

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

Acoura Marine Ltd. t/a Lloyd's Register

PDF 1.2 Date of Submission

25/10/2019

PDF 1.3 CAB Contact Person

PDF 1.3.1 Name of Contact Person Charlotte Middleton

PDF 1.3.2 Position in the CAB's organisation Aquaculture Scheme Coordinator (ASC Farm Scheme)

PDF 1.3.3 Mailing address 6 Redheughs Rigg, Edinburgh, EH12 9DQ

PDF 1.3.4 Email address asc-ca@lr.org

PDF 1.3.5 Phone number (+44) (0)131 357 3294

PDF 1.3.6 Other N/A

PDF 1.4 ASC Name of Client

PDF 1.4.1 Name of the Client Ostimar S.A.

PDF 1.4.1.a Name of the unit of certification Ostimar S.A.

PDF 1.4.2 Name of Contact Person	Christopher Hope
PDF 1.4.3 Position in the client's organisation	Certification Manager
PDF 1.4.4 Mailing address	Sitio 7, Acceso Sur, Barrio Industrial, Tongoy, Coquimbo, 1780000, IV Región, Chile
PDF 1.4.5 Email address	christopher.hope@invertecostimar.cl
PDF 1.4.6 Phone number	N/A
PDF 1.4.7 Other	N/A

PDF 1.5 Unit of Certification

PDF 1.5.1 Single Site	Yes
PDF 1.5.2 Multi-site	No
PDF 1.5.2.a Ownership status	Owned
PDF 1.5.3 Group certification	No

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)
Ostimar S.A.	.-30.270000, -71.555556	Chilean Scallop (Argopecten purpuratus)	Owned	10/12/2019 - 12/12/2019, Initial	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
Abalone 1.1				
Bivalve 1.1	Chilean Scallop (Argopecten purpuratus)	Yes	Bivalve	v1.1.
Freshwater Trout 1.0				

Pangasius 1.1
Salmon 1.2
Shrimp 1.1
Tilapia 1.2
Seriola/Cobia 1.1
Seabass/ bream and meagre v. 1.1

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
Aquaculture Stewardship Council	Scheme Owner	Quality checks	Following public disclosure and draft report publication	Email
Cultivos Marinos Tongoy S.A.	Aquaculture	Input submission	Following public disclosure and draft report publication	Email
DISTRIMAR LTDA.	Aquaculture	Input submission	Following public disclosure and draft report publication	Email
Presidente A.G. Tongoy	Aquaculture	Input submission	Following public disclosure and draft report publication	Email
Asociación Gremial de Pescadores de Tongoy	Fisheries	Input submission	Following public disclosure and draft report publication	Email
Delegado Municipal de Tongoy - Coquimbo	Local council	Input submission	Following public disclosure and draft report publication	Email
Investigador IFOP - Coquimbo	Industry	Input submission	Following public disclosure and draft report publication	Email
Jefe de Base IFOP - Atacama/Coquimbo	Industry	Input submission	Following public disclosure and draft report publication	Email
SUBPESCA Valparaíso - Encargado Áreas de Manejo	Fishery and aquaculture authority	Input submission	Following public disclosure and draft report publication	Email
Director Zonal SUBPESCA	Fishery and aquaculture authority	Input submission	Following public disclosure and draft report publication	Email
Director Regional SERNAPESCA	Fishery and aquaculture authority	Input submission	Following public disclosure and draft report publication	Email
Gestión Ambiental SERNAPESCA	Fishery and aquaculture authority	Input submission	Following public disclosure and draft report publication	Email
Capitanía de Puerto de Tongoy	Local government	Input submission	Following public disclosure and draft report publication	Email

Junta de Vecinos Península de Tongoy	Local community organisation	Input submission	Following public disclosure and draft report publication	Email
Cámara de Comercio y Turismo Tongoy	Local tourism business	Input submission	Following public disclosure and draft report publication	Email
Universidad Católica del Norte	Research	Input submission	Following public disclosure and draft report publication	Email
Centro de Estudios Avanzados en Zonas Áridas	Research	Input submission	Following public disclosure and draft report publication	Email
Liceo Marítimo de Tongoy	Local public education	Input submission	Following public disclosure and draft report publication	Email

PDF 1.9 Proposed Timeline

PDF 1.9.1	Contract Signed:	10/10/2019
PDF 1.9.2	Start of audit:	Audit preparations commenced October 2019
PDF 1.9.3	Onsite Audit(s):	10/12/2019 - 12/12/2019
PDF 1.9.4	Determination/ Decision:	Due February 2020

PDF 1.10 Audit Team

Column1	Name	ASC Registration
PDF 1.10.1	Lead Auditor	Matthew James
	Interpreter	Edwin Trench
PDF 1.10.3	Social Auditor	Cristobal Flores

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	Ostimar S.A.
1.2 Report Title [e.g. Public Draft Certification Report/ Final certification report/Surveillance report]	Public Draft Certification Report
1.3 CAB name	Acoura Marine Ltd. t/a Lloyd's Register
1.4 Name of Lead Auditor	Matthew James
1.5 Names and positions of report authors and reviewers	Lead Auditor: Matthew James, Social Auditor: Cristobal Flores, Technical Reviewer: Paul MacIntyre
1.6 Client's Contact person: Name and Title	Christopher Hope, Certification Manager
1.7 Date	24/01/2020

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

SernaPesca and SSFFAA - Chilean Government fisheries authorities.
CT - Clearance Time.
- Retention time.

RT

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)	The 17 lease areas operated by Ostimar S.A. in Tongoy Bay, Elqui Province, IV Región de Coquimbo, Chile for the purpose of farming scallops.	
4.2	A brief description of the operations of the unit of certification	Buoyed Long Lines (526) with a total of @ 90,000 suspended lanterns typically having 20 shelves each.	
4.3	Type of unit of certification (select only one type of unit of certification in the list)	Single farming operation utilising 17 lease areas.	
4.4	Type of audit (select all the types of audit that apply in the list)	Initial	
4.4.1	Number of sites included in the unit of certification Initial audit - 12/2020 Surveillance audit 1 - mm/ yyyy Surveillance audit 2 - mm/ yyyy Recertification audit - mm/ yyyy	Owned by client	Subcontracted by client
		1	
4.5	A summary of the major findings	The auditee was very well prepared for the audit and demonstrated good knowledge of the requirements of the standard. Consequently no Major non-conformances were raised.	
4.6	The Audit determination	N/A at draft stage	

5 CAB Contact Information

5.1	CAB Name	Acoura Marine Ltd. t/a Lloyd's Register
5.2	CAB Mailing Address	6 Redheughs Rigg, South Gyle, Edinburgh, EH12 9DQ
5.3	Email Address	asc-ca@lr.org
5.4	Other Contact Information	(+44) (0)131 357 6620

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.	Please see Public Disclosure form above.
6.2	A description of the unit of certification (for initial audit) / changes, if any (for surveillance and recertification audits)	Buoyed Long Lines (526) with a total of @ 90,000 suspended lanterns typically having 20 shelves each.
6.3	Other certifications currently held by the unit of certification	None

6.4	Other certification(s) obtained by the UoC before this audit	None
6.5	Estimated annual production volumes of the unit of certification of the <u>current</u> year	420 metric Tonnes of 'meat' (@29,000,000 shells)
6.6	<u>Actual</u> annual production volumes of the unit of certification of the <u>previous</u> year (mandatory for surveillance and recertification audits)	First Audit
6.7	Production system(s) employed within the unit of certification (select one or more in the list)	Suspended lanterns
6.8	Number of employees working at the unit of certification (see notes in comment to this cell)	176
6.9	Size, and/or number of ponds, pens (if multi site, per site)	90,000 Lanterns

7 Scope		
7.1	The Standard(s) against which the audit was conducted, including version number	ASC Bivalve Standard V1.1
7.2	The species produced at the applicant farm (in English and Latin names)	Chilean Scallop - Argopecten purpuratus
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.	Company operates 17 concessions; Two of the seventeen are leased (40048 and 40074 concessions).
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.	N/A
7.5	Description of the receiving water body(ies).	Tongoy Bay

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.	Lead Auditor: Matthew James, Social Auditor: Cristobal Flores Audit conducted: December 2019 Report written: December 2019 / January 2020 Report reviewed: Scheme Coordinator to complete Certification decision taken: N/A at draft stage

8.2 Previous Audits (if applicable):

		Standard	Closing deadline - status - closing date of each NC
NC reference number	clause reference		
8.2.1	Initial audit - 12/2019	N/A	See audit report below.
	Surveillance audit 1 - mm/ yyyy	N/A	
	Surveillance audit 2 - mm/ yyyy	N/A	
	Recertification audit - mm/ yyyy	N/A	
	Unannounced audit - mm/ yyyy	N/A	
	NC close-out audit - mm/ yyyy	N/A	
	Scope extension audit mm/ yyyy	N/A	

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-19	Scotland
Dec-19	Tongoy Chile
Dec-19	Tongoy Chile
14/01/2020	N/A
24/01/2020	N/A
N/A	N/A

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.

