# Form 3 - Public Disclosure Form

*This form shall be submitted by the CAB no less than thirty (30) calendar 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.*

*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** | 22.12.2016 |
| **PDF 1.3 CAB Contact Person** | |
| PDF 1.3.1 Name of Contact Person | Odd H. Johannessen |
| PDF 1.3.2 Position in the CAB's organisation | Lead Auditor |
| PDF 1.3.3 Mailing address | |

* Except unannounced audits, for which this form will be sent to the ASC and AAB without being published

| | | |
|---|---|---|
| PDF 1.3.4 | Email address | odd.johannessen@dnvgl.com |
| PDF 1.3.5 | Phone number | 0047-96 91 70 70 |
| PDF 1.3.6 | Other | |

**PDF 1.4 ASC Name of Client**

| | | |
|---|---|---|
| PDF 1.4.1 | Name of Contact Person | Silje Ramsvatn |
| PDF 1.4.2 | Position in the client's organisation | Environmental Coordinator, Cermaq Norway AS |
| PDF 1.4.3 | Mailing address | |
| PDF 1.4.4 | Email address | silje.ramsvatn@cermaq.com |
| PFD 1.4.5 | Phone number | 0047-23 68 55 33 |
| PDF 1.4.6 | Other | Website: www.cermaqnorway.com |

**PDF 1.5 Unit of Certification**

| | |
|---|---|
| PDF 1.5.1 Single Site | Single site |
| PDF 1.5.2 Multi-site | |
| PDF 1.5.3 Group certification | |

**PDF 1.6 Sites to be audited**

| Site Name | GPS Coordinates | Other Location Information | Planned Site Audit(s) | Date of planned audit |
|---|---|---|---|---|
| 10789 Store Lerresfjord | 70°17,249N; 23°27,969E | Cermaq Norway AS, 10789 Store Lerresfjord, 9536 Korsfjord, Norway | P1 | 06.-10. Febr. 2017 |
| | | | | |

**PDF 1.7 Species and Standards**

| Standard | Species (scientific name) produced | Included in scope (Yes/No) | ASC endorsed standard to be used | Version Number |
|---|---|---|---|---|
| Salmon | Salmo salar L. | Yes | ASC Salmon Standard | V 1.0 |
| | | | | |

**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 |
|---|---|---|---|---|
| Mattilsynet | Food Safety Authorities | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| Finnmark Fylkeskommune | Reginonal authority | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| Kystverket | Coastal/Maritime authority | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| Fiskeridirektoratet | Fisheries authority | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |

| | | | | |
|---|---|---|---|---|
| Alta Kommune | Local Municipality | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| Fylkesmannen i Finnmark | Reginonal authority | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| Reinbeitedistrikt 23 B Postboks 5, 9525 Maze | Local interest organisation | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| Lerresfjord Grendelag, 9536 Korsfjord | Local interest organisation | Written notifications with request for submissions | Preaudit and preliminary report | Written notifications |
| All listed will be contacted if they respond in writing to the written notifications sent. All listed will be contacted if they respond in writing to the written notifications sent to them at audit notification 6 weeks prior to the audit and at the start of the Draft Stage Report public | | | | |

**PDF 1.9 Proposed Timeline**

| | | |
|---|---|---|
| PDF 1.9.1 | Contract Signed: | 21. May 2015 |
| PDF 1.9.2 | Start of audit: | 06. Febr. 2017 |
| PDF 1.9.3 | Onsite Audit(s): | 06.-10. Febr. 2017 |

| | | |
|---|---|---|
| PDF 1.9.4 | Determination/Decision: | **Pending final certification decision in final report.** |

**PDF 1.10 Audit Team**

| | Column1 | Name | ASC Registration Referenc |
|---|---|---|---|
| PDF 1.10.1 | Lead Auditor | Odd H. Johannessen | |
| PDF 1.10.2 | Technical Experts | | |
| | | | |
| | | | |
| | | | |
| | | | |
| PDF 1.10.3 | Social Auditor | Darius Pamakstys | |

# 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**

**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 reproducable 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 reproducable results.

## 1 Title Page

| | |
|---|---|
| 1.1 Name of Applicant | Cermaq Norway AS 10789 Store Lerresfjord |

| | | |
|---|---|---|
| 1.2 | Report Title [e.g. Public Certification Report] | ASC Surveillance Audit 1, Final report |
| 1.3 | CAB name | Det Norske Vertias Germanische Loyd (DNVGL) |
| 1.4 | Name of Lead Auditor | Odd H. Johannessen |
| 1.5 | Names and positions of report authors and reviewers | Mr. Darius Pamakstys, Social Accountability related priciples and indicators. Reports technical reviews by Mr. Jorge Rios. |
| 1.6 | Client's Contact person: Name and Title | Mrs. Silje Ramsvatn. Environmental Coordinator Cermaq Norway AS |
| 1.7 | Date | 20.06.2017 |

**2 Table of Contents**

**3 Glossary**

| | |
|---|---|
| Terms and abbreviations that are specific to this audit report and that are not otherwise defined in the ASC glossary | 1) MOM-B and MOM-C are surveys of benthic environment at or near farm, according to NS 9410 (Norwegian Standard 9410). 2) NFSA is Norwegian Food safety Authority. 3) "Nytek" NS9415 (Norwegian Standard 9415) are technical certifications of Marine fish farms with Requirements for design, dimensioning, production, installation and operation.4) MTB is Maximum Allowed Biomass. 5) FHP is Fish Health Plan. 6) GG is GLOBALG.A.P. IFA (Integrated Farm Assurance. 7) GGN is GLOBALG.A.P. unique registration number. 8) ODDJO is acronym for Odd H. Johannessen (lead auditor). E459) VHP is Veterinary Helath Plan. 10) UIA is Unidentifiable Infectious Agent. 11) UTA is Unidentifiable Transmissable Agent. 12) TU is Trade Union. 13) PPE is Personal Protective Equipment. 14) H&S is Health and Safety 15) OHS is Occupational Health and Safety. 16) BNW is Basic Need Wages. 17) DP is Darius Pamakstys, Social Auditor, 18) IMR is Institute of Marine Research, 19) BPR is Biocidal Products Regulaton, 20) MRL is Maximum Residue Limits |

## 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 | Surveillance audit for site 10789 Store Lerresfjord after ASC Salmon Standard V1.0 |
| 4.2 | A brief description of the operations of the unit of certification | Production/ongrowing of Atlantic Salmon (Salmo salar) from smolt to harvest size fish in floating circular cages. Centralised feeding system on floating barge is central in site operation and also housing storage of feed, accomodations, technical and control rooms. |
| 4.3 | Type of unit of certification (*select only one type of unit of certification in the list)* | Single farm |
| 4.4 | Type of audit (*select all the types of audit that apply in the list)* | Surveillance audit |

| | | |
|---|---|---|
| 4.5 | A summary of the major findings | Reference is made to report section II Audit template and IV Audit Report - Closing for NCs found during audit |
| 4.6 | The Audit determination | The final certification decision has been taken after needed activities, as per ASC Farm Certification and Accreditation Requirements Version 1 March 2012.<br><br>The organization/site described in this report is:<br><br>• Compliant and thus remains certified |

## 5 CAB Contact Information

| | | |
|---|---|---|
| 5.1 | CAB Name | Det Norske Veritas Germanische Loyd (DNV GL) |
| 5.2 | CAB Mailing Address | DNV GL - Business Assurance<br>Veritasveien 1<br>1322 Høvik<br>Norway |
| 5.3 | Email Address | Lead Auditor Odd H. Johannessen (odd.johannessen@dnvgl.com) |
| 5.4 | Other Contact Information | Phone to DNVGL +47 67 57 99 00 |

## 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. | Yes |

| | | |
|---|---|---|
| **6.2** | A description of the unit of certification (*for intial audit)* / changes, if any (*for surveillance and recertification audits )* | Store Lerresfjord is a conventional floating cage salmon farm. The 6 production cages are circular floating plastic rings with the dimension 90 -120 m circumference, with pointed nets. Feeding is done by automatic feeders installed at the net cages. All installations are certified after "NS-9415 NYTEK" regulations standard.<br>Register, details and maps of location for the site available at:<br>http://www.fiskeridir.no/register/akvareg/ |
| **6.3** | Other certifications currently held by the unit of certification | Global G.A.P. IFA, ISO 9001-2008, ISO 14000-2004, OHSAS 18001 - 2007, ISO 22000-2005 (all held on company level) |
| **6.4** | Other certification(s) obtained before this audit | As above |
| **6.5** | Estimated annual production volumes of the unit of certification of the current year | There has been no production on this site in 2017 |
| **6.6** | Actual annual production volumes of the unit of certification of the previous year *( mandatory for surveillance and recertification* | Production in 2016 is 979 tons. Harvest in 2016 was 1 614 tons. Note that each production cycle has a duration of 14-18 months. Production in 2015 was 635 tons |
| **6.7** | Production system(s) employed within the unit of certification *(select one or more in the list)* | pen/cage/ |
| **6.8** | Number of employees working at the unit of certification | 4 permanent employees plus site manager shared between Nordnes site and Store Lerresfjord site. |

**7 Scope**

| | | |
|---|---|---|
| **7.1** | The Standard(s) against which the audit was conducted, including version number | ASC Salmon Standard V1.0, June 2012. |

| | | |
|---|---|---|
| **7.2** | The species produced at the applicant farm | Atlantic Salmon *(Salmo salar),* only. |
| **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 audit was conducted as document reviews (digital and hard-copy information) as well as interviews conducted with relevant staff. The site was empty on the day of the audit, alle equipment had been removed. Demonstrations of equipment and processes could not take place. No sub-sites are operated by the farm and the complete farm is included in the scope of certification. No handling of fish related to harvest is conducted on the farm. ongrowing, only. Live fish for harvest is transported to harvest plants by subcontracted live fish carriers (se 7.4 below for details). |
| **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. | Only approved live-fish carriers (Subcontractor; Norsk Fisketransport AS) are used during transshipments of salmon between the site and waiting cages/harvest plant.<br>Biosecurity legislation and implemented QMS management system and procedures at the site and within the company prevent the wellboats from visiting/ harvesting from other salmon farms/sites.<br>The possibility for mixture of salmon in waiting cages from salmon from other farm/sites is also prevented by biosecurity legislation and implemented QMS management system and procedures at the site and within the harvesting/processing plant used.<br>There are slaughtered fish from only one waiting cage at a time in the harvest/processing plant<br>Transports are always identifiable on production unit level (cage).<br>All information is kept both in electronic system Fish Talk and Maritech system for Harvest/Post-harvest operations and in hard copies.<br>Post-harvest operations performed at; Cermaq Norway Slakteri F-430, Havneveien 36, 9600 Hammerfest. ASC-C-00687, Exp. date 04.06.18 . Ref. to www.asc-aqua.org where updated information can be found. ). |

| | | |
|---|---|---|
| **7.5** | Description of the receiving water body(ies). | The farm is located in municipaity of Alta. Sites receiving water-body is Vargsund. Regional water-body authority is Finnmark Fylkeskommune. This is a coastal water area. Categorised as a coastal fjord, of Euhaline nature (>30o/ooS). Ecological quality is defined as good. Chemical condition is not defined in public documentation.<br>Details @ www.vannportalen.no<br>The site is under voluntary ABM system. There is other salmon farming activity in the area, including nearby farms. There are natural wild salmon populations in the area. Overview of salmon watercourses in the area are available in map tools from the Environment Agency / Salmon Registry: http://lakseregister.fylkesmannen.no/lakseregister/public/default.aspx |

## 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. | Darius Pamakstys auditing/reviewing Principle 6, 7 and section 8. Odd H. Johannessen, lead auditor, auditing remaning Principles dates 06.-09.02.2017. Odd H. Johannessen Draft stage reporting 11.02.2017 to 08.03.2017<br>Jorge Rios, Technical Reviewer (e-mail address: jorge.rios.alveal@gmail.com)<br><br>Audit was finished 09.02.2017<br><br>Final Report finished 02.06.17<br>Technical review of Final Report finished 19.06.2017<br>Final report sent ASC 20.06.17 |

**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 - mm/yyyy | 1<br>2<br>3<br>4<br>5<br>6<br>7<br>8<br>9<br>10<br>11<br>12 | 2.1.1.d<br>2.1.2.c<br>2.1.3.b<br>4.6.3.d<br>4.7.1.a<br>5.1.6.b<br>5.2.2.a<br>5.2.11.b<br>6.4.1.d<br>6.5.3.a<br>6.7.2.b<br>8.15.a | All NCs verified closed during SA1 |
| | Surveillance audit 1 - mm/ yyyy | | | |
| | Surveillance audit 2 - mm/ yyyy | | | |
| | Recertification audit - mm/ yyyy | | | |
| | Unannounced audit - mm/ yyyy | | | |
| | NC close-out audit - mm/ yyyyy | | | |
| | Scope extention audit mm/ yyyy | | | |

**8.4** Audit plan as implemented including:

| | | Dates | Locations |
|---|---|---|---|
| 8.4.1 | Desk Reviews | NA | |
| 8.4.2 | Onsite audits | 06.-09.02.2017 | Main office Cermaq Norway AS and Store Lerresfjord site |
| 8.4.3 | Stakeholder interviews and Community meetings | | No reponse from notified stakeholders from preaudit notification. |
| 8.4.4 | Draft report sent to client | 08.03.2017 | |

| | | |
|---|---|---|
| 8.4.5 Draft report sent to ASC | NA | |
| 8.5.5 Final report sent to Client and ASC | 20.06.2017 | |

**8.7** 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.

Mrs. Silje Ramsvatn Environmental Coordinator
Rune Berg, H&S Coordinator
Karl Fredrik Ottem, Fish Health Manager
Liv Andrea Myklevoll, HR Coordinator
Marit Holmvaag Hansen, prod. mananger smolt
Kjell Hansen, prod. manager farmed salmon
Kristin Hurum, QA Manager
Hege Samuelsen, Mainanance and purchase Coordinator
Jørgen Asp. Solli, controller
Evy Røymo, QA Coordinator Nordland
Mona Johansen, HR leader
Mats W Snåre, Ass. Env. coordinator
Aleco Garla, Workers repr.

The audit was held in the company's head office, focusing on technical and legal matters, mainly, with relevant operational and administrative staff present.The audit was conducted as document reviews (digital and hard-copy information) as well as interviews conducted with relevant staff including Store Lerresfjord staff, typically a combination of document reviews and staff interviews. Surveillance Audit follow-up of Non Conformances from Initial Audit and risk-based periodic review of the social responsibility principles 6 and 7 of ASC Salmon Standard was performed by SA8000 auditors as desktop review of relevant documentation.

