principles listed below:
PRINCIPLE 4: USE RESOURCES IN AN ENVIRONMENTALY SOUND MANNER
Full compliance was not found, although most of the requirements were met.
Minor category Non-Conformities.

Reference is made to ASC Farm certification and Audit Report during the audit. The harvest was witnessed at the

12.2 A clear statement on whether or not the audited unit of certification has the capability to consistently meet the objectives of the relevant standard(s)

This site has the capability to consistently meet the objectives of the relevant standard(s). Minor NC that have been closed. Corrective actions for GL.

12.3 In cases where BEIA or PSIA is available, it shall be added in full to the audit report. IF these documents are not in English, then a synopsis in English shall be added to the report.

NA

13 Decision

13.1 Has a certificate been issued? (yes/no)

Yes. Previous issued as this is a Surveillance 2 audit.

13.2 The Eligibility Date (if applicable)

Eligibility date was the 13th December 2018.

13.3 Is a separate CoC certificate required for the producer? (yes/no)

No, not for the unit of certification. A separate ASC CoC certification is needed as specific certified products performed after the ASC Seriola audit.

13.4 If a certificate has been issued this section shall include:

13.4.1 The date of issue and date of expiry of the certificate.

13th December 2018 to 13th December 2021.

13.4.2 The scope of the certificate

The scope of the audit is grow-out facilities of Yello located at Hantsholm in Denmark called Sashimi r Processing takes place elsewhere.

13.4.3 Instructions to stakeholders that any complaints or objections to the CAB decision are to be subject to the CAB's complaints procedure. This section shall include information on where to review the procedure and where further information on complaints can be found.

Stakeholders can contact DNV GL and/or Lead Aud Audit report opening, contact information is also a documents related to contacting or complaints to l

14 Surveillance

14.1 Next planned Surveillance

14.1.1 Planned date

set-21

14.1.2 Planned site

Sashimi Royal AS

14.2 Next audit type

14.2.1 Surveillance 1

14.2.2 Surveillance 2

14.2.3 Re-certification

X

14.2.4 Other (specify type)

The operation understands the ASC requirements and standard. The requirements in the ASC Seriola and Cobia and all references and findings is in the template and section IV

listed below:

INTERNATIONAL, NATIONAL, AND LOCAL LAWS AND REGULATIONS

ENVIRONMENTAL BIODIVERSITY AND ECOSYSTEM STRUCTURE AND FUNCTION

GENETIC INTEGRITY OF WILD POPULATIONS

ANTHROPIC IMPACT AND WELFARE OF CULTURED FISH AND MINIMIZE THE RISK OF DISEASE

CONSCIOUS CITIZEN

OPERATIONALLY EFFICIENT AND RESPONSIBLE MANNER

These were mainly compliant. The audit hence resulted in a limited number of

non-compliance. The audit also noted that the operation is in compliance with ASC Accreditation Requirement 17.4.2 and 17.4.3. As the fish were not being harvested at the time of the initial audit and will be witnessed again at the next audit which is re-certification.