Christopher Hope, Christian Tapia, Mario Montecinos, Eduardo Fariña (Ostimar S.A.)
Antonio Vélez, Maria Vicenta Valdivia (Proyecto FIC Acuicultura Sustentable)
Workers

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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-site 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
Roberto Valenzuela	Delegado Municipal de Tongoy - Coquimbo			Wish to be notified for draft report		Draft report will be sent
Raúl Sanders	Cámara de Comercio y Turismo Tongoy			Wish to be notified for draft report		Draft report will be sent
Germán Lira	Universidad Católica del Norte			Wish to be notified for draft report		Draft report will be sent
Laura Ramajo	CEAZA			Wish to be notified for draft report		Draft report will be sent
Oscar Leiva	Liceo Marítimo de Tongoy			Wish to be notified for draft report		Draft report will be sent
Enrique Valdivia	Cultivos Marinos Tongoy S.A.			Wish to be notified for draft report		Draft report will be sent
Pedro Gutiérrez Rojas	DISTRIMAR LTDA.			Wish to be notified for draft report		Draft report will be sent
José Marín	Presidente A.G. Tongoy			Wish to be notified for draft report		Draft report will be sent

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

N/A

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

N/A

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

N/A

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

N/A

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

N/A

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

N/A

Audit report - ASC BIVALVE STANDARD

Corresponds to Bivalve standard v. 1.1

PRINCIPLE 1. OBEY THE LAW AND COMPLY WITH ALL APPLICABLE LEGAL REQUIREMENTS AND REGULATIONS WHERE FARMING OPERATION IS LOCATED

1.1 Criteria: All applicable legal requirements and regulations where farming operation is located

		Compliance Criteria (Use as guidance for audit only)	Audit evidence 1. Write down all audit evidence for each compliance criterion (CC). Audit evidence (including evidence of conformity and nonconformity) should be recorded so that the audit can be repeated by a different audit team. 2. Replace explanatory text in the 'Audit Evidence' column as appropriate. 3. If you see any Compliance Criteria which is not listed below, please describe below.	Evaluation (Per indicator, select one category in the drop-down menu)	Description of NC Provide an explanation of the reason(s) for the classification of any NCs or non-applicability	Value/ Metric Provide values - if applicable for the respective Indicator
1.1.1	Indicator: Evidence of compliance with all applicable legal requirements and regulations where the farming operation is located (e.g., permits, licenses, evidence of lease, concessions and rights to land and/or water use) Requirement: Yes Applicability: All	a. Obtain copies of applicable land and water use laws. b. Obtain original lease agreements or land titles on file. 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). d. Obtain all necessary permits relating to land and water use as required by local and national authorities. e. Provide a detailed map of the farm with at least 4 GPS coordinates to show that farm location in relation to national preservation areas. f. If the farm is sited within a national preservation area or marine protected area, maintain documents to show that the farm's activities are consistent with legal requirements and regulations of the protected area. g. Others, please describe	Company owns 17 concessions which once given are not time limited (other than annual payment, absence of which lapses lease) as attached by annex to this report with 4 point co-ordinates, subpesca (Navy) and SSFFAA (fisheries) approval numbers included. Two of the seventeen are leased e.g. 40048 and 40074 concessions. Ostimar premises are rented with contract dates 1st June 2016 to 30th June 2021. This is in the process of being purchased. Sernapesca carry out unannounced inspections usually annually with notification of issues raised, no reports stated to be issued for clear inspections. Last report 4th February 2019 stating the beach area is affected by farm waste. the company clears their allocated 'beach area' (done this way due to the many concessions in the bay) every week of all waste. As the concessions are within a designated farming area in Tongoy Bay. There are 4 wetland areas as identified in the map provided within the Plancton Andino environmental report of which two (No3 and No4) are within the beach area designated as Ostimar's responsibility.. These are small areas due to the bird life using them for feeding. protected also CIREN_CORFO map showing Areas Protegidas with the nearest (Parque Nacional Bosque De Fray Jorge) being 67 kms south of the Tongoy Bay, website showing protected areas: http://areasprotegidas.mma.gob.cl/	Compliant		

PRINCIPLE 2. AVOID, REMEDY OR MITIGATE SIGNIFICANT ADVERSE EFFECTS ON HABITATS, BIODIVERSITY, AND ECOLOGICAL PROCESSES

2.1 Criteria: Benthic effects for off-bottom and suspended-culture methods ^[1]

		a. If the farm site is a non-depositional area: Ensure that monitoring via video or seabed imaging transects is conducted prior to the first audit and at least once every five years thereafter (Proceed to 2.2.)				
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2.1.1	<p>Indicator: Acceptable levels of total 'free' sulphides in surficial sediment (0-2 centimetres from the surface) measured beneath the farm in comparison to control sites[2]</p> <p>Requirement: $\leq 1500 \mu\text{M}$, monitoring every five years is required, $\geq 1500 \mu\text{M}$ and $\leq 3000 \mu\text{M}$, monitoring every year is required</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p>	<p>b. If the farm site is a depositional area of soft substrate: An initial assessment of S concentration in sediments shall be conducted according to Appendix 1 & 2 of the Bivalve Standard. Direct measurement of S concentration may be replaced by an analysis of benthic community structure in areas where this biotic approach is preferred by the client or is already mandated by a regulatory body [3] (see 2.1.4.).</p> <p>The client shall present information detailing the sampling design used and results of the S assessment: - If S concentration is $\leq 1500 \mu\text{M}$, monitoring shall be conducted every five years (Proceed to 2.2.). - If S concentration is $\geq 1500 \mu\text{M}$ and $< 3000 \mu\text{M}$, monitoring shall be conducted every year (Proceed to 2.2.). - If S concentration is $\geq 3000 \mu\text{M}$ (Proceed to 2.1.2.).</p> <p>c. If the farm intends to conduct measurements of total 'free' sulphides using a method different from the one prescribed in Appendix IV & V of the Bivalve Standard (e.g. in order to comply with local regulations), the farm must first request a variation from ASC showing how the alternate method will meet the intent of the Standard in an equivalent way.</p> <p>d. Others, please describe</p>	Ostimar elected to choose the option where Sulphide analysis may be replaced by direct analysis of benthic community structure. The company selected to carry out the benthic analysis work, Plancton Andino, is accredited by INN (Instituto Nacional de Norm	N/A		
2.1.2	<p>Indicator: Unacceptable levels of total 'free' sulphide in surficial sediment measured beneath the farm in comparison to control sites</p> <p>Requirement: $\geq 3000 \mu\text{M}$</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p>	<p>a. If initial assessment of S concentration is $\geq 3000 \mu\text{M}$, the farm is not certifiable unless natural background S levels exceed $3000 \mu\text{M}$ (proceed to 2.1.3.). Management response is required to reduce S levels.</p> <p>b. Others, please describe</p>	The values obtained for the below farm samples as determined at 2.1.4 indicate an equivalent total free sulphide range of $\geq 1500 \mu\text{M}$ to $\leq 3000 \mu\text{M}$.	Compliant		