**8.8** Stakeholder submissions, including written or other documented information and CAB written responses to each submission.

| 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 |
|---|---|---|---|---|---|---|

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|---|---|---|---|---|---|
| **AUDIT MANUAL - ASC Salmon Standard<br>Created by the Salmon Aquaculture Dialogue** | | | | | |
| Scope: species belonging to *the genus Salmo and Oncorhynchus* | | | **10789 Store Lerresfjord** | | |
| **PRINCIPLE 1: COMPLY WITH ALL APPLICABLE NATIONAL LAWS AND LOCAL REGULATIONS** | | | | | |
| *Criterion 1.1 Compliance with all applicable local and national legal requirements and regulations* | | | | | |
| | | **Compliance Criteria**<br>(Use as guidance for audit only) | **Audit evidence**<br>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.<br>2. Replace explanitory text in the 'Audit Evidence' column as appropriate.<br>3. If you see any Compliance Criteria which is not listed below, please describe in the blue cells below. | **Evaluation**<br>(Per indicator, select one category in the drop-down menu) | **Justification of classification of NC**<br>Provide an explanation of the reason(s) for the classification of any NCs or non-applicability |
| 1.1.1 | **Indicator:** Presence of documents demonstrating compliance with local and national regulations and requirements on land and water use<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Maintain digital or hard copies of applicable land and water use laws. | Electronic copies of laws, regulations and requirements with references to Lovdata with updates and electronic links in TQM system. Goverened by internal procedures in QMS. | Compliant | |
| | | b. Maintain original (or legalised copies of) lease agreements, land titles, or concession permit on file as applicable. | Approved operating plan for 2015-2016 from Fisheries Directorate dt.29.01.15<br>Fisheries Directorate, ref 07/3911-22, dt.06.08.08 location id 10789, MTB 3480.<br>Discharge permit Finmark Fylkesmannen dt. 17.01.2012. Discharge permit for 3480 MTB.<br>NFSA approval ref 07/3911-22, dt.06.08.08 location id 10791, MTB 3480. | Compliant | |
| | | c. Keep records of inspections for compliance with national and local laws and regulations (if such inspections are legally required in the country of operation). | NFSA inspection dt.15.10.2015. NO NC`s detected during inspections, 1 observation given. Observation are closed and corrective actions are implemented.<br>Fisheries directorate has not performed inspection last 2 production cyclus. | Compliant | |
| | | d. Obtain permits and maps showing that the farm does not conflict with national preservation areas. | Permit approval for location from Norwegian authorites. Fisheries directorate map "kart .fiskeridir.no" , map from "Naturbase"and map nasjonale laksefjorder shows now conflicts with national preservation areas and is within area designated for Aquaculture. | Compliant | |
| | | e. Others, please describe | | | |
| 1.1.2 | | a. 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. | Authorised auditor report/statement for organisation number 961922976, dt.27.03.15 Ernst &Young. | Compliant | |

| | | | | | |
|---|---|---|---|---|---|
| | **Indicator:** Presence of documents demonstrating compliance with all tax laws<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. Maintain copies of tax laws for jurisdiction(s) where company operates. | Lovdata access to updated versions in QMS system | Compliant | |
| | | c. Register with national or local authorities as an “aquaculture activity". | Brønnøysundregisteret registreted for aquacultur activity organisation number 961922976.<br>Approved operating plan for 2015-2016 from Fisheries Directorate dt.29.01.15<br>Fisheries Directorate, ref 07/3911-22, dt.06.08.08 location id 10789, MTB 3480.<br>Discharge permit Finmark Fylkesmannen dt. 17.01.2012. Discharge permit for 3480 MTB.<br>NFSA approval ref 07/3911-22, dt.06.08.08 location id 10789, MTB 3480. | Compliant | |
| | | d. Others, please describe | | | |
| 1.1.3 | **Indicator:** Presence of documents demonstrating compliance with all relevant national and local labor laws and regulations<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Maintain copies of national labor codes and laws applicable to farm (scope is restricted to the farm sites within the unit certification.) | Lovdata access to updated versions in QMS system | Compliant | |
| | | 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). | No inspections from authorites for compliance with national labor laws and codes last 2 production cycles. | Compliant | |
| | | c. Others, please describe | | | |
| 1.1.4 | **Indicator:** Presence of documents demonstrating compliance with regulations and permits concerning water quality impacts<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Obtain permits for water quality impacts where applicable. | Approved operating plan for 2015-2016 from Fisheries Directorate dt.29.01.15<br>Fisheries Directorate, ref 07/3911-22, dt.06.08.08 location id 10789, MTB 3480.<br>Discharge permit Finmark Fylkesmannen dt. 17.01.2012. Discharge permit for 3480 MTB.<br>NFSA approval ref 07/3911-22, dt.06.08.08 location id 10789, MTB 3480. | Compliant | |
| | | b. Compile list of and comply with all discharge laws or regulations. | As described in above permits.<br>MOM-B according to Norwegian legislation and NS9410 dt.03.01.17 performed by Akvaplan Niva. Report nr.APN 8426-03. Category 3 Not good. | Compliant | |
| | | c. Maintain records of monitoring and compliance with discharge laws and regulations as required. | MTB reported to government/ Altinn end of month. Seen january.2016 report filed in Altinn. No indications of non compliance. | Compliant | |
| | | d. Others, please describe | | | |
| **PRINCIPLE 2: CONSERVE NATURAL HABITAT, LOCAL BIODIVERSITY AND ECOSYSTEM FUNCTION** | | | | | |
| *Criterion 2.1 Benthic biodiversity and benthic effects [1]* | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 2.1.1 | **Indicator:** Redox potential or [2] sulphide levels in sediment outside of the Allowable Zone of Effect (AZE) [3], following the sampling methodology outlined in Appendix I-1<br><br>**Requirement:** Redox potential > 0 millivolts (mV)<br>or<br>Sulphide ≤ 1,500 microMoles / l<br><br>**Applicability:** All farms except as noted in [1] | a. Prepare a map of the farm showing boundary of AZE (30 m) and GPS locations of all sediment collections stations. If the farm uses a site-specific AZE, provide justification [3] to the CAB. | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 7 sampling stasjons, sampling inn nærsone,overgangssone and fjernsone. | Compliant | |
| | | b. If benthos throughout the full AZE is hard bottom, provide evidence to the CAB and request an exemption from 2.1.1c-f, 2.1.2 and 2.1.3. | Hard bottom/Sediments | Compliant | |
| | | c. Inform the CAB whether the farm chose option #1 or option #2 to demonstrate compliance with the requirements of the Standard. | Option #1 | Compliant | |
| | | d. Collect sediment samples in accordance with the methodology in Appendix I-1 (i.e. at the time of peak cage biomass and at all required stations). | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 5 (7) sampling stasjons, sampling inn near, intermediate and remote zones | Compliant | |
| | | e. For option #1, measure and record redox potential (mV) in sediment samples using an appropriate, nationally or internationally recognized testing method. | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 7 sampling stasjons, sampling in near, intermediate and remote zones<br>Redox stasjon sampling 2,3,5 (intermediate and remote zones), outside AZE. Redox Eh values ranging from 102mV - 120mV.<br>MOM-C as per national regulations (NS 9410) ASC adapted (ISO 16665). | Compliant | |

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| | | f. For option #2, measure and record sulphide concentration (uM) using an appropriate, nationally or internationally recognized testing method. | | N/A | Redox potential.<br>National regulations (NS 9410) |
| | | g. Submit test results to ASC as per Appendix VI at least once for each production cycle. If site has hard bottom and cannot complete tests, report this to ASC. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | h. Others, please describe | | | |
| 2.1.2 | **Indicator:** Faunal index score indicating good [4] to high ecological quality in sediment outside the AZE, following the sampling methodology outlined in Appendix I-1<br><br>**Requirement:** AZTI Marine Biotic Index (AMBI [5]) score ≤ 3.3, or<br>Shannon-Wiener Index score > 3, or<br>Benthic Quality Index (BQI) score ≥ 15, or<br>Infaunal Trophic Index (ITI) score ≥ 25<br><br>**Applicability:** All farms except as noted in [1] | a. Prepare a map showing the AZE (30 m or site specific) and sediment collections stations (see 2.1.1). | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 5 (7) sampling stasjons, sampling in intermediate and remote zonese. | Compliant | |
| | | b. Inform the CAB whether the farm chose option #1, #2, #3, or #4 to demonstrate compliance with the | Opt #1 Shannon Wierner used. | Compliant | |
| | | c. Collect sediment samples in accordance with Appendix I-1 (see 2.1.1). | Van Veen grab used according to site specific MOM-C (NS9410) | Compliant | |
| | | d. For option #1, measure, calculate and record AZTI Marine Biotic Index [5] score of sediment samples using the required method. | | N/A | Shannon-Wiener Index score used |
| | | e. For option #2, measure, calculate and record Shannon-Wiener Index score of sediment samples using the required method. | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 5 (7) sampling stasjons, sampling in intermediate and remote zones..<br>Shannon Wiener index score Outside AZE: stations, 2,3 and 5,RESULTS: ST 2=5,8 ST 3= 5,3 and ST5 = 5,9. | Compliant | |
| | | f. For option #3, measure, calculate and record Benthic Quality Index (BQI) score of sediment samples using the required method. | | N/A | Shannon-Wiener Index score used |

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| | | g. For option #4, measure, calculate and record Infaunal Trophic Index (ITI) score of sediment samples using the required method. | | N/A | Shannon-Wiener Index score used |
| | | h. Retain documentary evidence to show how scores were obtained. If samples were analyzed and index calculated by an independent laboratory, obtain copies of results. | MOM-C as per national regulations (NS 9410) ASC adapted (ISO 16665 on faunal).<br>Independent laboratory performed the sampling and calculation of faunal index. | Compliant | |
| | | i. Submit faunal index scores to ASC (Appendix VI) at least once for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | j. Others, please describe | | | |
| 2.1.3 | **Indicator:** Number of macrofaunal taxa in the sediment within the AZE, following the sampling methodology outlined in Appendix I-1 | a. Document appropriate sediment sample collection as for 2.1.1a and 2.1.1c, or exemption as per 2.1.1b. | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 5 (7) sampling stasjons, sampling in intermediate and remote zones | Compliant | |
| | | b. For sediment samples taken within the AZE, determine abundance and taxonomic composition of macrofauna using an appropriate testing method. | Olex map and GPS coordinates<br>with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 5 (7) sampling stasjons, sampling in intermediate and remote zones. | Compliant | |

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| | **Requirement:** ≥ 2 highly abundant [6] taxa that are not pollution indicator species<br><br>**Applicability:** All farms except as noted in [1] | c. Identify all highly abundant taxa [6] and specify which ones (if any) are pollution indicator species. | Performed by Akvaplan Niva, report no. 8425.02 dt 12.12.16. Sampling 05.09.16<br>Number of macrofaunal taxa in the sediment (highly abundant taxa) that are not pollution indicator species= 1 (ST 1) and 3 (ST 4). The last MOM B sampling indicate however that the site quality has been reduced. This is therefore a borderline case, and will be followed up during next audit. Based on other findings we categorize this as an Minor NC until next MOM C sampling has been done, and since no fish will be harvested in the meantime. | Minor | Number of macrofaunal taxa in the sediment (highly abundant taxa) that are not pollution indicator species= 1 (ST 1) ie. less than 2 |
| | | d. Retain documentary evidence to show how taxa were identified and how counts were obtained. If samples were analyzed by an independent lab, obtain copies of results. | MOM-B/C as per national regulations (NS 9410) ASC adapted (ISO 16665 on faunal).<br>Independent laboratory performed the sampling and calculation of faunal index. | Compliant | |
| | | e. Submit counts of macrofaunal taxa to ASC (Appendix VI) at least once for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Others, please describe | | | |
| 2.1.4 | **Indicator:** Definition of a site-specific AZE based on a robust and credible [7] modeling system<br><br>**Requirement:** Yes, within three years of the publication [8] of the SAD standard (i.e. full compliance by June 13, 2015)<br><br>**Applicability:** All farms except as noted in [1] | a. Undertake an analysis to determine the site-specific AZE and depositional pattern before 3 years have passed since publication of the Standard on June 13, 2012. | Site-specific sampling regime (MOM-C hybrid - ASC adapted/NS9410. Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) survey developed and performed by Akvaplan Niva. | Compliant | |
| | | b. Maintain records to show how the analysis (in 2.1.4a) is robust and credible based on modeling using a multi-parameter approach [7]. | Site-specific sampling regime (MOM-C hybrid - ASC adapted/NS9410. Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) survey developed and performed by Akvaplan Niva. | Compliant | |

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| | noted in [1] | c. Maintain records to show that modeling results for the site-specific AZE have been verified with > 6 months of monitoring data. | Site-specific sampling regime (MOM-C hybrid - ASC adapted/NS9410. Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) survey developed and performed by Akvaplan Niva. | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 2.2 Water quality in and near the site of operation [12]* | | | | | |
| 2.2.1 | **Indicator**: Weekly average percent saturation [13] of dissolved oxygen (DO) [14] on farm, calculated following methodology in Appendix I-4<br><br>**Requirement:** ≥ 70% [15]<br><br>**Applicability:** All farms except as noted in [15] | 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. | Curves provided and approved in docs for whole prod. period. Autologed continuously with Realfish Aquagroup . Data log up to date week 43-2016 | Compliant | |
| | | b. Provide a written justification for any missed samples or deviations in sampling time. | No missed data | Compliant | |
| | | c. Calculate weekly average percent saturation based on data. | All daily calculations and weekly calculations show oxygen values above 70%. saturation until last 6 weeks. It is assumet that this is due to an error. The vet measured values above 70% | Compliant | |
| | | 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) | All above limit | Compliant | |
| | | e. Arrange for auditor to witness DO monitoring and calibration while on site. | Monitoring of oksygen and calibration routines verified on site. Good knowledge, instructions from equipment producer available.<br>Autocalibration. | Compliant | |
| | | f. Submit results from monitoring of average weekly DO as per Appendix VI to ASC at least once per year. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | g. Others, please describe | | | |
| 2.2.2 | **Indicator**: Maximum percentage of weekly samples from 2.2.1 that fall under 2 mg/liter DO<br>**Requirement:** 5%<br>**Applicability:** All | a. Calculate the percentage of on-farm samples taken for 2.2.1a that fall under 2 mg/l DO. | All above limits. | Compliant | |
| | | b. Submit results from 2.2.2a as per Appendix VI to ASC at least once per year. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | c. Others, please describe | | | |
| 2.2.3 | **Indicator**: For jurisdictions that | a. Inform the CAB whether relevant targets and classification systems are applicable in the jurisdiction. If applicable, proceed to "2.2.3.b". If not applicable, take action as required under 2.2.4 | EU Water Directive 2000 gives Water quality objectives for area Vargusndet/Store Lerresfjord. (ref. "vannportalen.no).<br>Finmark Fylkeskommune authority.<br>Alta muncipility") økologisk tilstand "god - veldig god" .<br>Ecological conditions good - very good<br>Report from vannportalen.no dt.07.02.17..<br>http://vann.nett.no/water | Compliant | |