2.1.3	<p>Indicator: In cases where natural background sulphide levels exceed 3000 µM, the annual S concentrations should not significantly^[3] exceed levels measured at reference sites located outside the farm^[4]</p> <p>Requirement: Yes</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p>	<p>a. Provide results comparing sampled S culture area to reference sites outside the farm (see Appendices I & 2 for the comparison to control sites). If S concentrations beneath the farm structures are not found to be significantly higher ($p < 0.05$) than reference sites, monitoring shall be conducted every year. (Proceed to 2.1.5.).</p> <p>b. Others, please describe</p>	<p>The values obtained for the below farm samples as determined at 2.1.4 indicate an equivalent total free sulphide range of $\geq 1500 \mu\text{M}$ to $\leq 3000 \mu\text{M}$.</p>	Compliant		
2.1.4	<p>Indicator: Sulphide analysis may be replaced by direct analysis of benthic community structure (i.e. Infaunal surveys) in areas where this biotic approach is preferred by the applicant or is already mandated by a regulatory body^[5]</p> <p>Requirement: Yes</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p>	<p>a. Notify the CAB if the farm used the biotic approach and identify a source reference (i.e. a scientific publication) for the method used.</p> <p>b. Provide documentary evidence to show how the farm established equivalency of biotic indices with sulphide levels (e.g. reports from analysis of Infaunal surveys).</p> <p>c. If S equivalency is $< 3000 \mu\text{M}$, proceed to 2.1.1. If S equivalency is $> 3000 \mu\text{M}$, proceed to 2.1.2.</p> <p>d. Others, please describe</p>	<p>Ostimar elected to choose the option where Sulphide analysis may be replaced by direct analysis of benthic community structure. The company selected to carry out the benthic analysis work, Plancton Andino, is accredited by INN (Instituto Nacional de Normalización - Chile). The method of assessment of free sulphide concentration using comparison of macrobenthic biota populations within the farming area and at pre-determined reference points, sampling was carried out. The Shannon-Weiner Index average attained in the AZE was calculated as 2.837, with the average for the control points showing an index value of 2.863; no significant difference from the below farm average value.</p>	Compliant		Site > 2.837 Control > 2.863
2.1.5	<p>Indicator: Allowance for bivalve aquaculture over areas that provide a particularly significant or essential biological or ecological function within the broader ecosystem^[6]</p> <p>Requirement: None</p> <p>Applicability: Off-bottom and suspended methods</p>	<p>a. Prepare results from video or seabed imaging survey of the farm.</p> <p>b. Summarize information about sensitive habitats in proximity to farming operations (e.g. using a map of habitat distribution; see 1.1.1e) noting any areas where biogenic structures are located [8]).</p> <p>c. Others, please describe</p>	<p>The farming area is within an area designated specifically for Aquaculture production by the Government, no specific impact on the broader local ecosystem determined.</p>	Compliant		

2.2 Criteria: Pelagic effects

2.2.1	<p>Indicator: The ratio of clearance time^[7] (CT) over retention time^[8] (RT)</p> <p>Requirement: >1</p> <p>Applicability: All*</p> <p>*If the area of all of the farms within a water body as defined in Appendix I of the Bivalve Standard, inclusive of the certification unit, is less than 10% of the total area of the water body, then requirements 2.2.1 and 2.2.2 need not apply.</p>	<p>a. Present a map showing the water body and all farm locations (including the unit of certification). Calculate the percent of the water body area covered by farms and present values used in the calculation.</p> <p>b. If combined area of all farms is < 10 % of total area of the water body, then 2.2.1 does not apply (Proceed to 2.3.1.).</p> <p>c. If the area of the farm is >= 10% of the water body, calculate clearance time (CT) of the dominant bivalve stocks (wild and cultured) for the water body. Provide all bivalve census information and published clearance rates^[9] used in the calculation.</p> <p>d. If the area of the farm is >= 10% of the water body, calculate the retention time (RT) of the water body. Calculate CT / RT ratio. Provide all data used in the calculation, including references.</p> <p>e. Others, please describe</p>	<p>The work for this is also carried out by Plancton Andino SpA. as above. Scallop density is calculated by production information for past years January 2017 - June 2019 and took an average of production to calculate these densities. It is not clear if the figures include mortalities. Maps and calculations provided with confirmation that the calculation was carried out using actual 'wet weight ' of scallops before processing total m3 capacity of the Bahia Tongoy is calculated as 1,797524,750 with tonnes produced @ 1,802 metric. the final calculation of CT =1,066 to a RT of 8.5 giving a CT/RT value of 125.2. total farming area within the bay is calculated as 12.3%.</p>	Compliant		CT/RT > 125.2 % farmed > 12.3%
2.2.2	<p>Indicator: Where clearance time is less than retention time, the ratio of clearance time over primary production time^[9] (PPT)</p> <p>Requirement: >3</p> <p>Applicability: All farms not compliant with 2.2.1.</p>	<p>a. Calculate the yearly averaged phytoplankton biomass (B) and primary production (PPP) for the entire water body. Provide all information regarding the sampling methods used and the locations and times of each sample. Provide all references used in the conversion of values into similar units.</p> <p>b. Calculate primary production time (PPT) and CT / PPT ratio. Provide all data used in the calculation, including references.</p> <p>c. Others, please describe</p>	CT/RT calculated as 125.2	N/A		

2.2.3	<p>Indicator: Equivalency with requirements 2.2.1 or 2.2.2 may be demonstrated, if a farm or group of farms is able to prove, through more comprehensive carrying capacity modelling that, in aggregate, they do not exceed the ecological carrying capacity of the applicable water body in which they are located</p> <p>Requirement: Yes</p> <p>Applicability: -</p>	<p>a. Provide the published peer-reviewed publication describing the model as applied to the present state of the water body and all associated aquaculture.</p> <p>b. Provide the model estimates of CT, RT, and PPT. If these were not directly presented in the publication, provide additional information as to how these parameters were calculated.</p> <p>c. Others, please describe</p>	CT/RT calculated as 125.2	N/A		
2.3 Criteria: Critical habitat and species interactions						
2.3.1	<p>Indicator: Allowance for harm to threatened/endangered species^[10] or the habitat on which they depend</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Provide a list of threatened or endangered species as identified by national law or the IUCN Red List. To obtain the IUCN Red List designated species, perform the above search and record all IUCN Red List species and farm-related threats.</p> <p>b. Provide a map showing location of the farm (see Indicator 1.1.1e) relative to the known distribution of endangered species or critical habitats in the area.</p> <p>c. If a threatened or endangered species is identified in region of the farm (including receiving and source waters), document the specific actions the farm takes to minimize impacts.</p> <p>-</p> <p>e. Others, please describe</p>	Comprehensive list provided originating from Plancton Andino with Birds, Mammals, reptiles, plants and other species included. It is noted that fish and crustacean species are not included. The protected areas identified show some species (i.e. Humboldt Penguins) however due to the perceived low impact of the farming activities the maps provided for protected areas are taken to be definitive. Staff presentations include appropriate IUCN information relating to Coquimbo and identify 101 species within the categories CR, EN and VU	Minor	Fish and crustacean species are not included in the Plancton Andino IUCN list.	
2.4 Criteria: Environmental awareness						

2.4.1	<p>Indicator: Evidence of environmental training, compliance to regional codes of practices or implementation of environmental management plans.</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Provide documentation of environmental training/education of staff (e.g. certificates, evidence of workshops attended etc.) (OR)</p> <p>b. Provide documentation of regional codes of practice and actions taken to ensure compliance, including staff training (OR)</p> <p>c. Provide evidence for implementation of an environmental management plan.</p> <p>d. Others, please describe</p>	<p>Environmental training has been carried out with a PowerPoint presentation provided. Two sessions so far dated 20th June and 27th November 2019. The company also has an Environmental Management Plan 'Politica Medio Ambiental' Signed off by Christian Tapia Cerda (General Manager) and Christopher Hope (Certification Manager) Rev2 dated 10th June 2019, modelled on the ISO 14001 system.</p>	Compliant		
<p>PRINCIPLE 3. AVOID ADVERSE EFFECTS ON THE HEALTH AND GENETIC DIVERSITY OF WILD POPULATIONS</p> <p><i>3.1 Criteria: Introduced pests and pathogens</i></p>						
3.1.1	<p>Indicator: Allowance for the illegal introduction of a non-native species, pest or pathogen attributable to the farm within 10 years prior to assessment.</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Maintain documentation showing the origin of culture stock including names, addresses, contact person(s) and delivery dates when applicable.</p> <p>-</p> <p>c. Others, please describe</p>	<p>Farm is only farming of the Chilean Scallop (<i>Argopecten purpuratus</i>). See criterion 3.2.1 for origin of culture stock.</p>	Compliant		
3.1.2	<p>Indicator: Documentation of compliance with established protocol or evidence of following appropriate best management practices for preventing and managing disease and pest introductions with seed and/or farm equipment.</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Provide documentation of established protocol or best management practices used in preventing and managing disease and pest introductions.</p> <p>b. Provide evidence that the farm has implemented established protocols or best management practices for preventing and managing disease and pest introductions with seed and/or farm equipment.</p> <p>c. Others, please describe</p>	<p>There are no declared certifiable diseases of Chilean Scallops. Impact of 'Red tide' is considered when it occurs but not as a disease. Confirmed by Subpesca list of notifiable diseases 1741 dated 9th July 2013, listed as 1741/2013 as referenced on the Sernapesca website as evidenced. Very little in the way of predation, some crab issues, barnacle growth on shells but no specific disease concerns.</p>	Compliant		

3.2 Criteria: Sustainable wild seed procurement						
3.2.1	<p>Indicator: Excluding larval collection, evidence that purchased or collected wild seed is not harvested from an open-access, unregulated source</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Maintain documentation showing the origin of culture stock with names, addresses, contact person(s) and delivery dates of each purchase.</p> <p>b. Provide documentation that wild seed has not been collected from an open-access, unregulated source.</p> <p>c. Others, please describe</p>	<p>Collection of @ 80% of spat is from December to February capturing the spat from their own scallops. The remaining 20% is purchased from Sernapesca authorised sources e.g. Universidad Catolica del Norte ID 81518400-9, 14th Jan 2019 Invoice 15160, ID E 2222-01556-10 over 4 million pieces for Site's 40044, 40065, 40088, 40120, 40122 and 40136.</p>	Compliant		
3.3 Criteria: Introduced non-native cultivated species						
3.3.1	<p>Indicator: Evidence of responsible^[11] introduction of non-native cultivated species</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. If the farm works with the culture of newly-introduced non-native bivalve species, obtain permit(s) substantiating compliance with ICES guidelines for introduction of exotic species and certification to ICES requirements regarding parasites and pathogens.[11].</p> <p>b. Others, please describe</p>	<p>N/A Native species produced.</p>	N/A		
3.4 Criteria: Native species cultivation						
3.4.1	<p>Indicator: For hatchery produced seed, documentation of efforts made to address genetic concerns specific to species and geographic region where the seed will be out-planted</p> <p>Requirement: Required</p> <p>Applicability: All farms producing seed</p>	<p>a. Provide documentation of the use of local, wild broodstock to address genetic concerns specific to species and the geographic region where the seed will be out-planted (OR)</p> <p>b. Provide documentation of the scale of farming activities and the reproductive potential of crops (e.g., whether diploid or triploid, or considering age at harvest and age at first maturation) are well-below the size and reproductive potential of the natural population within a reasonable "dispersal kernel" from the farm. (OR)</p> <p>c. Provide documentation on the production of sterile seed for out-planting from breeding programs that intentionally alter wild stocks for improved culture traits, such as growth, yield, survival and morphology (OR)</p>	<p>N/A the purchased seed is from the same geographic area and of the same single species native to the area.</p>	N/A		

		d. Provide documentation of cooperation with restoration efforts in the geographic region using out-planting that involves the intentional divergence from wild stocks to produce disease resistant wild populations				
		e. Others, please describe				
3.5 Criteria: Transgenic animals						
3.5.1	Indicator: Allowance for farming of transgenic ^[12] animals Requirement: None Applicability: All	a. Maintain documentation showing the origin of culture stock with names, addresses, contact person(s) and delivery dates of each purchase (see 3.2.1a). b. Prepare a declaration stating that the farm does not culture transgenic bivalves. - d. Others, please describe	Statement provided with regard to non-production of transgenic species included in the Environmental Policy signed off by Cristian Tapia Cerda. email confirmation from Universidad Catolica del Norte signed by Carlos Basulto Miralles (Executive Secretary of the Laboratory of the University, dated December 2019) Production of Scallops in Chile is highly productive in the current farming methods and as such there would be no benefit in using transgenic organisms. stock origins are internal or from Universidad Catolica del Norte	Compliant		
PRINCIPLE 4. MANAGE DISEASE AND PESTS IN AN ENVIRONMENTALLY RESPONSIBLE MANNER						
4.1 Criteria: Disease and pest management practices						
4.1.1	Indicator: Allowance for the application of mutagenic, carcinogenic or teratogenic pesticides on the farm or farmed animals Requirement: None Applicability: All	a. Maintain a record of all chemicals (any substance that is added by the producer to farm or farmed animals) used for prior 12 month period by farm and/or contractors. If the farm is located in an integrated facility, all chemicals used in hatcheries and processing plants must be recorded, in addition to those used in grow-out. Supply technical information on all chemicals used on the farm. b. Provide chemical supplier name and contact information. - d. Others, please describe	Farm states no chemicals used in any part of the direct farming process. List provided of 77 different chemicals that are used in general production of which 8 (engine oils and grease) are used around the farming area and process. Sea water is used for cleaning equipment at sea. Listado de Productos Quimicos provided with supplier information for each product.	Compliant		
4.1.2	Indicator: Allowance for the application of chemicals that persist as toxins in the marine environment or on the farm or farmed animals Requirement: None	a. Same as 4.1.1.a. b. Same as 4.1.1.b. -	No such chemicals stated to be used, backed up by site inspection.	N/A		

	Applicability: All	d. Others, please describe				
4.1.3	Indicator: Only non-lethal management (e.g., exclusion, deterrents and removal) of critical species ^[13] that are pests or predators Requirement: Yes Applicability: All	a. Provide a list of all predator and pest control devices used at the site and their locations. b. Provide a description of all procedures used for managing pests and explain how the farm ensures that no harms is done to critical species (identified in 2.3.1.). c. Others, please describe	No requirement for lethal action on predators of critical species as such. Crabs that are found in the lanterns (and have entered at a larval stage) are required by law to be removed and destroyed at harvest.	Compliant		
4.1.4	Indicator: Allowance for the use of leadline or lead sinkers on predator netting Requirement: None Applicability: All	a. Ensure that no leadline or sinkers are located on the farm or used on predator netting. b. Others, please describe	2kg concrete weights are used to help suspend the lines, no lead used, confirmed at site inspection.	Compliant		
4.1.5	Indicator: Allowance for the use of explosives Requirement: None Applicability: All	a. Ensure that no explosives are used on the farm. b. Others, please describe	No requirement to use explosives	Compliant		
PRINCIPLE 5. USE RESOURCES EFFICIENTLY						
<i>5.1 Criteria: Waste management/pollution control</i>						
5.1.1	Indicator: Evidence of waste reduction (e.g. reuse and recycling) programs Requirement: Yes Applicability: All	a. Provide a description of the most common production waste materials and indicate which waste materials are recycled. b. Others, please describe	The scope for recycling is limited however the company demonstrates good repair and reuse of equipment where possible.	Compliant		
	Indicator: Evidence of appropriate storage and/or disposal of biological waste	a. Prepare a plan that details how the farm ensures proper disposal of all biological waste including separation and segregation of biological waste from non-biological waste.	Biological waste generated at harvest is collected and disposed of as part of the			

5.1.2	<p>Indicator: Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Maintain records to show how the farm disposes of dead bivalves and other forms of biological waste.</p> <p>-</p> <p>d. Others, please describe</p>	<p>biological waste generated at harvest is collected and disposed of as part of the Sernapesca requirement for lease operation. Collection seen at harvest and disposal bins present on shore. Repair and reuse of equipment seen.</p>	Compliant		
5.1.3	<p>Indicator: Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Ensure that the disposal of disused equipment and waste is done promptly, including hazardous waste from the site according to local law and Material Safety Data Sheets (MSDS). Farms shall maintain an inventory of all chemicals used or located on site.</p> <p>b. Others, please describe</p>	<p>Used engine oils are collected by the maintenance department and sent to specialist contractors 'Systema Ventanilla Unica' as per example 25th November 2019 including 8 x 25l containers of used oils to go to Bravo Energy Chile SA in Maipu.</p>	Compliant		
5.1.4	<p>Indicator: Spill prevention and response plan for chemicals/hydrocarbons originating from farming operations</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Prepare a prevention and response plan spills of chemical and hydrocarbon waste. The plan shall outline the preventative maintenance of equipment exist and in place for the avoidance of fuel spills from vehicles, winches, cranes, and mechanical equipment on land and water.</p> <p>b. Maintain documentation regarding the training history of all employees in the proper disposal of waste and in the prevention and management of chemical and hydrocarbon spills as described in the above plan (5.1.4.a).</p> <p>c. Maintain documentation of equipment or structures that have come into contact with spilled chemicals and have been subsequently cleaned.</p> <p>d. Others, please describe</p>	<p>Plan provided P-PRE-13-001 dated August 2018 updated December 2019. Spill issues are controlled by the Navy. The plan details use of 'booms' however these are not yet in place. The government attitude is the risk of the company producing pollution of this nature is small due to the limited mechanisation of the process.</p>	Minor	The spill prevention and response plan is provided however the equipment specified in the plan is not yet in place (booms).	
Criteria 5.2: Energy efficiency						
		<p>a. Maintain records (e.g. receipts) of on-farm fuel and electricity usage. A minimum of 12 months of continuous records are required before the first audit.</p>				