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| | have national or regional coastal water quality targets [16], demonstration through third-party analysis that the farm is in an area recently [17] classified as having “good” or “very good” water quality [18]<br><br>**Requirement:** Yes [19]<br><br>**Applicability:** All farms except as noted in [19] | b. Compile a summary of relevant national or regional water quality targets and classifications, identifying the third-party responsible for the analysis and classification. | EU Water Directive 2000 gives Water quality objectives for area Vargusndet/Store Lerresfjord. (ref. "vannportalen.no). Finmark Fylkeskommune authority.<br>Alta muncipility") økologisk tilstand "god - veldig god" .<br>Ecological conditions good - very good<br>Report from vannportalen.no dt.07.02.17..<br>http://vann.nett.no/water | Compliant | |
| | | c. Identify the most recent classification of water quality for the area in which the farm operates. | EU Water Directive 2000 gives Water quality objectives for area Vargusndet/Store Lerresfjord. (ref. "vannportalen.no). Finmark Fylkeskommune authority.<br>Alta muncipility") økologisk tilstand "god - veldig god" .<br>Ecological conditions good - very good<br>Report from vannportalen.no dt.07.02.17..<br>http://vann.nett.no/water | Compliant | |
| | | d. Others, please describe | | | |
| 2.2.4 | **Indicator**: For jurisdictions without national or regional coastal water quality targets, evidence of weekly monitoring of nitrogen and phosphorous [20] levels on farm and at a reference site, following methodology in Appendix I-5<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms except as noted in [19] | a. Develop, implement, and document a weekly monitoring plan for N, NH4, NO3, total P, and ortho-P in compliance with Appendix I-5, testing a minimum of once weekly in both locations. For first audits, farm records must cover ≥ 6 months. | | N/A | Se 2.2.3<br>Covered by EU Water Directive 2000 gives Water quality objectives for region/area |
| | | b. Calibrate all equipment according to the manufacturer's recommendations. | | N/A | Se 2.2.3<br>Covered by EU Water Directive 2000 gives Water quality objectives for region/area |
| | | c. Submit data on N and P to ASC as per Appendix VI at least once per year. | | N/A | Se 2.2.3<br>Covered by EU Water Directive 2000 gives Water quality objectives for region/area |
| | | d. Others, please describe | | | |
| 2.2.5 | **Indicator**: Demonstration of calculation of biochemical oxygen demand (BOD [21]) of the farm on a production cycle basis<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Collect data throughout the course of the production cycle and calculate BOD according to formula in the instruction box. | Data for last complete production cylcle 15G: Biomass 1614 MT<br>Feed 1777 MT<br>BOD 442T O2<br>Calculations from GAPI. | Compliant | |
| | | b. Submit calculated BOD as per Appendix VI to ASC for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | c. Others, please describe | | | |
| *Criterion 2.3 Nutrient release from production* | | | | | |

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| 2.3.1 | **Indicator**: Percentage of fines [22] in the feed at point of entry to the farm [23] (calculated following methodology in Appendix I-2)<br><br>**Requirement:** < 1% by weight of the feed<br><br>**Applicability:** All farms except as noted in [23] | a. Determine and document a schedule and location for quarterly testing of feed. If testing prior to delivery to farm site, document rationale behind not testing on site. | Percentage of fines according to requirements.<br>Registrations and calculations ranging from 0,06 to 0,12 % in periode desember 2015 - July 2016. Monthly testing according to internal QMS procedure "prosedyre fôrmottak og lagring". | Compliant | |
| | | b. If using a sieving machine, calibrate equipment according to manufacturer's recommendations. | Appropriate testing technology as per ASC. Defined in procedure fôrmottakk og lagring. | Compliant | |
| | | c. Conduct test according to detailed methodology in Appendix I-2 and record results for the pooled sample for each quarter. For first audits, farms must have test results from the last 3 months. | Percentage of fines according to requirements.<br>Registrations and calculations ranging from 0,06 to 0,12 % in periode desember 2015 - July 2016. Monthly testing according to internal QMS procedure "prosedyre fôrmottak og lagring". | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 2.4 Interaction with critical or sensitive habitats and species* | | | | | |
| 2.4.1 | | a. Perform (or contract to have performed) a documented assessment of the farm's potential impact on biodiversity and nearby ecosystems. The assessment must address all components outlined in Appendix I-3. | Impacts consequence assement performed according to Appendix I-3. Also "plan for miljø og biodiversitetsledelse".<br>Cermaq Group AS annual corportae level environmental and sustainability report 2015.<br>Internal impacts consequence assement performed using data from reaserch institutes and reports also considered in local impact from site/company performed for january 2016."<br>Marginal impacts only. Ref also license permit and assessment as part of the regulatory permitting process.<br>Site has Risk Assessment for environmental impact with developed actions for potential environmental and biodiversity risks from site.<br>Also MOM-B and MOM-C according to requirements in national legislation. | Compliant | |

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| | **Indicator**: Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I-3<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. If the assessment (2.4.1a) identifies potential impact(s) of the farm on biodiversity or nearby critical, sensitive or protected habitats or species, prepare plan to address those potential impacts. | Impacts consequence assement performed according to Appendix I-3. Also "plan for miljø og biodiversitetsledelse". Cermaq Group AS annual corportae level environmental and sustainability report 2014.<br>Internal impacts consequence assement performed using data from reaserch institutes and reports also considered in local impact from site/company performed for january 2016."<br>Marginal impacts only. Ref also license permit and assessment as part of the regulatory permitting process.<br>Site has Risk Assessment for environmental impact with developed actions for potential environmental and biodiversity risks from site.<br>Also MOM-B and MOM-C according to requirements in national legislation. | Compliant | |
| | | c. Keep records to show how the farm implements plan(s) from 2.4.1b to minimize potential impacts to critical or sensitive habitats and species. | Impacts consequence assement performed according to Appendix I-3. Also "plan for miljø og biodiversitetsledelse". Cermaq Group AS annual corportae level environmental and sustainability report 2015.<br>Internal impacts consequence assement performed using data from reaserch institutes and reports also considered in local impact from site/company performed for january 2016."<br>Marginal impacts only. Ref also license permit and assessment as part of the regulatory permitting process.<br>Site has Risk Assessment for environmental impact with developed actions for potential environmental and biodiversity risks from site. Updated 30.11.2016<br>Also MOM-B and MOM-C according to requirements in national legislation. | Compliant | |
| | | d. Others, please describe | | | |
| 2.4.2 | **Indicator**: Allowance for the farm to be sited in a protected area [24] or High Conservation | a. Provide a map showing the location of the farm relative to nearby protected areas or High Conservation Value Areas (HCVAs) as defined above (see also 1.1.1a). | Fiskeridirektoratet.no map and DN Naturbase map with all known protected areas defined. - site is not in conflict with protected areas - HCVAs or CAs. Also considered in Impacts consequence assement performed according to Appendix I-3. | Compliant | |
| | | b. If the farm is <u>not</u> sited in a protected area or High Conservation Value Area as defined above, prepare a declaration attesting to this fact. In this case, the requirements of 2.4.2c-d do not apply. | Statement Cermaq Norway AS dt 08.12.15 on not operating in HCVAs. Cermaq Group AS annual corporate level environmental and sustainability report 2014 also refers to policy and approach for HCVA. | Compliant | |

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| | Value Areas [25] (HCVAs)<br><br>**Requirement:** None [26]<br><br>**Applicability:** All farms except as noted in [26] | c. If the farm is sited in a protected area or HCVA, review the scope of applicability of Indicator 2.4.2 (see Instructions above) to determine if your farm is allowed an exception to the requirements. If yes, inform the CAB which exception (#1, #2, or #3) is allowed and provide supporting evidence. | | NA | Not within HCVAs |
| | | d. If the farm is sited in a protected area or HCVA and the exceptions provided for Indicator 2.4.2 do not apply, then the farm does not comply with the requirement and is ineligible for ASC certification. | | NA | Not within HCVAs |
| | | e. Others, please describe | | | |
| *Criterion 2.5 Interaction with wildlife, including predators [27]* | | | | | |
| 2.5.1 | **Indicator**: Number of days in the production cycle when acoustic deterrent devices (ADDs) or acoustic harassment devices (AHDs) were used<br>**Requirement:** 0, within three years of the date of publication [28] of the SAD standard (i.e. full compliance by June 13, 2015)<br>**Applicability:** All | a. Prepare a written statement affirming that the farm's management is committed to eliminate all usage of acoustic deterrent devices (ADDs) or acoustic harassment devices (AHDs) by June 13, 2015. | | NA | No ADDs/AHDs in use nor has been used. Ref statment 02.09.15 on deviced not used. |
| | | b. Compile documentary evidence to show that no ADDs or AHDs were used by the farm after June 13, 2015 (applicable only after the specified date). | | NA | No ADDs/AHDs in use nor has been used |
| | | | | NA | Verified not in use |
| | | d. Others, please describe | | | |
| 2.5.2 | **Indicator**: Prior to the achievement of 2.5.1, if ADDs or AHDs are used, maximum percentage of days [29] in the production cycle that the devices are operational<br><br>**Requirement:** ≤ 40%<br><br>**Applicability:** All, until June 13, 2015 | a. Maintain a log for the use of any ADDs or AHDs on farm that includes recording the number of days (24-hour cycles) during which the devices were used. | | NA | No ADDs/AHDs in use nor has been used. Ref statment 02.09.15 on deviced not used. |
| | | b. Calculate the percentage of days in the production cycle that the devices were operational in the most recent complete production cycle. | | NA | No ADDs/AHDs in use nor has been used |
| | | - | | NA | Verified not in use |
| | | d. Submit data on number of days that ADDs/AHDs were used to the ASC as per Appendix VI. Data must be sent to ASC on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | e. Others, please describe | | | |
| 2.5.3 | | a. Prepare a list of all predator control devices and their locations. | Birdnets located above the net cages are only predator control devices used. | Compliant | |

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| | **Indicator**: Number of mortalities [30] of endangered or red-listed [31] marine mammals or birds on the farm<br><br>**Requirement:** 0 (zero)<br><br>**Applicability:** All | b. Maintain a record of all predator incidents. | 2 seagull and 1 Alcideae entanglement incidents in bird net. | Compliant | |
| | | c. Maintain a record of all mortalities of marine mammals and birds on the farm identifying the species, date, and apparent cause of death. | Records verified on site | Compliant | |
| | | d. Maintain an up-to-date list of endangered or red-listed marine mammals and birds in the area (see 2.4.1) | Red list of endangered or red-listed marine mammals and birds in the area from "Norsk Rødliste for arter-2015" - fra Artsdatabanken". | Compliant | |
| | | - | No mortalities; Red list of endangered or red-listed marine mammals and birds in the area registered on site. | Compliant | |
| | | f. Others, please describe | | | |
| 2.5.4 | **Indicator**: Evidence that the following steps were taken prior to lethal action [32] against a predator:<br>1. All other avenues were pursued prior to using lethal action<br>2. Approval was given from a senior manager above the farm manager<br>3. Explicit permission was granted to take lethal action against the specific animal from the relevant regulatory authority<br>**Requirement:** Yes [33]<br>**Applicability:** All except cases where human safety is endangered as noted in [33] | a. Provide a list of all lethal actions that the farm took against predators during the previous 12-month period. Note: "lethal action" is an action taken to deliberately kill an animal, including marine mammals and birds. | List of 07.02.17 for cycle show no incidents. Results published in corporate website www.cermaq.com/bærekraft/<br>ASC | Compliant | |
| | | b. For each lethal action identified in 2.5.4a, keep record of the following:<br>1) a rationale showing how the farm pursued all other reasonable avenues prior to using lethal action;<br>2) approval from a senior manager above the farm manager of the lethal action;<br>3) where applicable, explicit permission was granted by the relevant regulatory authority to take lethal action against the animal. | | NA | Ref to internal procedure in QMS "Samspill med dyr og fugler"on pratices for emergency killing of predators. |
| | | c. Provide documentary evidence that steps 1-3 above (in 2.5.4b) were taken prior to killing the animal. If human safety was endangered and urgent action necessary, provide documentary evidence as outlined in [33]. | | NA | List of 07.02.17 for cycle show no incidents. Results published in corporate website www.cermaq.com/bærekraft/<br>ASC |
| | | d. Others, please describe | | | |
| 2.5.5 | **Indicator**: Evidence that information about any lethal incidents [35] on the farm has been made easily publicly available [34]<br>**Requirement:** Yes<br>**Applicability:** All | a. For all lethal actions (see 2.5.4), keep records showing that the farm made the information available within 30 days of occurrence. | List of 07.02.17.<br>2 seagull and 1 Alcideae entaglement in bird net.<br>Registered in internal log/QMS. | Compliant | |
| | | b. Ensure that information about all lethal actions listed in 2.5.5a are made easily publicly available (e.g. on a website). | List of 07.02.17.<br>2 seagull and 1 Alcideae entaglement in bird net.<br>Registered in internal log/QMS. No lethal actions | Compliant | |
| | | c. Others, please describe | System implemented to make information easily publicly available if any lethal incidents occurs on birds or marine mammals at the site. Results published in corporate website www.cermaq.com/bærekraft/ASC | Compliant | |

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| 2.5.6 | **Indicator**: Maximum number of lethal incidents [35] on the farm over the prior two years<br><br>**Requirement:** < 9 lethal incidents [36], with no more than two of the incidents being marine mammals<br><br>**Applicability:** All | a. Maintain log of lethal incidents (see 2.5.4a) for a minimum of two years. For first audit, > 6 months of data are required. | List of 07.02.17<br>2 seagull and 1 Alcideae entaglement in bird net.<br>Registered in internal log/QMS.<br>Results published in corporate website www.cermaq.com/bærekraft/ASC | Compliant | |
| | | b. Calculate the total number of lethal incidents and the number of incidents involving marine mammals during the previous two year period. | List of 07.02.17.<br>2 seagull and 1 Alcideae entaglement in bird net.<br>Registered in internal log/QMS. | Compliant | |
| | | c. Send ASC the farm's data for all lethal incidents [35] of any species other than the salmon being farmed (e.g. lethal incidents involving predators such as birds or marine mammals). Data must be sent to ASC on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | d. Others, please describe | | | |
| 2.5.7 | **Indicator**: In the event of a lethal incident, evidence that an assessment of the risk of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences<br>**Requirement:** Yes<br>**Applicability:** All | a. Keep records showing that the farm undertakes an assessment of risk following each lethal incident and how those risk assessments are used to identify concrete steps the farm takes to reduce the risk of future incidents. | Risk assessment and Ref to internal procedure "samspill med dyr og fugler"on pratices for emergency killing of predators. Procedures implemented at site. Good awareness. | Compliant | |
| | | b. Provide documentary evidence that the farm implements those steps identified in 2.5.7a to reduce the risk of future lethal incidents. | Risk assessment and Ref to internal procedure "samspill med dyr og fugler"on pratices for emergency killing of predators. Procedures implemented at site. Good awareness. | Compliant | |
| | | c. Others, please describe | | | |
| **PRINCIPLE 3: PROTECT THE HEALTH AND GENETIC INTEGRITY OF WILD POPULATIONS** | | | | | |
| *Criterion 3.1 Introduced or amplified parasites and pathogens [38,39]* | | | | | |
| 3.1.1 | | a. Keep record of farm's participation in an ABM scheme. | ABM a requirement in national legislation. Records and overview over ABM and ref to "Samordnet plan for kontroll og bekjempelse av lakselus" dt. 30.09.16 in zones defined by NFSA and companys in ABM. ABM for Finmark 100 % of seafarms in area participaiting in the ABM (Cermaq, Grieg Seafood, Salmar, NRS, Lerøy Aurora). ABM leaded by veterinary service Fishguard.<br>Weekly updates to AltInn, where info is available for all farms in zone. Also regular meetings between participants where ABM issues are discussed 100% of farms included. Routines and procedures for notification included in ABM related to treatments and diseases according to legislation from NFSA. | Compliant | |

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| | **Indicator**: Participation in an Area-Based Management (ABM) scheme for managing disease and resistance to treatments that includes coordination of stocking, fallowing, therapeutic treatments and information-sharing. Detailed requirements are in Appendix II-1.<br><br>**Requirement:** Yes<br><br>**Applicability:** All except farms that release no water as noted in [38] | b. Submit to the CAB a description of how the ABM (3.1.1a) coordinates management of disease and resistance to treatments, including:<br>- coordination of stocking;<br>- fallowing;<br>- therapeutic treatments; and<br>- information sharing. | ABM a requirement in national legislation. Records and overview over ABM and ref to "Samordnet plan for kontroll og bekjempelse av lakselus" dt. 30.09.16 in zones defined by NFSA and companys in ABM. ABM for Finmark 100 % of seafarms in area participaiting in the ABM (Cermaq, Grieg Seafood, Salmar, NRS, Lerøy Aurora). ABM leaded by veterinary service Fishguard.<br>Weekly updates to AltInn, where info is available for all farms in zone. Also regular meetings between participants where ABM issues are discussed 100% of farms included. Routines and procedures for notification included in ABM related to treatments and diseases according to legislation from NFSA. | Compliant | |
| | | c. Provide the CAB access to documentation which is sufficient for the auditor to evaluate the ABM's compliance with all requirements in Appendix II-1, including definition of area, minimum % participation in the scheme, components, and coordination requirements. | ABM a requirement in national legislation. Records and overview over ABM and ref to "Samordnet plan for kontroll og bekjempelse av lakselus" dt. 30.09.16 in zones defined by NFSA and companys in ABM. ABM for Finmark 100 % of seafarms in area participaiting in the ABM (Cermaq, Grieg Seafood, Salmar, NRS, Lerøy Aurora). ABM leaded by veterinary service Fishguard.<br>Weekly updates to AltInn, where info is available for all farms in zone. Also regular meetings between participants where ABM issues are discussed 100% of farms included. Routines and procedures for notification included in ABM related to treatments and diseases according to legislation from NFSA. | Compliant | |
| | | d. Submit dates of fallowing period(s) as per Appendix VI to ASC at least once per year. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | e. Others, please describe | | | |

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| 3.1.2 | **Indicator**: A demonstrated commitment [40] to collaborate with NGOs, academics and governments on areas of mutually agreed research to measure possible impacts on wild stocks<br><br>**Requirement:** Yes<br><br>**Applicability:** All except farms that release no water as noted in [38] | 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. | Commitment documented thrue Cermaq ASs participations in several projects with NGOs, academics and governments:<br>1. Varpa project - Ruseprosjektet 2016, with Norwegian Authorites.<br>2. AquaDome, semiclosed seacage research project, with NOFIMA and UIN.<br>3.Cooperation with HI,Akvaplan Niva, modelling of sea lice and desice pattern.<br>4.Sinmod.<br>5. Econet project at Anevik.<br>6.Calanus luseskjørt method testing.<br>7.GSI member.<br>8.ASRC project with Ewos inovation.<br>9.Skjellprøveprosjektet. Repafjordelva og Altaelva Monitoringprogram with NINA, ALI and VFJF.<br>10. Modelling of lice infections, AkvaplanNIVA | Compliant | |
| | | b. Provide non-financial support to research activities in 3.1.2a by either:<br>- providing researchers with access to farm-level data;<br>- granting researchers direct access to farm sites; or<br>- facilitating research activities in some equivalent way. | For all projects described in 3.1.2.a company has provided non-financial support for research activities. In some of them financial support is also given. | Compliant | |
| | | 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. | Evaluated by technical team. Denied projects not known by staff in audit. | Compliant | |
| | | d. Maintain records from research collaborations (e.g. communications with researchers) to show that the farm has supported the research activities identified in 3.1.2a. | E.g.documents available in projectreport NINA nr. 1213 Monitoring Altaelva og Repparfjordelva 2015. e.g communication and electronic project folders e.g. projectmail for AquaDom to NOFIMA dt.11.11.14 and aggrements as described in 3.1.2.a | Compliant | |
| | | e. Others, please describe | | | |

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| 3.1.3 | | a. Keep records to show that a maximum sea lice load has been set for:<br>- the entire ABM; and<br>- the individual farm. | NFSA set limits and govermental treatment regime for ABM, reported via AltInn. In "Lusedata.no" with lice levels, treatment etc. published in this public web-site. Fishguard AS administates subregion Finmark Continous review by NFSA and Luse -nettverket weekly review.<br>Also internal procedures in QMS DK System for å hindre overskridelse av lusegrensen e.g."prosedyre for samordnet kontroll og bekjempelse av lakselus", prosedyre for lusetelling.<br>Registered on farm in fishtalk.<br>Records confirm compliance. | Compliant | |
| | **Indicator**: Establishment and annual review of a maximum sea lice load for the entire ABM and for the individual farm as outlined in Appendix II-2<br><br>**Requirement:** Yes<br><br>**Applicability:** All except farms that release no water as noted in [38] | b. Maintain evidence that the established maximum sea lice load (3.1.3a) is reviewed annually as outlined in Appendix II-2, incorporating feedback from the monitoring of wild salmon where applicable (See 3.1.6). | NFSA set limits and govermental treatment regime for ABM, reported via AltInn. Continous review by NFSA and Luse - nettverket weekly review. Updated report for 2016 with details. No monitoring of wild salmon allowed, govermental monitoring of wild salmon incorporated. | Compliant | |
| | | c. Provide the CAB access to documentation which is sufficient for the auditor to evaluate whether the ABM has set (3.1.3a) and annually reviewed (3.1.3.b) maximum sea lice load in compliance with requirements in Appendix II-2. | NFSA set limits and govermental treatment regime for ABM, reported via AltInn. Continous review by NFSA and Luse - nettverket (ABM) weekly review. Sensitive periods for wild salmon migtration condisedered and monitoring intensified. | Compliant | |
| | | d. Submit the maximum sea lice load for the ABM to ASC as per Appendix VI at least once per year. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | e. Others, please describe | | | |
| 3.1.4 | | a. Prepare an annual schedule for testing sea lice that identifies timeframes of routine testing frequency (at a minimum, monthly) and for high-frequency testing (weekly) due to sensitive periods for wild salmonids (e.g. during and immediately prior to outmigration of juveniles). | "Luseforskriften" dt. 01.01.13, defined treatments period 26.04 to 01.06. for area before sensitive periods.<br>Sensitive periods in area for wild salmon migtration considered and defined to<br>13.06 - 24.07 in "prosedyre for samordnet kontroll og bekjempelse av lakselus"(19.06.16) and monitoring of sea lice intensified during period. | Compliant | |

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| | **Indicator**: Frequent [41] on-farm testing for sea lice, with test results made easily publicly available [42] within seven days of testing<br><br>**Requirement:** Yes<br><br>**Applicability:** All except farms that release no water as noted in [38] | b. Maintain records of results of on-farm testing for sea lice. If farm deviates from schedule due to weather [41] maintain documentation of event and rationale. | Sea lice load testing reported to AltInn/NFSA weekly. No deviations registered. (exemption for periods with temperatues below 04 degrees C - testing period 2 weeks). | Compliant | |
| | | c. Document the methodology used for testing sea lice ('testing' includes both counting and identifying sea lice). 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 sea lice. 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. | Weekly testing from NSFA predetermined cages, according NFSA regulation. Sealice numbers and lifestage identified and recorded. Min 20 fish /cage 50 -100 % of cages weekly. Procedure for lusetelling in QMS . | Compliant | |
| | | d. Make the testing results from 3.1.4b 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. | To Altinn and directly to "Lusenettverket". NFSA publishes in public reports when data is processed.<br>System implemented to make sea lice information easily publicly available also if any lethal incidents occurs on birds or marine mammals at the site.<br>Results published in corporte web-site www.cermaq.com/bærekraft/ASC<br>Testing results from 27.09.2016 for week 39 published on website. . | Compliant | |
| | | e. Keep records of when and where test results were made public. | To Altinn and directly to "Lusenettverket". NFSA publishes in public reports when data is processed.<br>System implemented to make sea lice information easily publicly available also if any lethal incidents occurs on birds or marine mammals at the site.<br>Results published in corporte web-site www.cermaq.com/bærekraft/ASC<br>Testing results from 27.09.2016 for week 39 published on website. . | Compliant | |
| | | f. Submit test results to ASC (Appendix VI) at least once per year. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | g. Others, please describe | | | |
| 3.1.5 | **Indicator**: In areas with wild salmonids [43], evidence of data | a. Identify all salmonid species that naturally occur within 75 km of the farm through literature search or by consulting with a reputable authority. If the farm is not in an area with wild salmonids, then 3.1.5b and c do not apply. | *S. salar* naturally occurring in area. | Compliant | |

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| | salmonids [43], evidence of data [44] and the farm's understanding of that data, around salmonid migration routes, migration timing and stock productivity in major waterways within 50 kilometers of the farm<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms operating in areas with wild salmonids except farms that release no water as noted in [38] | b. For species listed in 3.1.5a, compile best available information on migration routes, migration timing (range of months for juvenile outmigration and returning salmon), life history timing for coastal resident salmonids, and stock productivity over time in major waterways within 50 km of the farm. | Migratory routes as defined in web site "environmental statistics"( miljøstatatus.no) on salmonid carrying rivers, and Lakseregisteret from Miljødirektoratt. Also map from DN with rivers identified. | Compliant | |
| | | c. From data in 3.1.5b, identify any sensitive periods for wild salmonids (e.g. periods of outmigration of juveniles) within 50 km of the farm. | Intensified sealice monitoring period .Sensitive periods in area for wild salmon migtration considered and defined to 13.06 - 24.07 | Compliant | |
| | | - | Sufficient awarness and also participation in related scientific projects by Cermaq staff | Compliant | |
| | | e. Others, please describe | | | |
| 3.1.6 | **Indicator**: In areas of wild salmonids, monitoring of sea lice levels on wild out-migrating salmon juveniles or on coastal sea trout or Artic char, with results made publicly available. See requirements in Appendix III-1.<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms operating in areas with wild salmonids except farms that release no water as noted in [38] | a. Inform the CAB if the farm operates in an area of wild salmonids. If not, then Indicator 3.1.6 does not apply. | *S. salar* naturally occurring in area. | Compliant | |
| | | b. Keep records to show the farm participates in monitoring of sea lice on wild salmonids. | Private initiatives interfering with wild stock is prohibited by law. Governmental monitoring and reporting | Compliant | |
| | | c. Provide the CAB access to documentation which is sufficient for the auditor to evaluate whether the methodology used for monitoring of sea lice on wild salmonids is in compliance with the requirements in Appendix III-1. | Havforskingsinstituttet report 2016 Risk Assessment for Norway, fish farming report 2016, where sealice issues are covered. IMR report on wild stock sealice sitaution "lakselusinfeksjon på vill laksefisk lanngs norskekysten i 2016. and IMR/vet Institute report on measuring environmental effects on wild salmon, | Compliant | |
| | | d. Make the results from 3.1.6b easily publicly available (e.g. posted to the company's website) within eight weeks of completion of monitoring. | Report publishe and generally available. Govermental reports publicly available | Compliant | |
| | | e. Submit to ASC the results from monitoring of sea lice levels on wild salmonids as per Appendix VI. | Private initiatives interfering with wild stock is prohibited by law. Public reports regarding this issue is easily publicly available. | Compliant | |
| | | f. Others, please describe | | | |
| 3.1.7 | | a. Inform the CAB if the farm operates in an area of wild salmonids. If not, then Indicator 3.1.7 does not apply. | *S. salar* naturally occurring in area. | Compliant | |