5.2.1	<p>Indicator: Evidence of energy use monitoring relative to production and ongoing effort to improve efficiency</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Compute the annual energy consumption for the last 12 months. Energy usage is itemized and summed in kilojoules. Conversions of energy components to kilojoules of energy can be found at: http://tonto.eia.doe.gov/energyexplained/index.cfm?page=about_energy_conversion_calculator.</p> <p>c. Using results from 5.2.1.b and the total weight (metric tons) of shellfish produced over the last 12 months, determine the farm's energy consumption relative to production.</p> <p>d. Document the main procedures undertaken by the farm to improve energy efficiency and provide a short summary of the effectiveness of those procedures.</p> <p>e. Others, please describe</p>	<p>Energy consumption figures provided for the Year December 2018 - November 2019 in excel format giving a production figure across the year of 385 metric tonnes and a kj/tonne value of 20,283,636. Note this is a 'meat' weight rather than a whole shell weight as the end product is sold in this form. movement towards higher production and bigger harvests will reduce the energy cost / tonne going forward as discussed at audit.</p>	Compliant		
5.2.2	<p>Indicator: Maintenance records for farm equipment (e.g., boats and generators) are up to date and available</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Prepare a maintenance plan which identifies the schedule for regular maintenance of farm equipment including boats and generators.</p> <p>b. Maintain records of equipment maintenance. A minimum of 12 months of continuous maintenance records must be provided for the first audit.</p> <p>c. Others, please describe</p>	<p>Maintenance plan provided including records, boat register includes 11 production, 5 for divers and three for security. Maintenance is detailed on an excel sheet and covers the required period. Records go back 4 years with the planned maintenance and records of completed maintenance along with an indication of where this is not completed in time. Indication that 97% of work is carried out on schedule with the remaining % due to repairs being required. Boats are registered (e.g. Don Alfredo Cert No. D106335128 licence 640 for Tongoy, 18th April 2013) with annual checks (Don Alfredo , 640 to 30th April 2020) signed off by 'the local port captain</p>	Compliant		
PRINCIPLE 6. BE A GOOD NEIGHBOR AND CONSCIENTIOUS COASTAL CITIZEN						
6.1 Criteria: Community relations and interaction						
6.1.1	<p>Indicator: Visible floats must be of a uniform colour, except where otherwise specified by law (if applicable to growing area)</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. If the farm uses visible floats, ensure that they are all uniform in colour.</p> <p>-</p> <p>c. Others, please describe</p>	<p>The boundary marker buoys are all coloured orange, the suspension buoys are black. This is in keeping with the neighbouring farms and the orange markers assist with navigation channel identification</p>	Compliant		

6.1.2	Indicator: Uniform positioning and orientation of visible farm structures, except where specified by law (if applicable to growing area) Requirement: Required Applicability: All	a. Ensure that visible farm structures are uniformly positioned and oriented and do not impede navigation. b. Others, please describe	No issues seen during inspection	Compliant		
6.1.3	Indicator: Allowance for floats made out of open-cell Styrofoam Requirement: None Applicability: All	a. Ensure that no open-celled Styrofoam floats are used or located on the farm. b. Others, please describe	Confirmed during the site inspection	Compliant		
6.1.4	Indicator: Noise, light and odour originating from the farm are minimized in areas where it may impact others (if applicable to growing area) Requirement: Required Applicability: All	a. Prepare a list of all sources of noise, light and odour originating on the farm and include actions taken to reduce them b. Ensure that designated storage areas and containers exist for the materials that create odours. c. Others, please describe	No issues during inspection. 'Listado Esteresores Ambientales' details the possible risks and the controls in place as appropriate.	Compliant		
6.1.5	Indicator: Evidence of compliance with all applicable navigational rules and regulations Requirement: Required Applicability: Sea-based Farms	a. Provide a copy of local navigation rules and regulations.	Covered by Government inspections as detailed in principle 1. All workers using boats require to be licenced (annual government renewal) and all boats require a 20 day confirmation of use which is generally reconfirmed every week (including a record of the worker in control of the boat). Annual Navy checks are also carried out on every boat (This takes a week for the company each year)	Compliant		
		b. Maintain records of the training of relevant farm staff in local navigational rules and regulations.				
		-				
		d. Others, please describe				

6.1.6	<p>Indicator: Documented clean-up of receiving shoreline in response to gear loss based on local conditions</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Maintain a record of effort spent cleaning the receiving shoreline in response to gear loss. Record shall span at least a 12 month period prior to the audit.</p> <p>b. Others, please describe</p>	<p>Company carries out a weekly shore cleaning exercise over an allocated section of Tongoy beach (@40% of total) for which they lift all debris found. Other companies in the area have similar allocations of different sections. The waste is "all waste" from the beach the disposal is allocated to 'site 7' and disposed of in the same way as other company waste.</p>	Compliant		
6.1.7	<p>Indicator: Substantial gear (e.g., floats, cages, bags, predator nets and racks) is identifiable to farm (if applicable to growing area)</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Ensure that all substantial gear is clearly labelled and identifiable as belonging to the farm. At a minimum, labelled gear shall include floats, cages, bags, predator nets and racks.</p> <p>b. Others, please describe</p>	<p>All floats are marked by the Ostimar Stamp on them. All gear is checked on every Sunday and missing gear is logged and divers sent to recover.</p>	Minor	The floats are all marked appropriately however the individual lanterns are not identifiable should they become detached and be washed up on the shore.	
6.1.8	<p>Indicator: Provision of equipment for gear recovery (e.g., scoop nets and grapple hooks)</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Ensure that the farm maintains equipment and /or mechanisms for recovering lost gear.</p> <p>b. Others, please describe</p>	<p>Divers are employed to recover any dropped gear. There is a safety line through the lanterns but if this fails the divers also carry out bottom checks. Anchoring is by concrete blocks and as the water depth below the units is 20m maximum which can be covered by divers.</p>	Compliant		
6.1.9	<p>Indicator: A mechanism (e.g., insurance or an industry agreement to collect derelict gear) is in place for the decommissioning of abandoned farms</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide documentation of a mechanism for the collection and decommissioning of gear.</p> <p>b. Others, please describe</p>	<p>There is a legal requirement to inform the Navy and the Fishery service if the company intends to cease using a particular lease, this would result in imposed financial penalty if the regulations were not followed.</p>	Compliant		

6.1.10	<p>Indicator: Conflict resolution protocol, including publicly available registry of complaints and evidence of due diligence to resolve them</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Provide documentation outlining the farm's protocol for responding to complaints lodged by stakeholders, community members, and organizations.</p> <p>b. Maintain publically available documentation of registered complaints and farm responses.</p> <p>-</p> <p>d. Others, please describe</p>	<p>Protocol (Procedimiento de resolución de is included within the environmental plan. This has recently been devised (this year) and there have been issues raised. There is a fifteen day period of resolution applied. Example provided 24th September, netting was damaged on property adjoining her and flapping loose. the company repaired and resolved</p>	Compliant		
6.1.11	<p>Indicator: Evidence of outreach (e.g., meeting records, newsletters, consultation with communities and indigenous groups, or membership in association with documented outreach program)</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Provide documentation of community outreach and measures taken to maintain positive communication. Documented evidence shall include one or more of the following:</p> <ul style="list-style-type: none"> - meeting records, - newsletters, - records of consultation with communities and indigenous groups, - membership in an association with a documented outreach program <p>b. Others, please describe</p>	<p>Several options are used, including schools sending pupils to see the facility, in addition they take school leavers to do 'apprenticeships ' on leaving school. There are research projects ongoing with external (e.g. university) groups.</p>	Compliant		
6.1.12	<p>Indicator: Evidence of acknowledgment of indigenous groups' rights (if applicable to growing area)</p> <p>Requirement: Required</p> <p>Applicability: All</p>	<p>a. Provide a record of agreement or proof of acknowledgement of indigenous rights</p> <p>b. Others, please describe</p>	<p>No indigenous populations considered to be in this area</p>	N/A		
PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY AND CULTURALLY RESPONSIBLE MANNER						
7.1. Criteria: Child labour						
		<p>a. Minimum age of permanent workers is 15 or higher (per national legal minimum age).</p> <p>b. System exists to monitor hours and conditions of young workers and light work by children.</p>	<p>a. It was possible to evidence that, out of a total of 185 workers, the youngest is 18 years old (born April 27, 2001). It was possible to evidence in a document called "internal regulation order hygiene and safety" of the year 2019 indicates</p>			