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| | **Indicator**: In areas of wild salmonids, maximum on-farm lice levels during sensitive periods for wild fish [45]. See detailed requirements in Appendix II, subsection 2.<br><br>**Requirement:** 0.1 mature female lice per farmed fish<br><br>**Applicability:** All farms operating in areas with wild salmonids except farms that release no water as noted in [38] | b. Establish the sensitive periods [45] of wild salmonids in the area where the farm operates. Sensitive periods for migrating salmonids is during juvenile outmigration and approximately one month before. | Migratory routes as defined in web site "environmental statistics"( miljøstatatus.no) on salmonid carrying rivers, and Lakseregisteret from Miljødirektoratt. Also map from DN with rivers identified.<br>Sensitive periods in area for wild salmon migtration considered and defined to 13.06 - 24.07 | Compliant | |
| | | c. Maintain detailed records of monitoring on-farm lice levels (see 3.1.4) during sensitive periods as per Appendix II-2. | Records of weekly testing for sealice in Sensitive periods for migration defined from 13.06 - 24.07 for area. 2016 shows results of 0,00 - 0,06 mature females per salmon. Result is compliant to ASC requirement of <0,1 mature females per salmon. | Compliant | |
| | | d. Provide the CAB with evidence there is a 'feedback loop' between the targets for on-farm lice levels and the results of monitoring of lice levels on wild salmonids (Appendix II-2). | | NA | Continous wild fish sealice monitoring not possible, as describe above in conclict with national legislation. Monitoring done by govermental research instituttes. Direct feedback loop hence impossible to obtain. |
| | | e. Others, please describe | | | |
| *Criterion 3.2 Introduction of non-native species* | | | | | |
| 3.2.1 | **Indicator**: If a non-native species is being produced, demonstration that the species was widely commercially produced in the area by the date of publication of the SAD standard<br><br>**Requirement:** Yes [47]<br><br>**Applicability:** All farms except as noted in [47] | a. Inform the CAB if the farm produces a non-native species. If not, then Indicator 3.2.1 does not apply. | | NA | *S. salar* native to region |
| | | b. Provide documentary evidence that the non-native species was widely commercially produced in the area before publication of the SAD Standard (i.e. before June 13, 2013) | | NA | *S. salar* native to region |
| | | c. If the farm cannot provide evidence for 3.2.1b, provide documentary evidence that the farm uses only 100% sterile fish that includes details on accuracy of sterility effectiveness. | | NA | *S. salar* native to region |
| | | d. If the farm cannot provide evidence for 3.2.1b or 3.2.1c, provide documented evidence that the production system is closed to the natural environment and for each of the following:<br>1) non-native species are separated from wild fish by effective physical barriers that are in place and well maintained;<br>2) barriers ensure there are no escapes of reared fish specimens that might survive and subsequently reproduce [47]; and<br>3) barriers ensure there are no escapes of biological material [47] that might survive and subsequently reproduce (e.g. UV or other effective treatment of any effluent water exiting the system to the natural environment) | | NA | *S. salar* native to region |
| | | - | | NA | *S. salar* native to region |
| | | f. Others, please describe | | | |

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| 3.2.2 | **Indicator**: If a non-native species is being produced, evidence of scientific research [48] completed within the past five years that investigates the risk of establishment of the species within the farm's jurisdiction and these results submitted to ASC for review [49]<br>**Requirement:** Yes, within five years of publication of the SAD standard [50,51]<br>**Applicability:** All | a. Inform the ASC of the species in production (Appendix VI). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | b. Inform the CAB if the farm produces a non-native species. If not, then Indicator 3.2.2 does not apply. | | NA | *S. salar* native to region |
| | | c. If yes to 3.2.2b, provide evidence of scientific research completed within the past five years that investigates the risk of establishment of the species within the farm's jurisdiction. Alternatively, the farm may request an exemption to 3.2.2c (see below). | | NA | *S. salar* native to region |
| | | d. If applicable, submit to the CAB a request for exemption that shows how the farm meets all three conditions specified in instruction box above. | | NA | *S. salar* native to region |
| | | e. Submit evidence from 3.2.2c to ASC for review. | | NA | *S. salar* native to region |
| | | f. Others, please describe | | | |
| 3.2.3 | **Indicator**: Use of non-native species for sea lice control for on-farm management purposes<br>**Requirement:** None<br>**Applicability:** All | a. Inform the CAB if the farm uses fish (e.g. cleaner fish or wrasse) for the control of sea lice. | | NA | No cleaning fish used |
| | | b. Maintain records (e.g. invoices) to show the species name and origin of all fish used by the farm for purposes of sea lice control. | | NA | No cleaning fish used |
| | | c. Collect documentary evidence or first hand accounts as evidence that the species used is not non-native to the region. | | NA | No cleaning fish used |
| | | d. Others, please describe | | | |
| *Criterion 3.3 Introduction of transgenic species* | | | | | |
| 3.3.1 | **Indicator**: Use of transgenic [53] salmon by the farm<br>**Requirement:** None<br>**Applicability:** All | a. Prepare a declaration stating that the farm does not use transgenic salmon. | Statement 2015/2016, from genetics provider SalmoBrred breeding stock, stating that only conventional breeding and genetics are applied. Cermaq policies on GMO available in corporate environmental report 2014. New statments for 2017 | Compliant | |
| | | b. Maintain records for the origin of all cultured stocks including the supplier name, address and contact person(s) for stock purchases. | Statement 2015/2016, from genetics provider SalmoBrred breeding stock, stating that only conventional breeding and genetics are applied. Cermaq policies on GMO available in corporate environmental report 2014. New statments for 2017 | Compliant | |

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| | | c. Ensure purchase documents confirm that the culture stock is not transgenic. | Statement 2015/2016, from genetics provider SalmoBrred breeding stock, stating that only conventional breeding and genetics are applied. Cermaq policies on GMO available in corporate environmental report 2014. New statments for 2017 | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 3.4 Escapes [55]* | | | | | |
| 3.4.1 | **Indicator**: Maximum number of escapees [56] in the most recent production cycle<br><br>**Requirement:** 300 [57]<br><br>**Applicability:** All farms except as noted in [57] | a. Maintain monitoring records of all incidences of confirmed or suspected escapes, specifying date, cause, and estimated number of escapees. | No escapes registered for the last three prodcution cycles. Documented in production and recording system Fishtalk with reports. Environmental company/site reports for 2015 states 0 escapes.<br>Fisheries directorate reports to d.d. (www. Fishdir.no) shows no escapes from site.<br>Cross-checked and verified with the estimate of unexplained loss, maintenance records for nets, site infrastucture certificate according to NYTEK/NS9415. (Certificate APN-095 by Akvaplan Niva expiry date 08.11.18). | Compliant | |
| | | b. Aggregate cumulative escapes in the most recent production cycle. | No escapes registered for the last three prodcution cycles. Documented in production and recording system Fishtalk with reports. Environmental company/site reports for 2015 states 0 escapes. | Compliant | |
| | | c. Maintain the monitoring records described in 3.4.1a for at least 10 years beginning with the production cycle for which farm is first applying for certification (necessary for farms to be eligible to apply for the exception noted in [57]). | Documented in production and recording system Fishtalk with reports. Environmental company/site reports for 2015 states 0 escapes.<br>Documents are and will be available for at least 10 years. | Compliant | |
| | | d. If an escape episode occurs (i.e. an incident where > 300 fish escaped), the farm may request a rare exception to the Standard [57]. Requests must provide a full account of the episode and must document how the farm could not have predicted the events that caused the escape episode | Fisheries directorate reports to d.d. (www. Fishdir.no) shows no escapes from site. | Compliant | |
| | | e. Submit escape monitoring dataset to ASC as per Appendix VI on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Others, please describe | | | |

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| 3.4.2 | **Indicator**: Accuracy [58] of the counting technology or counting method used for calculating stocking and harvest numbers<br><br>**Requirement:** ≥ 98%<br><br>**Applicability:** All | a. Maintain records of accuracy of the counting technology used by the farm at times of stocking and harvest. Records include copies of spec sheets for counting machines and common estimates of error for hand-counts. | Counting performed at FW site, vaccination numbers used for stocking number at sea net cage, manually or Wing Tech Fishcounter 777 Smolt and WingTech Fishcounter 1200/2000 finale check at stocking with well boat. Final accurate numbers at harvest plant where individual fish is handled and regsitered. Statement from Wing Tech of 98-100% accuracy. | Compliant | |
| | | b. If counting takes place off site (e.g. pre-smolt vaccination count), obtain and maintain documents from the supplier showing the accuracy of the counting method used (as above). | Vaccination numbers in FW used as accurate number stocked.<br>nternal smolt provider External smolt provider Aquascan, statement of 98-100% accuracy.<br>Wing Tech Fishcounter 777 Smolt and WingTech Fishcounter 1200/2000. Statement from Wing Tech of 98-100% accuracy. | Compliant | |
| | | c. During audits, arrange for the auditor to witness calibration of counting machines (if used by the farm). | Live fish carrier procedure/manual on scanner calibration available for equipment used Aquascan and WingTech according to requirements when stocking and any grading spiltting/counting operations are performed by wellboat on site.<br>Continous checking during operations.<br>Equipment used according to requirements from producer when stocking and any grading spiltting/counting operations are performed by weelboat on site. Manuals and instructions for equipment at weelboat and FW site | Compliant | |
| | | - | Last secure point of counting in vaccination in FW site. Statement from WingTech and Aquascan of 98-100% accuracy.<br>In SW/grading/ splitting operation, counting from Live Fish Carrier to holding cage and individual counts at point of harvest. | Compliant | |
| | | e. Submit counting technology accuracy to ASC as per Appendix VI on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Others, please describe | | | |
| 3.4.3 | **Indicator**: Estimated | a. Maintain detailed records for mortalities, stocking count, harvest count, and escapes (as per 3.4.1). | Spesific site reports and records documented and available in production and recording system Fishtalk | Compliant | |
| | | b. Calculate the estimated unexplained loss 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 EUL after harvest of the current cycle. | EUL Value last complete production cyclus<br>2015G: +1,02% | Compliant | |

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| | **Indicator**: Estimated unexplained loss [59] of farmed salmon is made publicly available<br><br>**Requirement:** Yes<br><br>**Applicability:** All | c. Make the results from 3.4.3b available publicly. Keep records of when and where results were made public (e.g. date posted to a company website) for all production cycles. | System implemented to make EUL value information easily publicaly available on corporate webpage www.cermaq.com | Compliant | |
| | | d. Submit estimated unexplained loss to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | - | | Compliant | |
| | | f. Others, please describe | | | |
| 3.4.4 | | a. Prepare an Escape Prevention Plan and submit it to the CAB before the first audit. This plan may be part of a more comprehensive farm planning document as long as it addresses all required elements of Indicator 3.4.4. | Documented in QMS and site spesific and central Risk Assessment included escape prevention section contingeny plan. Internal procedure with contingeny plan. and operations with risk of escapes. Nets idividually tagged. Nets registered in "Servicelog infor EAM" Equipment." demonstrated with stretch tests and certificates available for nets used at site. External training courses in escape prevention for all site staff. Escape prevention plan with details of actions and steps to be taken to alert if incident occurs posted on site. Good awarness at interview. | Compliant | |

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| | **Indicator**: Evidence of escape prevention planning and related employee training, including: net strength testing; appropriate net mesh size; net traceability; system robustness; predator management; record keeping and reporting of risk events (e.g., holes, infrastructure issues, handling errors, reporting and follow up of escape events); and worker training on escape prevention and counting technologies<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. If the farm operates an open (net pen) system, ensure the plan (3.4.4a) covers the following areas:<br>- net strength testing;<br>- appropriate net mesh size;<br>- net traceability;<br>- system robustness;<br>- predator management;<br>- record keeping;<br>- reporting risk events (e.g. holes, infrastructure issues, handling errors);<br>- planning of staff training to cover all of the above areas; and<br>- planning of staff training on escape prevention and counting technologies. | The Escape Prevention Plan and accompanying documents covers the following areas:<br>- net strength testing;<br>- appropriate net mesh size;<br>- net traceability;<br>- system robustness;<br>- predator management;<br>- record keeping;<br>- reporting risk events (e.g. holes, infrastructure issues, handling errors);<br>- planning of staff training to cover all of the above areas;<br>- planning of staff training on escape prevention and counting technologies.<br>Diving inspection after all net operations.<br>Nets registered in "Mørenot log."with certificates and services available for nets used at site.<br>Norwegian standard NS9415. (Certificate APN-095 by Akvaplan Niva expiry date 08.11.18). | Compliant | |
| | | c. If the farm operates a closed system, ensure the plan (3.4.4a) covers the following areas:<br>- system robustness;<br>- predator management;<br>- record keeping;<br>- reporting risk events (e.g. holes, infrastructure issues, handling errors);<br>- planning of staff training to cover all of the above areas; and<br>- planning of staff training on escape prevention and counting technologies. | Open system | Compliant | |
| | | d. Maintain records as specified in the plan. | Procedures established and implemented. Records in site logs on routine checks and training activities in competency matrix. Production parameters recorded in Fishtalk."Servicelog infor EAM" for records and documentation of nets, e.g net certified in seacage nr.1, net produced 7/2008 not.id NSAS 008/899 produced by Helnessund Bøtteri, last service 05.05.2015. Net valid and certified until 05.05.2017. Recertified and valid until 19.08.18<br>Site structure and construction components certified according to NS9415.<br>All structures NYTEK certified Norwegian standard NS9415. (Certificate APN-095 by Akvaplan Niva expiry date 08.11.18). | Compliant | |
| | | e. Train staff on escape prevention planning as per the farm's plan. | Escape prevention training internal/external for sitemanagers and ohter members of site staff. Annual revision of escape prevention plan, Risk Assesments and contingency plans. Test of escape prevention plan performed january 2016. | Compliant | |

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| | | - | Implementation confirmed e.g net strenght and net certificate for nets documented in "Servicelog infor EAM" and internal net register.<br>Awareness verified on site visit/interviews | Compliant | |
| | | g. Others, please describe | | | |
| **PRINCIPLE 4: USE RESOURCES IN AN ENVIRONMENTALLY EFFICIENT AND RESPONSIBLE MANNER** | | | | | |
| *Criterion 4.1 Traceability of raw materials in feed* | | | | | |
| 4.1.1 | | a. Maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records. | Feed suppliers: EWOS (www.ewos.com)<br>Records of purchase:<br>1.777.000 kg used, recorded in Fish Talk for15G | Compliant | |
| | | b. Inform each feed supplier in writing of ASC requirements pertaining to production of salmon feeds and send them a copy of the ASC Salmon Standard. | Feed suppliers informed of relevant ASC requirements in mail to EWOS dt.18.06.15 | Compliant | |
| | **Indicator**: Evidence of traceability, demonstrated by the feed producer, of feed ingredients that make up more than 1% of the feed [62].<br><br>**Requirement:** Yes<br><br>**Applicability:** All | c. For each feed producer used by the farm, confirm that an audit of the producer was recently done by an audit firm or CAB against an ASC-acknowledged certification scheme. Obtain a copy of the most recent audit report for each feed producer. | Audited by DNV GL GG CFM dt 26. 06.16, Global G.A.P. CFM Version 2.1 Dec13. Certifcate GGN CoC 4050373825744 , valid to 24.06.17 | Compliant | |
| | | d. For each feed producer, determine whether the farm will use method #1 or method #2 (see Instructions above) to show compliance of feed producers. Inform the CAB in writing. | Method #2 Massbalance | Compliant | |
| | | e. Obtain declaration from feed supplier(s) stating that the company can assure traceability of all feed ingredients that make up more than 1% of the feed to a level of detail required by the ASC Salmon Standard [62]. | Statement from Cargill/EWOS on complete traceability 10.01.2017. | Compliant | |
| | | - | Statement and certificate for feed supplier verified. | Compliant | |
| | | g. Others, please describe | | | |
| *Criterion 4.2 Use of wild fish for feed [63]* | | | | | |