7.1.1.	Indicator: Incidences of child [14] labour [15] Requirement: 0 Applicability: All	<p>c. Young workers from 15 to 18 years of age [as defined in footnote 16]: have no conflicts between work and schooling; do not spend more than 10 hours/day on transportation time, school and work; and do not perform hazardous work [as defined in footnote 17].</p> <p>d. Children under 15 perform only light work. Light work & school not to exceed 7 hours/day.</p> <p>e. Equal treatment for children of migrant workers.</p> <p>f. Others, please describe</p>	<p>... internal regulation order, hygiene and safety of the year 2019, indicates in article 73 that "the company as a rule, will not hire personnel under 18 years ...".</p> <p>b. In the Ostimar S.A site, there is no evidence of the presence of young or minor workers. The requirement is not applicable.</p> <p>c. In the Ostimar S.A. site, there is no evidence of the presence of young or underage workers. The requirement is not applicable.</p> <p>d. In the Ostimar S.A. site, there is no evidence of the presence of young or underage workers. The requirement is not applicable.</p> <p>e. In the Ostimar S.A. site, there is no evidence of the presence of young or underage workers. The requirement is not applicable.</p> <p>Total workers in Ostimar are 185 as of December 10, 2019.</p>	Compliant		
7.2. Criteria: Forced, bonded, compulsory labour						
7.2.1.	Indicator: Incidences of forced [18], bonded [19], or compulsory labour Requirement: 0 Applicability: All	<p>a. Contracts clearly stated and understood by employees, no 'pay to work' schemes through labour contractors or training credit programs.</p> <p>b. Employees free to leave workplace and manage their own time.</p> <p>c. Employer does not withhold employee's original identity papers.</p> <p>d. Employer shall not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer.</p> <p>e. Employees not obligated to stay in job to repay debt.</p> <p>f. Others, please describe</p>	<p>a. The chief of administration was interviewed. It is evidenced in his statements to have clear ideas regarding the appropriate payment, it is more, declares and is evidenced in payrolls, that all the criteria of bonus payments and salaries of all types of worker / position.</p> <p>b. The payrolls of 3 workers of the year 2019 were observed. The documents known as "compensation of wages" are observed, for the months of August, September, October and November 2019. It was observed that the lowest average salary was CLP 720,000, but the lowest was CLP 472,940 (the minimum wage established by law in Chile as of December 10, 2019, is CLP 301,000).</p> <p>c. It is possible to evidence in the internal regulation of order, hygiene and safety of the year 2019, articles 65, 66, 67 and 68 regarding the provision of procedure for conflict management. For the site, a case is evidenced. This is evidenced by an investigation conducted on February 11, 2019. The auditor has observed the investigation and corrective actions applied by the company. These conform to the indicated regulation.</p> <p>d. It is observed, as indicated in section b, that the average salary is CLP 720,000, and the lowest is CLP 472,940, which is above the minimum wage established by law that is CLP 301,000.</p> <p>e. According to the statements of fact issued by the site administrator, and of the payment forms observed (sample of a total of 185) of the workers, the application of this method as part of the practices of this organization is not observed.</p>	Compliant		
7.3. Criteria: Discrimination						

7.3.1.	<p>Indicator: Incidences of discrimination [20]</p> <p>Requirement: 0</p> <p>Applicability: All</p>	<p>a. Written anti-discrimination policies in place, stating that the company does not engage/support in 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. Worker testimony supports 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. Records indicate objective mechanisms for employee reviews and the offering of promotion and training opportunities</p> <p>c. Others, please describe</p>	<p>a. It is possible to evidence in the regulation of order, hygiene and safety of Ostimar S.A., statements that point to non-discrimination as part of its internal policies, in article 72 called "establishes measures against discrimination". In addition, to the above, it was possible to document evidence called "policy of equal employment and non-discrimination" indicating that "OSTIMAR S.A. prohibits the promotion or instigation of acts, behaviours or behaviours that constitute discrimination, harassment and intimidation..."</p> <p>b. The field staff was interviewed (a total of 5 workers), who refers to the practices implemented by the organization.</p>	Compliant		
7.4. Criteria: Health and safety						
7.4.1.	<p>Indicator: All health and safety related accidents and violations are recorded and corrective action is taken when necessary</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Documentation is generated with regards to occupational health and safety violations.</p> <p>b. Corrective action plans are implemented in response to accidents that have occurred. This should include: analysis of the root causes, address the root causes, remediate and prevent future accidents of similar nature.</p> <p>c. Others, please describe</p>	<p>a. It was possible to evidence that the organization has a documented procedure called "accident investigation and cause analysis", code O-ACC-IP-18", dated July 20, 2018, where the accident investigation methodology is established. It was possible to evidence that there is a total of 09 investigations carried out in the year 2019, which are duly reported.</p> <p>b. It was possible to evidence that, of the 09 investigations carried out during the year 2019, a total of 2 of them are evaluated by the auditor as an audit sample. For both, a document called "individual complaint of work accident" is established, dated February 19, 2019. The conduction of the accident investigation methodology based on the procedure described above is evidenced. Cause analysis, immediate actions and corrective actions are established.</p>	Compliant		
		<p>a. Minimization of hazards/risks in the working environment, including documented systemic procedures and policies to prevent workplace hazards and their risks, shall exist and the information shall be available to employees.</p>	<p>a. It was possible to evidence that the company has an expert in occupational risk prevention that is in the plant. In addition to the above, there is evidence of a procedure called "emergency plan", code PE-IO-S7-001-18, dated April 27, 2018. In this procedure, methodology for the evaluation and reaction in case of earthquake, flood, heavy rain, spillage of negative substances, riots, fire strikes, sabotage, accidents at work and operational failure is established. From this</p>			

7.4.2.	<p>Indicator: Occupational health and safety training is available for all employees</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Emergency response procedures shall exist and be known by employees.</p> <p>c. Health and safety training for all employees is available, including training on potential hazards and risk minimization.</p> <p>d. Potentially dangerous chemicals are stored properly and as prescribed.</p> <p>e. Others, please describe</p>	<p>sabotage, accidents at work and operational failure is established. From this procedure, a training activity is carried out for each worker who enters to provide services in the organization (last evidence is carried out on December 4, 2017, called "training obligation to inform").</p> <p>b. It was possible to evidence that the company has an expert in occupational risk prevention that is in the plant. In addition to the above, there is evidence of a procedure called "emergency plan", code PE-IO-S7-001-18, dated April 27, 2018. In this procedure, methodology for the evaluation and reaction in case of earthquake, flood, heavy rain, spillage of negative substances, riots, fire strikes, sabotage, accidents at work and operational failure is established. From this procedure, a training activity is carried out for each worker who enters to provide services in the organization (last evidence is carried out on December 4, 2017, called "training obligation to inform").</p> <p>c. It was possible to evidence training activities in the personnel according to the following evidence:</p> <ul style="list-style-type: none"> - "Falls at the same and different level", dated January 9, 2019, made to a total of 20 workers, - "Use of specific PPE", dated January 28, 2019, made to a total of 4 workers, - "Raft hoist", dated March 8, 2019, made to a total of 7 workers, - "Work at height with use of scaffolding", dated March 13, 2019, performed for a total of 05 workers, <p>d. It was possible to evidence a warehouse located in the raft area of the site. The chemicals used by the organization are oriented to lubricants and fuels. The cellar is observed suitable for this purpose.</p>	Compliant		
7.4.3.	<p>Indicator: Employer responsibility and proof of insurance (accident or injury) for employee medical costs in a job-related accident or injury, unless otherwise covered</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Documentation maintained by management confirms that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries. Equal insurance coverage must include temporary, migrant or foreign workers.</p> <p>b. Others, please describe</p>	<p>a. By law, each company must have their workers subscribed to insurance and labour protection in case of accidents. In the case of Ostimar S.A. staff, they have the coverage of the Chilean Association of Security.</p>	Compliant		
7.5 Criteria: Fair and decent wages						
		<p>a. Employers/Managers understand and have policies to ensure the principle of equal pay for equal work.</p>	<p>a. The chief of administration was interviewed. It is evidenced in his statements to have clear ideas regarding the appropriate payment, it is more, declares and is evidenced in payrolls, that all the criteria of bonus payments and salaries of all</p>			