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| 4.2.1 | **Indicator**: Fishmeal Forage Fish Dependency Ratio (FFDRm) for grow-out (calculated using formulas in Appendix IV- 1)<br><br>**Requirement:** < 1.35<br><br>**Applicability:** All | a. Maintain a detailed inventory of the feed used including:<br>- Quantities used of each formulation (kg);<br>- Percentage of fishmeal in each formulation used;<br>- Source (fishery) of fishmeal in each formulation used;<br>- Percentage of fishmeal in each formulation derived from trimmings; and<br>- Supporting documentation and signed declaration from feed supplier. | Feed suppliers: EWOS (www.ewos.com)<br>Records of purchase:<br>1.777.000 kg used, recorded in Fish Talk for 15G.<br>Statement from EWOS on complete traceability and raw material (marine and others) sources dt.10.01.17. And detailed raw material (marine and others) sources and fraction in diets on site level. | Compliant | |
| | | b. For FFDRm calculation, exclude fishmeal derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery. | Feed suppliers: EWOS (www.ewos.com)<br>Records of purchase:<br>1.777.000 kg used, recorded in Fish Talk for 15G<br>Statement from EWOS on complete traceability and raw material (marine and others) sources dt.10.01.17. And detailed raw material (marine and others) sources and fraction in diets on site level.<br>Trimmings accounted for and excluded from calculation.<br>Trimmings fraction meal 15G: 2015- 44,4 and 2016 - 34,5%% of marine Raw materials.and oil: 22,2 % and 21,9% for 2015 and 2016 | Compliant | |
| | | c. Calculate eFCR using formula in Appendix IV-1 (use this calculation also in 4.2.2 option #1). | Feed suppliers: EWOS (www.ewos.com)<br>Calculated according to ASC.<br>Records of purchase:<br>1777000 kg used, recorded in Fish Talk for period 15G<br>eFCR accumulated for period 15G is 1.26.<br>eFCR for last complete production cyclus 13 G: 1,25 | Compliant | |
| | | d. Calculate FFDRm using formulas in Appendix IV-1. | Accumulated FFDRm 15G: 0.41<br>FFDRm 13G complete cyclus: 0.62 | Compliant | |
| | | e. Submit FFDRm to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Others, please describe | | | |

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| 4.2.2 | **Indicator**: Fish Oil Forage Fish Dependency Ratio (FFDRo) for grow-out (calculated using formulas in Appendix IV- 1),<br>OR<br>Maximum amount of EPA and DHA from direct marine sources [64] (calculated according to Appendix IV-2)<br><br>**Requirement:** FFDRo < 2.95<br>or<br>(EPA + DHA) < 30 g/kg feed<br><br>**Applicability:** All | a. Maintain a detailed inventory of the feed used as specified in 4.2.1a. | Feed suppliers: EWOS (www.ewos.com)<br>Records of purchase:<br>1.777.000 kg used, recorded in Fish Talk for 15G.<br>Statement from EWOS on complete traceability and raw material (marine and others) sources dt.10.01.17. And detailed raw material (marine and others) sources and fraction in diets on site level. fraction in diets on site level. | Compliant | |
| | | b. For FFDRo and EPA+DHA calculations (either option #1 or option #2), exclude fish oil derived from rendering of seafood by-products (e.g. the "trimmings" from a human consumption fishery. | Feed suppliers: EWOS (www.ewos.com)<br>Records of purchase:<br>1.777.000 kg used, recorded in Fish Talk for 15G<br>Statement from EWOS on complete traceability and raw material (marine and others) sources dt.10.01.17. And detailed raw material (marine and others) sources and fraction in diets on site level.<br>Trimmings accounted for and excluded from calculation.<br>Trimmings fraction meal 15G: 2015- 44,4 and 2016 - 34,5%% of marine Raw materials.and oil: 22,2 % and 21,9% for 2015 and 2016 | Compliant | |
| | | c. Inform the CAB whether the farm chose option #1 or option #2 to demonstrate compliance with the requirements of the Standard. | Option 1 | Compliant | |
| | | d. For option #1, calculate FFDRo using formulas in Appendix IV-1 and using the eFCR calculated under 4.2.1c. | Calculated according to ASC<br>Accumulated FFDRo 15G: 1,76<br>FFDRo 13G complete cyclus: 2,11 | Compliant | |
| | | e. For option #2, calculate amount of EPA + DHA using formulas in Appendix IV-2. | Option 1 | Compliant | |
| | | f. Submit FFDRo or EPA & DHA to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | g. Others, please describe | | | |
| *Criterion 4.3 Source of marine raw materials* | | | | | |
| 4.3.1 | **Indicator**: Timeframe for all fishmeal and fish oil used in feed | a. Prepare a policy stating the company's support of efforts to shift feed manufacturers purchases of fishmeal and fish oil to fisheries certified under a scheme that is an ISEAL member and has guidelines that specifically promote responsible environmental management of small pelagic fisheries. | Annual Cermaq Group report 2015 on sustainability policy, requiring feed raw material from sutainable sourcing, (ISEAL scheme fisheries). Code of conduct feed suppliers for Cermaq Group with statement of intent and policy. | Compliant | |

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| | to come from fisheries [65] certified under a scheme that is an ISEAL member [66] and has guidelines that specifically promote responsible environmental management of small pelagic fisheries<br><br>**Requirement:** < 5 years after the date of publication [67] of the SAD standards (i.e. full compliance by June 13, 2017)<br><br>**Applicability:** All | b. Prepare a letter stating the farm's intent to source feed containing fishmeal and fish oil originating from fisheries certified under the type of certification scheme noted in 4.3.1a | Annual Cermaq Group report 2015 on sustainability policy, requiring feed raw material from sutainable sourcing, (ISEAL scheme fisheries). Code of conduct feed suppliers for Cermaq Group with statement of intent and policy. | Compliant | |
| | | c. Starting on or before June 13, 2017, use feed inventory and feed supplier declarations in 4.2.1a to develop a list of the origin of all fish products used as feed ingredients. | | NA | June 2017- but Origin of fish meal and oil origin on feedbatches used, per site, presented. |
| | | d. Starting on or before June 13, 2017, provide evidence that fishmeal and fish oil used in feed come from fisheries [65] certified under a scheme that is an ISEAL member [66] and has guidelines that specifically promote responsible environmental management of small pelagic fisheries. | | NA | June 2017 Origin of fish meal and oil origin on feedbatches used, per site, presented. |
| | | e. Others, please describe | | | |
| 4.3.2 | **Indicator**: Prior to achieving 4.3.1, the FishSource score [68] for the fishery(ies) from which all marine raw material in feed is derived<br><br>**Requirement:** All individual scores ≥ 6,<br>and biomass score ≥ 8 | a. Record FishSource score for each species from which fishmeal or fish oil was derived and used as a feed ingredient (all species listed in 4.2.1a). | Fish source score verifed and found above limits. All individual scores >6, BM scores > 8 according to Fish source score.<br>In EWOS statement " ASC feed declaration and information " dt.10.01.17<br>Trimmings accounted for and excluded from calculation.<br>Trimmings accounted for and excluded from calculation.<br>Trimmings fraction meal 15G: 2015- 44,4 and 2016 - 34,5%% of marine Raw materials.and oil: 22,2 % and 21,9% for 2015 and 2016 | Compliant | |
| | | b. Confirm that each individual score ≥ 6 and the biomass score is ≥ 8. | EWOS statement " ASC feed declaration and information " dt.10.01.17 with details of raw material sources in specific feeds for this site in this period have scores according to ASC s requirement for this indicator.<br>Correspondence verified. Individual score >6 and Biomass score >8. | Compliant | |

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| | **Applicability:** All, until June 13, 2017 | c. If the species is not on the website it means that a FishSource assessment is not available. Client can then take one or both of the following actions:<br>1. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment.<br>2. Contract a qualified independent third party to conduct the assessment using the FishSource methodology and provide the assessment and details on the third party qualifications to the CAB for review. | | NA | No independent assessment |
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| | | e. Others, please describe | | | |
| 4.3.3 | **Indicator**: Prior to achieving 4.3.1, demonstration of third-party verified chain of custody and traceability for the batches of fishmeal and fish oil which are in compliance with 4.3.2.<br>**Requirement:** Yes<br>**Applicability:** All, until June 13, 2017 | a. Obtain from the feed supplier documentary evidence that the origin of all fishmeal and fish oil used in the feed is traceable via a third-party verified chain of custody or traceability program. | Audited by DNV GL GG CFM dt 26. 06.16, Global G.A.P. CFM Version 2.1 Dec13. Certifcate GGN CoC 4050373825744 , valid to 24.06.17 EWOS statement with details of raw material sources in specific feeds.<br>EWOS statement with details of raw material sources in specific feeds for this site in this period have scores according to ASC s requirement for this indicator. | Compliant | |
| | | b. Ensure evidence covers all the species used (as consistent with 4.3.2a, 4.2.1a, and 4.2.2a). | Audited by DNV GL GG CFM dt 26. 06.16, Global G.A.P. CFM Version 2.1 Dec13. Certifcate GGN CoC 4050373825744 , valid to 24.06.17 EWOS statement with details of raw material sources in specific feeds.<br>EWOS statement with details of raw material sources in specific feeds for this site in this period have scores according to ASC s requirement for this indicator. | Compliant | |
| | | c. Others, please describe | | | |
| 4.3.4 | **Indicator**: Feed containing fishmeal and/or fish oil originating from by-products [69] or trimmings from IUU [70] catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened | a. Compile and maintain, consistent with 4.2.1a and 4.2.2a, a list of the fishery of origin for all fishmeal and fish oil originating from by-products and trimmings. | Registration in Fish Talk on diet type, batch level with referance to CF supplier`s feed serial number and percentege of fishmeal and other relevant information on feedsuppliers webportal.<br>EWOS statement with details of fisheries and raw material sources in specific feeds for this site in this period have scores according to ASC s requirement for this indicator. | Compliant | |
| | | b. Obtain a declaration from the feed supplier stating that no fishmeal or fish oil originating from IUU catch was used to produce the feed. | EWOS statement " ASC feed declaration and information " dt.10.01.17 | Compliant | |

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| | Species [71]<br><br>**Requirement:** None [72]<br><br>**Applicability:** All except as noted in [72] | c. Obtain from the feed supplier declaration that the meal or oil did not originate from a species categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species [71] and explaining how they are able to demonstrate this (i.e. through other certification scheme or through their independent audit). | EWOS statement " ASC feed declaration and information " dt.10.01.17 with details of fisheries and raw material sources in specific feeds for this site in this period have scores according to ASC s requirement to this indicator. | Compliant | |
| | | d. If meal or oil originated from a species listed as "vulnerable" by IUCN, obtain documentary evidence to support the exception as outlined in [72]. | Not from vulnerable fisheries | Compliant | |
| | | e. Others, please describe | | | |
| *Criterion 4.4 Source of non-marine raw materials in feed* | | | | | |
| 4.4.1 | **Indicator**: Presence and evidence of a responsible sourcing policy for the feed manufacturer for feed ingredients that comply with recognized crop moratoriums [75] and local laws [76]<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Compile and maintain a list of all feed suppliers with contact information. (See also 4.1.1a) | Regular commercial contact info and websites for EWOS. | Compliant | |
| | | b. Obtain from each feed manufacturer a copy of the manufacturer's responsible sourcing policy for feed ingredients showing how the company complies with recognized crop moratoriums and local laws. | Statement from Ewos on complete traceability and raw material (marine and others) sources dt.14.08.15. And detailed fisheries and raw material (marine and others) sources.<br>Cargill/EWOS statement " Documentations and information on feed delivered in accordance with ASC " dt.10.01.17 on responsible sourcing policy for feed ingredients. | Compliant | |
| | | c. Confirm that third party audits of feed suppliers (4.1.1c) show evidence that supplier's responsible sourcing policies are implemented. | Audited by DNV GL GG CFM dt 26. 06.16, Global G.A.P. CFM Version 2.1 Dec13. Certifcate GGN CoC 4050373825744 , valid to 24.06.17 EWOS statement with details of raw material sources in specific feeds. | Compliant | |
| | | d. Others, please describe | | | |
| 4.4.2 | **Indicator**: Percentage of soya or soya-derived ingredients in the feed that are certified by the Roundtable for Responsible Soy (RTRS) or equivalent [77] | a. Prepare a policy stating the company's support of efforts to shift feed manufacturers' purchases of soya to soya certified under the Roundtable for Responsible Soy (RTRS) or equivalent. | Annual Cermaq Group report 2015 on sustainability policy, requiring feed raw material from sutainable sourcing, (ISEAL scheme fisheries). Code of conduct feed suppliers for Cermaq Group with statement of intent and policy. dated 18.01.17 | Compliant | |
| | | b. Prepare a letter stating the farm's intent to source feed containing soya certified under the RTRS (or equivalent) | Annual Cermaq Group report 2015 on sustainability policy, requiring feed raw material from sutainable sourcing, (ISEAL scheme fisheries). Code of conduct feed suppliers for Cermaq Group with statement of intent and policy. dated 18.01.17 | Compliant | |

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| | **Requirement:** 100%, within five years of the publication [78] of the SAD standards<br><br>**Applicability:** All, after June 13, 2017 | c. Notify feed suppliers of the farm's intent (4.4.2b). | Feed suppliers informed of relevant ASC requirements in mail to EWOS dt.18.06.15. Also Code of Coduct Feed Suppliers Dated 18.01.17 also sent to EWOS | Compliant | |
| | | d. Obtain and maintain declaration from feed supplier(s) detailing the origin of soya in the feed. | EWOS: Statement "Traceability, responsible sourcing and origin of soy in EWOS CFM" (being from Pro-Terra and RTRS) dt.10.01.17. | Compliant | |
| | | e. Starting on or before June 13, 2017, provide evidence that soya used in feed is certified by the Roundtable for Responsible Soy (RTRS) or equivalent [77] | | NA | NA before June 13, 2017 |
| | | f. Others, please describe | | | |
| 4.4.3 | **Indicator**: Evidence of disclosure to the buyer [79] of the salmon of inclusion of transgenic [80] plant raw material, or raw materials derived from transgenic plants, in the feed<br>**Requirement:** Yes, for each individual raw material containing > 1% transgenic content [81]<br>**Applicability:** All | a. Obtain from feed supplier(s) a declaration detailing the content of soya and other plant raw materials in feed and whether it is transgenic. | Cargill/EWOS statement " Documentations and information on feed delivered in accordance with ASC " dt.10.01.17 on responsible sourcing policy for feed ingredients. | Compliant | |
| | | b. Disclose to the buyer(s) a list of any transgenic plant raw material in the feed and maintain documentary evidence of this disclosure. For first audits, farm records of disclosures must cover > 6 months. | Code of conduct feed suppliers for Cermaq Group with statement of intent and policy of GMO non acceptance in the feed. Latest dated 18.01.17<br>Statement of non GMO use and fish CV is provided from sales department to customers e.g example verified of information provided to french customer. | Compliant | |
| | | c. Inform ASC whether feed contains transgenic ingredients (yes or no) as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 4.5 Non-biological waste from production* | | | | | |
| 4.5.1 | | a. Prepare a policy stating the farm's commitment to proper and responsible treatment of non-biological waste from production. It must explain how the farm's policy is consistent with best practice in the area of operation. | Environmental policy for Cermaq Norway AS wtih referance to other relevant internal docs and reports. Policy and vision and defined in "Miljø"annual report from Cermaq Group report on corporate level, considering stakeholders , variuos environmental specters . All nonbiological waste handled by VEFAS. Waste handlingsplan for site and "procedure for avfallsbehandling". | Compliant | |