7.5.1.	<p>Indicator: Payment of fair and decent wages</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Employers ensure wages paid for a standard working week (no more than 48 hours) always meet, at least, legal/industry minimum standards.</p> <p>c. Labour conflict resolution policy in place to track conflicts and complaints raised, and responses to conflicts and complaints.</p> <p>d. Ratio of lowest wage rate to basic needs wage always exceeds 100%.</p> <p>e. Others, please describe</p>	<p>types or worker / position.</p> <p>b. The payrolls of 3 workers of the year 2019 were observed. The documents known as "compensation of wages" are observed, for the months of August, September, October and November 2019. It was observed that the lowest average salary was CLP 720,000, but the lowest was CLP 472,940 (the minimum wage established by law in Chile as of December 10, 2019, is CLP 301,000).</p> <p>c. It is possible to evidence in the internal regulation of order, hygiene and safety of the year 2019, articles 65, 66, 67 and 68 regarding the provision of procedure for conflict management. For the site, a case is evidenced. This is evidenced by an investigation conducted on February 11, 2019. The auditor has observed the investigation and corrective actions applied by the company. These conform to the indicated regulation.</p> <p>d. It is observed, as indicated in section b, that the average salary is CLP 720,000, and the lowest is CLP 472,940, which is above the minimum wage established by law that is CLP 301,000.</p>	Compliant		
7.6. Criteria: Freedom of association and collective bargaining						
7.6.1.	<p>Indicator: Employees have access to freedom of association and collective bargaining</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Workers have the freedom to form and join any trade union, free of any form of interference from employers or competing organizations set up or backed by the employer. The ILO specifically prohibits "acts which are designed to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations".</p> <p>b. Local trade union, or where none exists a reputable civil-society organization, confirms no outstanding cases against the employer for violations of employees' freedom of association and collective bargaining rights.</p> <p>c. Trade union representatives have access to their members in the workplace at reasonable times on the premises.</p> <p>d. Explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all.</p> <p>e. If trade unions exist, they are able to access/inform all workers directly (posters, pamphlets, visits).</p> <p>f. Others, please describe</p>	<p>a. The company has 2 formally established unions. The first has been formed since 1998, and the second has been in 2014. These unions represent a total of 50% of the company's workers (90 workers out of a total of 185) and members (who receive benefits, but if they are affiliated directly to the union) are a total of 5. The collective agreement of union number 2 was evidenced, dated August 12, 2019, and valid for 2 years. In addition to the above, the collective agreement of union number 1 was observed, dated August 22, 2019, and valid for 2 years.</p> <p>b. No cases were found against the employer for violations. The treasurer of union number 2 was interviewed.</p> <p>c. As indicated by union treasurer 2, he explicitly stated that he has always had the possibility of meeting with all staff, without any kind of obstruction by the company."</p> <p>d. It was possible to evidence that, in internal regulation of order, hygiene and safety of the year 2019, it is indicated in article 103, that "Ostimar S.A. recognizes that workers have the right to establish, without prior authorization, the syndicate organizations they deem appropriate". This document is extended to each worker.</p> <p>e. As indicated by union treasurer number 2, it is established that the union "has the possibility of communicating at the entrance to the plant, all the communications that the union establishes".</p>	Compliant		
7.7. Criteria: Non-abusive disciplinary practices						

7.7.1.	<p>Indicator: Incidences of abusive disciplinary practices occurring on the farm</p> <p>Requirement: 0</p> <p>Applicability: All</p>	<p>a. There is never any use of or support for (e.g. subcontractors using) corporal punishment, mental or physical coercion, or verbal abuse.</p> <p>b. Fines or wage deductions shall not be acceptable as a method for disciplining workers (indicated by policy statements, as well as evidence from worker testimony).</p> <p>c. Procedures exist for situations in which disciplinary action is required, and they establish the use of progressive verbal and written warnings. Aim should always be to improve the worker before letting him/her go. (Indicated by policy statements as well as evidence from worker testimony).</p> <p>d. Others, please describe</p>	<p>a. It was possible to evidence that for the regulations of order, hygiene and safety of Ostimar S.A., this kind of practice is not accepted. Asked to the head of administration, it refers to the fact that this practice is not carried out.</p> <p>b. There is no evidence, when reviewing workers' payrolls, the application of this action. However, a minor nonconformity is raised in this requirement, since it is observed that the regulation of order, hygiene and safety of Ostimar S.A. establishes it. (NC: It was possible to evidence that in the regulation of order, hygiene and safety of Ostimar S.A., in article 40, number 3, it establishes "a fine of 25% of the daily remuneration", in relation to infractions as part of disciplinary sanctions).</p> <p>c. It was possible to evidence that the regulation of order, hygiene and safety establishes the method. In general, the way to establish a disciplinary act is by applying a letter of warning or verbally. When reviewing the personnel folders, this document was not evidenced.</p>	Minor	It was possible to evidence that in the regulation of order, hygiene and safety of Ostimar S.A., in article 40, number 3, it establishes "a fine of up to 25% of the daily remuneration", in relation to infractions as part of disciplinary sanctions. It was determined at audit that this practice is not carried out.	
7.8. Criteria: Working hours						
7.8.1.	<p>Indicator: Incidences, violations or abuse of working hours and overtime laws or expectations</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. No deductions in pay for disciplinary actions.</p> <p>b. Wage and benefits are clearly articulated to employees and rendered to employees in a convenient manner; e.g. no need to travel to collect benefits, no promissory notes, coupons or merchandise; payment in cash or check.</p> <p>c. Labour-only contracting or false apprenticeship schemes are not accepted, including: revolving/consecutive labour contracts used to deny benefit accrual.</p> <p>d. Clear, transparent mechanism for wage setting known to employees.</p> <p>e. Employer shall comply with applicable laws and industry standards related to working hours. "Normal workweek" can be defined by law but shall not on a regular basis (constantly or majority of the time) exceed 48 hours. Only if allowed by law, variations (to the 48-hour regular work week) based on seasonality may apply.</p> <p>f. All overtime shall be paid at a premium and should not exceed 12 hours per week.</p> <p>g. Overtime work shall always be voluntary.</p> <p>h. Others, please describe</p>	<p>a. It was evidenced that this situation has not been generated by the company, however, as indicated in requirement 7.7.1 b, a minor nonconformity raises.</p> <p>b. It was interviewed head of administration. Salaries are evidenced that they are properly articulated, according to the position, and productive performance of said position when fulfilling the productive objectives of the company.</p> <p>c. This situation was not observed.</p> <p>d. This situation was not observed.</p> <p>e. It was possible to evidence that the sample observed during this audit complies with the legal requirements.</p> <p>f. The use of overtime pay in staff was not observed. Payment forms are reviewed.</p> <p>g. It was possible to evidence that the company has as a practice the consultation of the worker on a quarterly basis.</p>	Compliant		

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

11.3 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.)

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	Evaluation	Date of detection	Status	Related VR (#)	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	2.3.1	Minor	Fish and crustacean species are not included in the Plancton Andino IUCN list.	Comprehensive list provided originating from Plancton Andino with Birds, Mammals, reptiles, plants and other species included. It is noted that fish and crustacean species are not included. The protected areas identified show some species (i.e. Humboldt Penguins) however due to the perceived low impact of the farming activities the maps provided for protected areas are taken to be definitive. Staff presentations include appropriate IUCN information relating to Coquimbo and identify 101 species within the categories CR, EN and VU	10-Dec	Open	N/A	Problem: "There is no consideration of Fish or Crustacean species in the threatened species assessment" When this happened: At the moment of the Cientific Study and species search. Causes: A) Lack of knowledge of the operation of the IUCN platform. B) Insufficient conservation risk data for fish or crustacean species in the area. C) Lack of integration of specific knowledge of fish and crustacean species in the area. Specific Causes: A) Impossibility of filtering in detail to obtain results oriented to the area, when doing it the search ends without results. B) Most species of fish and crustaceans associated with the area do not have conservation risk information, making search difficult. C) Information on fish and crustaceans in the area is dispersed and at the time of the search and scientific study it was not possible to integrate it.	A search will be carried out incorporating other sources of information to integrate knowledge of the species in the area and manually search the red list of the IUCN and Database of the Ministry of Environment. Incorporate the species found to the list of endangered species of the Environmental Management Plan.	09/03/2020	CAB to evaluate as appropriate.	N/A					
2	5.1.4	Minor	The spill prevention and response plan is provided however the equipment specified in the plan is not yet in place (booms).	Plan provided P-PRE-13-001 dated August 2018 updated December 2019. Spill issues are controlled by the Navy. The plan details use of 'booms' however these are not yet in place. The government attitude is the risk of the company producing pollution of this nature is small due to the limited mechanisation of the process.	10-Dec	Open	N/A	Problem: "Anti-spill equipment included in the spill management plan is not implemented" When this happened: At the moment of the audit. Causes: a) There was a delay in the decision of the appropriate equipment in quantity and type to be implemented. b) Elements were in the quoted stage at the time of the audit. Specific Causes: a) A consensus was sought between areas involved in the development of the spill plan, in order to have the elements indicated in type and quantity. b) Due to the cost of the elements, a quotation was made with 4 different suppliers to obtain the most reasonable price, which generated a delay in obtaining the quotation.	The respective purchase order will be executed for approval and purchase of the items considered. Once the equipment is received, it will proceed to its correct implementation according to the spill management plan.	09/03/2020	CAB to evaluate as appropriate.	N/A					

3	6.1.7	Minor	The floats are all marked appropriately however the individual lanterns are not identifiable should they become detached and be washed up on the shore.	All floats are marked by the Ostimar Stamp on them. All gear is checked on every Sunday and missing gear is logged and divers sent to recover.	10-Dec	Open	N/A	<p>Problem: "Lanterns are not identifiable"</p> <p>When this happend: At the moment of the audit.</p> <p>Causes: a) Number and rotation of systems makes identification difficult to implement.</p> <p>b) Alternative labeling analyzed prior to the audit sought the identification and use of information on the movement of the lanterns, but was economically limiting.</p> <p>Specific causes: a) Lanterns exceed 100,000 units and due to their high operational rotation, an economical and quick alternative to install is required.</p> <p>b) The possibility of using RFID technology to mark the lanterns was analyzed, but its cost was very high.</p>	The systems will be marked with plastic cable ties, so as to differentiate them from other systems not belonging to our company. The marking will be carried out continuously with the operating process.	09/03/2020	CAB to evaluate as appropriate.	N/A					
4	7.7.1.	Minor	The labor policies of Ostimar S.A., in article 40 number 3, indicate that as part of the sanctions and disciplinary processes to workers the company could apply "a fine, which may be up to 25% of the daily compensation of the worker".	<p>a. It was possible to evidence that for the regulations of order, hygiene and safety of Ostimar S.A., this kind of practice is not accepted. Asked to the head of administration, it refers to the fact that this practice is not carried out.</p> <p>b. There is no evidence, when reviewing workers' payrolls, the application of this action. However, a minor nonconformity is raised in this requirement, since it is observed that the regulation of order, hygiene and safety of Ostimar S.A. establishes it. (NC: It was possible to evidence that in the regulation of order, hygiene and safety of Ostimar S.A., in article 40, number 3, it establishes "a fine of 25% of the daily remuneration", in relation to infractions as part of disciplinary sanctions).</p> <p>c. It was possible to evidence that the regulation of order, hygiene and safety establishes the method. In general, the way to establish a disciplinary act is by applying a letter of warning or verbally. When reviewing the personnel folders, this document was not evidenced.</p>	10-Dec	Open	N/A	<p>Problem: "The Internal Hygiene, order and safety regulation document contemplates the possibility of applying a fine in the remuneration of workers"</p> <p>When this happend: Since the publication of the last copy of the internal hygiene, order and safety regulations document, August 2019.</p> <p>Causes: a) The Chilean labor law contemplates the fine to the remuneration of a worker, for which it was cited in the internal regulation of hygiene, order and safety document.</p> <p>Specific causes: a) The article of the Chilean labor law that mentions the fine to the remuneration of the worker was copied textually, without considering that it goes against the historical policy of the company (a worker has never been fined discounted) and of the principles of the ASC.</p>	The article of the internal regulation of hygiene, order and safety document that mentions the possibility of applying a fine to the remuneration of a worker will be eliminated and replaced with an article that states: "In no case will sanctions of a pecuniary nature be made to workers or retentions of payments of salaries or others as a sanction". The new version of the internal regulation once approved through the regular conduit (Presentation to the regional health service and labor inspection), the copy will be delivered to the workers.	09/03/2020	CAB to evaluate as appropriate.	N/A					


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.	All Long Lines and attached lanterns are clearly identifiable within each lease area, harvesting is carried out on a line by line basis. All Ostimar stock will be covered by ASC certification should this be awarded.	Stock Records are controlled in the Aquamanager database system with good traceability back to the hatchery origins
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.	All Ostimar stock will be covered by ASC certification should this be awarded, consequently any substitution of stock would have to be deliberately carried out, there is no scope for accidental mixing with another producer's stock.	Aquamanager database.
10.3	The possibility of subcontractors being used to handle, transport, store, or process certified products.	Harvesting is carried out on a farm platform. The scallops are then directly transferred to the shore base for processing. There is limited risk of substitution.	No use of contractors during harvesting or transport
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.	No other such opportunities identified	All processes are controlled internally.

	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	One	None
Number of sites included in the unit of certification	One	None

	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	The scallops are grown in lanterns which will be covered by ASC Certification should this be confirmed by the audit determination. These fish are uplifted and harvested aboard a harvest raft owned by Ostimar SA and transferred from the shore base. All activities are fully controlled by Ostimar using the Aquamanager database system.	

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	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
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.	See above. 
10.6.3 The point from which chain of custody is required to begin	The chain of custody is required to begin from the point of entering the Ostimar processing unit in Tongoy
10.6.4 If a separate chain of custody certificate is required for the unit of certification	Yes

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	See the Audit template section. It should be noted that Ostimar S.A. have elected not to redact any information (no information excluded due to confidentiality) from the audit report therefore there is no separate 'redacted' version.
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)	The audit team are of the opinion that the unit of certification has the capability to consistently meet the objectives of the ASC Bivalves Standard V 1.1 subject to satisfactory corrective action being presented for the non-conformances raised.
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.	Environmental Impact Assessment is appended to this report.

13 Decision

13.1 Has a certificate been issued? (yes/no)	N/A at draft stage
13.2 The Eligibility Date (if applicable)	N/A
13.3 Is a separate CoC certificate required for the producer? (yes/no)	No
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.	N/A at draft stage
13.4.2 The scope of the certificate	The 17 lease areas operated by Ostimar S.A. in Tongoy Bay, Elqui Province, IV Región de Coquimbo, Chile (map and details of leases submitted)

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.

Complaints, objections, comments or submissions of further information may be passed to Acoura Marine Ltd. t/a Lloyd's Register either during the public comment period or afterwards throughout the validity of the certificate. This can be done via the Lloyd's Register website (www.acoura.com), by email (asc-ca@lr.org) or by mail (Aquaculture Team, Lloyd's Register, 6 Redheughs Rigg, Edinburgh, UK). For complaints, please refer to Lloyd's Register's website (www.acoura.com) for the complaints procedure within Lloyd's Register's Certification Regulations document. For other objections, comments or submissions, these will be passed on to the Lead Auditor and Aquaculture Director for consideration and decision on any necessary action. Complaints may also be submitted directly to the ASC at certification@asc-aqua.org, PO Box 19107, 3501 DC Utrecht, The Netherlands or NHK Utrecht Centraal, Arthur van Schendelstraat 650, 3511 MJ Utrecht, The Netherlands. ASI's dispute mechanism can be found on their website (www.asi-assurance.org/) which includes information on the handling of incidents, complaints and appeals.

14 Surveillance

14.1 Next planned Surveillance

14.1.1 Planned date

Jan-21

14.1.2 Planned site

Ostimar

14.2 Next audit type

14.2.1 Surveillance 1

Yes

14.2.2 Surveillance 2

No

14.2.3 Re-certification

No

14.2.4 Other (specify type)

No