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| | **Indicator**: Presence and evidence of a functioning policy for proper and responsible [83] treatment of non-biological waste from production (e.g., disposal and recycling)<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. Prepare a declaration that the farm does not dump non-biological waste into the ocean. | Environmental policy for Cermaq Norway AS wtih referance to other relevant internal docs and reports.<br>Waste handlingsplan for site and "procedure for avfallsbehandling". | Compliant | |
| | | c. Provide a description of the most common production waste materials and how the farm ensures these waste materials are properly disposed of. | Weoden pallets, residual/domestic waste delivered to NOFIR, VEFAS and Mørenot. retrieve decommisioned nets and ropes and feeding tubes, handling. as residual waste/recycling.<br>Waste handlingsplan for site and "procedure for avfallsbehandling" defines sort of waste and contractor for handling and disposal. | Compliant | |
| | | d. Provide a description of the types of waste materials that are recycled by the farm. | Decommisioned Feed pipes and moorings equipment.<br>Receipt /invoice from VEFAS dt. 07.10.16 on various types of waste received from farm base with refs to decl codes.<br>Waste handlingsplan for site and "procedure for avfallsbehandling" defines sort of waste and contractor for handling and disposal. | Compliant | |
| | | e. Others, please describe | | | |
| 4.5.2 | | a. Provide a description of the most common production waste materials and how the farm ensures these waste materials are properly disposed of. (see also 4.5.1c) | Decommisioned moorings ropes to public residuals. Chain and anchors to reuse or delivered to VEFAS. No direct recycling on farm-all handled via approved channels. | Compliant | |
| | **Indicator**: Evidence that non-biological waste (including net pens) from grow-out site is either disposed of properly or recycled | b. Provide a description of the types of waste materials that are recycled by the farm. (See also 4.5.1d) | Weoden pallets, residual/domestic waste delivered to VEFAS<br>NOFIR, VEFAS and Mørenot. retrieve decommisioned nets and ropes and feeding tubes, handling. as residual waste/recycling.<br>Waste handlingsplan for site and "procedure for avfallsbehandling" defines sort of waste and contractor for handling and disposal. | Compliant | |

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| | **Requirement:** Yes<br><br>**Applicability:** All | c. Inform the CAB of any infractions or fines for improper waste disposal received during the previous 12 months and corrective actions taken.. | No infractions identified. | Compliant | |
| | | d. Maintain records of disposal of waste materials including old nets and cage equipment. | Decommisioned nets to Mørenot appproved service e.g invoice from Mørenot dt.04.09.15 for disposal of 5 nets with id 1753-551-2188-2190-1486 according to waste handling policy and procedures.<br>Waste handling e.g. Receipt /invoice from VEFAS dt. 05.11.15 on various types of waste received from farm base with refs to decl codes.<br>Invoice 79589, dated 02.05.16 for nets, cartons, other waste, from Finnm. Ressursselskap | Compliant | |
| | | e. Others, please describe | | | |
| *Criterion 4.6 Energy consumption and greenhouse gas emissions on farms [84]* | | | | | |
| 4.6.1 | | a. Maintain records for energy consumption by source (fuel, electricity) on the farm throughout each production cycle. | Records and calcultion OK | Compliant | |
| | | b. Calculate the farm's total energy consumption in kilojoules (kj) during the last production cycle. | 2.584.364.352 KJ | Compliant | |
| | **Indicator**: Presence of an energy use assessment verifying the energy consumption on the farm and representing the whole life cycle at sea, as outlined in Appendix V- 1<br><br>**Requirement:** Yes, measured in kilojoule/mt fish/production cycle<br><br>**Applicability:** All | c. Calculate the total weight of fish in metric tons (mt) produced during the last production cycle. | 1614 MT biomass produced during last complete production cyclus 13G. | Compliant | |
| | | d. Using results from 4.6.1b and 4.6.1c, calculate energy consumption on the farm as required, reported as kilojoule/mt fish/production cycle. | 1.601.360 KJ/Mt | Compliant | |
| | | e. Submit results of energy use calculations (4.6.1d) to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Ensure that the farm has undergone an energy use assessment that was done in compliance with requirements of Appendix V-1. | Assessed against company objectives. Scope 1 Diesel ) and Scope 2 purchased el used. | Compliant | |
| | | g. Others, please describe | | | |
| 4.6.2 | | a. Maintain records of greenhouse gas emissions on the farm. | Farm records of GHG assessment. | Compliant | |

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| | **Indicator**: Records of greenhouse gas (GHG [85]) emissions [86] on farm and evidence of an annual GHG assessment, as outlined in Appendix V-1<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. At least annually, calculate all scope 1 and scope 2 GHG emissions in compliance with Appendix V-1. | Farm records of GHG are done continuesly for a month period. Record for 2016:<br>Scope 1: 44.310 kg CO2e ,<br>Scope 2: 69.599 kg CO2e =<br>Total Scope 1+2 = 113.910 kg CO2e | Compliant | |
| | | c. For GHG calculations, select the emission factors which are best suited to the farm's operation. Document the source of those emissions factors. | Farm records of GHG assessment.<br>Scope 1 diesel from diesel/gasoline workboat, truck, generator and scope 2 is purchased electricity and purchased service boat diesel consumption. | Compliant | |
| | | d. For GHG calculations involving conversion of non-$CO_2$ gases to $CO_2$ equivalents, specify the Global Warming Potential (GWP) used and its source. | All calculated to CO2e | Compliant | |
| | | e. Submit results of GHG calculations (4.6.2d) to ASC as per Appendix VI at least once per year. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Ensure that the farm undergoes a GHG assessment as outlined in Appendix V-1 at least annually. | Calculaitons and asessment provided by CO2 focus. Data from IEA 2013, SSB 2013, EIA 2011, IPCC 2006. | Compliant | |
| | | g. Others, please describe | | | |
| 4.6.3 | **Indicator**: Documentation of GHG emissions of the feed [87] used during the previous production cycle, as outlined in Appendix V, subsection 2<br>**Requirement:** Yes, within three years of the publication [88] of the SAD standards (i.e. by June 13, 2015)<br>**Applicability:** All, after June 13, 2015 | a. Obtain from feed supplier(s) a declaration detailing the GHG emissions of the feed (per kg feed). | EWOS Factor is. 1578 kg/tonn =1.578 pr.kg.<br>from sustainability evaluation of fish feed production in EWOS. Attachment to Statement from EWOS dt.13.01.16 on complete traceability and raw material (marine and others) sources | Compliant | |
| | | b. Multiply the GHG emissions per unit feed by the total amount of feed from each supplier used in the most recent completed production cycle. | Feed usage 15 G cycle, 1.777 mt. | Compliant | |
| | | c. If client has more than one feed supplier, calculate the total sum of emissions from feed by summing the GHG emissions of feed from each supplier. | EWOS Factor is 1.578.<br>2.804.106 kg CO2E | Compliant | |

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| | | d. Submit GHG emissions of feed to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | e. Others, please describe | | | |
| *Criterion 4.7 Non-therapeutic chemical inputs [89,90]* | | | | | |
| 4.7.1 | **Indicator**: For farms that use copper-treated nets [91], evidence that nets are not cleaned [92] or treated in situ in the marine environment<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms except as noted in [89] | a. Prepare a farm procedure for net cleaning and treatment that describes techniques, technologies, use of off-site facilities, and record keeping. | CU treated nets are used.<br>Procedure "Prosedyre for kontroll, ettersyn og renhold av not". Internal statement/procedure on antifouling used and not cleaning in sea defined in precedure. Procedure for Control and mantanance and cleaning, ID 315, dated 19.06.16 confirm that nets are not to be cleaned on site | Compliant | |
| | | b. Maintain records of antifoulants and other chemical treatments used on nets. | Documents and traceability available in QMS system and net log from Mørenot.<br>Antifoulants used is "Netwax NI 3" by NETKEM ref safety sheet dt 15.07.2015. (active subsatnce is " dikobberoksid" EU 453/2010, 1907/2006 (REACH) 1272/20087EF info from NetKem describing EU classification relevant to ASC requirement | Compliant | |
| | | c. Declare to the CAB whether copper-based treatments are used on nets. | CAB informed that copper-based treatments are used on nets. | Compliant | |
| | | d. If copper-based treatments are used, maintain documentary evidence (see 4.7.1b) that farm policy and practice does not allow for heavy cleaning of copper-treated nets in situ. | Proc. "Prosedyre for kontroll, ettersyn og renhold av not". Policy and practice defined in procedure does not allow for heavy cleaning of copper-treated nets in situ | Compliant | |
| | | e. Inform ASC whether copper antifoulants are used on farm (yes or no) as per Appendix VI for each production | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Others, please describe | | | |
| 4.7.2 | | a. Declare to the CAB whether nets are cleaned on-land. | Nets cleaned on land at Mørenot Hammerfest AS. | Compliant | |

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| | **Indicator**: For any farm that cleans nets at on-land sites, evidence that net-cleaning sites have effluent treatment [93]<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms except as noted in [89] | b. If nets are cleaned on-land, obtain documentary evidence from each net-cleaning facility that effluent treatment is in place. | Mørenot Hammerfest AS on-land net celaning site emmision permit<br>Certificate acccording to NS-9415 Aquastructure dt.18.05.12.<br>Effllluent treatment in place. Documented in sample records from Mørenot Hammerfest AS for 2015 verifiying zero CU emission.<br>Report dt.10.02.16 from service POYRY on effluent treatment documents zero copper emissions. | Compliant | |
| | | c. If yes to 4.7.2b, obtain evidence that effluent treatment used at the cleaning site is an appropriate technology to capture of copper in effluents. | Mørenot Hammerfest AS on-land net celaning site emmision permit<br>Certificate acccording to NS-9415 Aquastructure dt.18.05.12.<br>Effllluent treatment in place. Documented in sample records from Mørenot Hammerfest AS for 2015 verifiying zero CU emission.<br>Report dt.10.02.16 from service POYRY on effluent treatment documents zero copper emissions. | Compliant | |
| | | d. Others, please describe | | | |
| 4.7.3 | **Indicator**: For farms that use copper nets or copper-treated nets, evidence of testing for copper level in the sediment outside of the AZE, following methodology in Appendix I-1<br>**Requirement:** Yes<br>**Applicability:** All farms except as noted in [89] | a. Declare to the CAB whether the farm uses copper nets or copper-treated nets. (See also 4.7.1c). If "no", Indicator 4.7.3 does not apply. | Confirmed use of CU treated nets | Compliant | |
| | | b. If "yes" in 4.7.3a, measure and record copper in sediment samples from the reference stations specified in 2.1.1d and 2.1.2c which lie outside the AZE. | Olex map and GPS coordinates with ASC sampling points. Site-specific sampling regime (MOM-C hybrid - ASC adapted) Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Point adapted to bathymetric conditions. Performed by Akvaplan Niva, report nr.8425.02 dt 12.12.16. Sampling 05.09.16 VanVeen grab used according to established method. 7 sampling stasjons, sampling in near, intermediate and remote zones. | Compliant | |
| | | c. If "yes" in 4.7.3a, maintain records of testing methods, equipment, and laboratories used to test copper level in sediments from 4.7.3b. | VanVeen grab used according to established methodology/ASC. (NS9410). Laboratory accreditated, ALS Laboratory group. | Compliant | |
| | | d. Others, please describe | | | |
| 4.7.4 | **Indicator**: Evidence that copper levels [94] are < 34 mg Cu/kg dry sediment weight<br>OR<br>in instances where the Cu in the sediment exceeds 34 mg Cu/kg dry sediment weight, demonstration that the Cu concentration falls within the range of background | a. Inform the CAB whether:<br>1) farm is exempt from Indicator 4.7.4 (as per 4.7.3a), or<br>2) Farm has conducted testing of copper levels in sediment. | Open cage system | Compliant | |
| | | b. Provide evidence from measurements taken in 4.7.3b that copper levels are < 34 mg Cu/kg dry sediment weight. | Sampling performed Cu levels results available: ranging from 10 to 18 mg Cu/kg | Compliant | |
| | | c. If copper levels in 4.7.4b are ≥ 34 mg Cu/kg dry sediment weight, provide evidence the farm tested copper levels in sediments from reference sites as described in Appendix I-1 (also see Indicators 2.1.1 and 2.1.2). | | NA | Below limit |

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| | concentrations as measured at three reference sites in the water body<br>**Requirement:** Yes<br>**Applicability:** All farms except as noted in [89] and excluding those farms shown to be exempt from Indicator 4.7.3 | d. Analyze results from 4.7.4c to show the background copper concentrations as measured at three reference sites in the water body. | | NA | Below limit |
| | | e. Submit data on copper levels in sediments to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | f. Others, please describe | | | |
| 4.7.5 | **Indicator**: Evidence that the type of biocides used in net antifouling are approved according to legislation in the European Union, or the United States, or Australia<br>**Requirement:** Yes<br>**Applicability:** All farms except as noted in [89] | a. Identify all biocides used by the farm in net antifouling. | Antifoulants used is "Netwax NI 3" by NETKEM ref safety sheet dt 15.07.2015. (active subsatnce is " dikobberoksid" EU 453/2010, 1907/2006 (REACH) 1272/20087EF info from NetKem describing EU classification relevant to ASC requirement | Compliant | |
| | | b. Compile documentary evidence to show that each chemical used in 4.7.5a is approved according to legislation in one or more of the following jurisdictions: the European Union, the United States, or Australia. | Chemical used in 4.7.5a is approved according to legislation following jurisdictions of the European Union and Norway. | Compliant | |
| | | c. Others, please describe | | | |
| **PRINCIPLE 5: MANAGE DISEASE AND PARASITES IN AN ENVIRONMENTALLY RESPONSIBLE MANNER** | | | | | |
| *Criterion 5.1 Survival and health of farmed fish [95]* | | | | | |
| 5.1.1 | **Indicator**: Evidence of a fish health management plan for the identification and monitoring of fish diseases and parasites<br>**Requirement:** Yes<br>**Applicability:** All | 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. | Site spesific Fish Health Plan for Store Lerresfjord in QMS with links to relevant procedures. Plan covers all aspect of relevant diseaes and parasite diagnostics and control measures. Internal veterinary services, responsible veterinarian, Approved and signed by veterinarian dt. 22.01.16 Karl Fredrik Ottem. | Compliant | |
| | | b. Ensure that the farm's current fish health management plan was reviewed and approved by the farm's designated veterinarian [96]. | Approved and signed by veterinarian dt.22.01.16 Karl Fredrik Ottem. | Compliant | |
| | | c. Others, please describe | | | |
| 5.1.2 | **Indicator**: Site visits by a | a. Maintain records of visits by the designated veterinarian [96] and fish health managers [97]. If schedule cannot be met, a risk assessment must be provided. | Minimum 6 Vet visits annually. FH manager is site manager hence hands -on on daily issues. System for weekly scheduled meetings covering e.g FH issues. Verified in veterinarian log 21.05.15 - 21.01.16 for site, 6 visits with documented reports. Last visit before harvesting 05.10.16 | Compliant | |

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| | **Indicator**: Site visits by a designated veterinarian [96] at least four times a year, and by a fish health manager [97] at least once a month<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. Maintain a current list of personnel who are employed as the farm's designated veterinarian(s) [96] and fish health manager(s) [97]. | Fish health manager Lars Richard Aas and Veterinarian Karl Fredrik Ottem and Elisabeth Myklebust. | Compliant | |
| | | c. Maintain records of the qualifications of persons identified in 5.1.2b. | Seen CVs for relevant personell documented in Vivaldi personal system.<br>Autorization Veterinarian Karl Fredrik Ottem HPR number 7516525 and Fishhealth biologist Elisabeth Myklebust HPR number 6025056. | Compliant | |
| | | d. Others, please describe | | | |
| 5.1.3 | **Indicator**: Percentage of dead fish removed and disposed of in a responsible manner<br><br>**Requirement:** 100% [98]<br><br>**Applicability:** All | a. Maintain records of mortality removals to show that dead fish are removed regularly and disposed of in a responsible manner. | Daily registrations in Fishtalk reports for daily retrieval.<br>All mortalitys to ensilage. Scanbio Biokraft Marine AS on ensilage collection. Contract signed dt 18.11.10.<br>"Prosedyre for håndtering av dødfisk,svimere og ensillasje" in QMS system. Example is Scanbio Biokraft Marine AS Invoice nr. 1001581 on retrival of 8500 kg ensilage dt.08.12.15 | Compliant | |
| | | b. Collect documentation to show that disposal methods are in line with practices recommended by fish health managers and/or relevant legal authorities. | System established for handling and documentation according to requirements in national legislation handled by NFSA. Seen Handelsdocument nr. RP-4707 dated 08.12.15 for 8500 liter ensillage category 2. | Compliant | |
| | | c. For any exceptional mortality event where dead fish were not collected for post-mortem analysis, keep a written justification. | No exceptional mortalities. | Compliant | |
| | | d. Others, please describe | | | |
| 5.1.4 | | a. Maintain detailed records for all mortalities and post-mortem analyses including:<br>- date of mortality and date of post-mortem analysis;<br>- total number of mortalities and number receiving post-mortem analysis;<br>- name of the person or lab conducting the post-mortem analyses;<br>- qualifications of the individual (e.g. veterinarian [96], fish health manager [97]);<br>- cause of mortality (specify disease or pathogen) where known; and<br>- classification as 'unexplained' when cause of mortality is unknown (see 5.1.6). | 100 % off Mortality categorised for 13G - 15G, documented in Fishtalk:<br>15G accumulated;<br>Total mortality 20,9 % d.d .<br>Virus 16,7% + Unspesified 0,63 % = Virus + Unspesified = 17,3 %<br>13G last complete production cyclus:, Total mortality 10,37 %. (Virus+Unspesified 0% + 5,32%) Due to high mortality fish were harvested before plan. See NC below | Compliant | |

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| | **Indicator**: Percentage of mortalities that are recorded, classified and receive a post-mortem analysis<br><br>**Requirement:** 100% [99]<br><br>**Applicability:** All | b. For each mortality event, ensure that post-mortem analyses are done on a statistically relevant number of fish and keep a record of the results. | All mortalitys are diagnoesed and post-mortem analyses are done on a statistically relevant number of fish (ref unspecicifed numbers above). Lab analyses routinely. | Compliant | |
| | | c. If on-site diagnosis is inconclusive and disease is suspected or results are inconclusive over a 1-2 week period, ensure that fish are sent to an off-site laboratory for diagnosis and keep a record of the results (5.1.4a). | Mortality samples sendt 25.01.16 to Pathogen lab for analyze. Screnning PRV/HSMB,<br>diagnose positive dt.28.01.16. , report from Pathogen.<br>Last Vet. report dated 07.07.16. Due to high mortality fish were harvested before plan | Compliant | |
| | | d. Using results from 5.1.3a-c, classify each mortality event and keep a record of those classifications. | Record are available and documented in Fishtalk, all mortalitys are categorised. | Compliant | |
| | | e. Provide additional evidence to show how farm records in 5.1.4a-d cover all mortalities from the current and previous two production cycles (as needed). | Record are available and documented in Fishtalk production system where mortalitys are recorded and categorised. | Compliant | |
| | | f. Submit data on numbers and causes of mortalities to ASC as per Appendix VI on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | g. Others, please describe | | | |
| 5.1.5 | **Indicator**: Maximum viral | a. Calculate the total number of mortalities that were diagnosed (see 5.1.4) as being related to viral disease. | 100 % off Mortality categorised for 13G - 15G, documented in Fishtalk:<br>15G ;<br>Total mortality 20,9 % d.d .<br>Virus 16,7% + Unspesified 0,63 % = Virus + Unspesified = 17,3 %<br>13G complete production cyclus:, Total mortality 10,37 %.<br>(Virus+Unspesified 0% + 5,32%) .<br>**NC: Mortality due to viral disease during most recent production cycle is ≥ 10%**<br>NC closed based on VR 222 approved by ASC 12.05.17 | Compliant | |

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| | **Indicator**: Maximum viral disease-related mortality [100] on farm during the most recent production cycle<br><br>**Requirement:** ≤ 10%<br><br>**Applicability:** All | b. Combine the results from 5.1.5a with the total number of unspecified and unexplained mortalities from the most recent complete production cycle. Divide this by the total number of fish produced in the production cycle (x100) to calculate percent maximum viral disease-related mortality. | 100 % off Mortality categorised for 13G - 15G, documented in Fishtalk:<br>15G accumulated;<br>Total mortality 20,9 % d.d .<br>Virus 16,7% + Unspesified 0,63 % = Virus + Unspesified = 17,3 %<br>13G production cyclus:, Total mortality 10,37 %.<br>(Virus+Unspesified 0% + 5,32%) .<br>**NC: Mortality due to viral disease during most recent production cycle is ≥ 10%**<br>NC closed based on VR 222 approved by ASC 12.05.17 | Compliant | |
| | | c. Submit data on total mortality and viral disease-related mortality to ASC as per Appendix VI on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | d. Others, please describe | | | |
| 5.1.6 | **Indicator**: Maximum unexplained mortality rate from each of the previous two production cycles, for farms with total mortality > 6%<br><br>**Requirement:** ≤ 40% of total mortalities<br><br>**Applicability:** All farms with > 6% total mortality in the most recent complete production cycle. | a. Use records in 5.1.4a to calculate the unexplained mortality rate (%) for the most recent full production cycle. If rate was ≤ 6%, then the requirement of 5.1.6 does not apply. If total mortality rate was > 6%, proceed to 5.1.6b. | 15 G: Total mortality 20,9 % d.d .<br>Virus 16,7% + Unspesified 0,63 % = Virus + Unspesified = 17,3 %<br>Unexplained below 6% | Compliant | |
| | | b. Calculate the unexplained mortality rate (%) for each of the two production cycles immediately prior to the current cycle. For first audit, calculation must cover one full production cycle immediately prior to the current cycle. | | N/A | Below 6%, |
| | | c. Submit data on maximum unexplained mortality to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | d. Others, please describe | | | |
| 5.1.7 | **Indicator**: A farm-specific mortalities reduction program that includes defined annual targets for reductions in mortalities and reductions in unexplained mortalities<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Use records in 5.1.4a to assemble a time-series dataset on farm-specific mortalities rates and unexplained mortality rates. | Mortality rate reduction programme (Corporate leve Finmark on <8% morts pr.generation). Mortality reduction programs also part of managment review for Cermaq Norway and Cermaq Group. Specified in FHP, on site level with concrete objectives for actions to reduce to less than 5 % 12 months rolling. | Compliant | |
| | | b. Use the data in 5.1.7a and advice from the veterinarian and/or fish health manager to develop a mortalities-reduction program that defines annual targets for reductions in total mortality and unexplained mortality. | Mortality rate reduction programme (Corporate leve Finmark on <8% morts pr.generation). Mortality reduction programs also part of managment review for Cermaq Norway and Cermaq Group. Specified in FHP, on site level with concrete objectives for actions to reduce to less than 5 % 12 months rolling. | Compliant | |

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| | | c. Ensure that farm management communicates with the veterinarian, fish health manager, and staff about annual targets and planned actions to meet targets. | Confirmed during interviews | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 5.2 Therapeutic treatments [101]* | | | | | |
| 5.2.1 | **Indicator**: On-farm documentation that includes, at a minimum, detailed information on all chemicals [102] and therapeutants used during the most recent production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing, and all disease and pathogens detected on the site<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Maintain a detailed record of all chemical and therapeutant use that includes:<br>- name of the veterinarian prescribing treatment;<br>- product name and chemical name;<br>- reason for use (specific disease)<br>- date(s) of treatment;<br>- amount (g) of product used;<br>- dosage;<br>- mt of fish treated;<br>- the WHO classification of antibiotics (also see note under 5.2.8); and<br>- the supplier of the chemical or therapeutant. | Allowed usage defined in FHP. Antibiotics used, 1 treatment with florfenicol. Treatments done are anaesthetics all uder responsible veterinarian prescriptions. Registered in Fishtalk/fish CV. Dates for usage, quantity and dosage, withdrawal periods defined and regsitered in Fishtalk e.g Florfenicol treatment prescription nr. 2015002 Florfenicol # K.F.O dt.15.05.15. batch nr.CRM:0761028. All Net cages 1-6 treated from 08.06.15-18.06.15. Emamectin 16.09.15-28.09.15, Prescr. 25.08.15. | Compliant | |
| | | b. If not already available, assemble records of chemical and therapeutant use to address all points in 5.2.1a for the previous two production cycles. For first audits, available records must cover one full production cycle immediately prior to the current cycle. | Allowed usage defined in FHP. 1 treatment with florfenicol. Treatments done are anaesthetics all uder responsible veterinarian prescriptions. Registered in Fishtalk/fish CV. Dates for usage, quantity and dosage, withdrawal periods defined and regsitered in Fishtalk. | Compliant | |
| | | c. Submit information on therapeutant use (data from 5.2.1a) to ASC as per Appendix VI on an ongoing basis (i.e. at least once per year and for each production cycle). | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | d. Others, please describe | | | |
| 5.2.2 | **Indicator**: Allowance for use of | a. Prepare a list of therapeutants, including antibiotics and chemicals, that are proactively banned for use in food fish for the primary salmon producing and importing countries listed in [104]. | Listed in "Forskrift om grenseverdier for legemidler i næringsmidler" "Norwegian requlation/NFSA. Substances banned in marked" In FHP "oversikt MRL for EU, USA, Japan, Kina, Australia og Russland". Statement dt.03.07.15 - "Medicines and antibiotics allowed by Cermaq Norway". Approved and used substances are referred in FHP. Doc. dated 19.11.2016 with overviw of banned substances. List for USA and Japan only permitted substances | Compliant | |

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| | therapeutic treatments that include antibiotics or chemicals that are banned [103] in any of the primary salmon producing or importing countries [104]<br><br>**Requirement:** None<br><br>**Applicability:** All | b. Maintain records of voluntary and/or mandatory chemical residue testing conducted or commissioned by the farm from the prior and current production cycles. | According to internal proc. "Prosedyre for produktkontroll" compulsory testing if fish has been treated. NFSA OK program. NIFES report (Monitoring programme for pharmaceuticls, illegal substances, contaminants in farmed fish 2014" states no banned residuals. E.g Report with analsis from NFSA dt.28.10.15. no pharmaceuticls, illegal substances, contaminants detected. Eurofins report for Store Lerresfjord dated 20.06.16. Florfenicol: not found. | Compliant | |
| | | - | Compliance verified and in accordance with requirements and also in accordance with reports and usage recorded in production system Fishtalk. | Compliant | |
| | | d. Others, please describe | | | |
| 5.2.3 | **Indicator**: Percentage of medication events that are prescribed by a veterinarian<br><br>**Requirement:** 100%<br><br>**Applicability:** All | a. Obtain prescription for all therapeutant use in advance of application from the farm veterinarian (or equivalent, see [96] for definition of veterinarian). | Verified for Florfenicol treatment prescription nr. 2015002 Florfenicol # K.F.O dt.15.05.15. batch nr.CRM:0761028. All Net cages 1-6 treated from 08.06.15-18.06.15. Emamectin 16.09.15-28.09.15, Prescr. 25.08.15. | Compliant | |
| | | b. Maintain copies of all prescriptions and records of veterinarian responsible for all medication events. Records can be kept in conjunction with those for 5.2.1 and should be kept for the current and two prior production cycles. | 100% of treatment events are prescribed by a veterinarian Original presciption in site folder and regsitered in Fishtalk with witholding periods defined in prescription and in Fishtalk. | Compliant | |
| | | c. Others, please describe | | | |
| 5.2.4 | **Indicator**: Compliance with all withholding periods after treatments<br><br>**Requirement:** Yes | a. Incorporate withholding periods into the farm's fish health management plan (see 5.1.1a). | In Fishtalk, automatically notified/blocked according to degreedays witholdingtime stated in prescription. According to FHMP/VHP on withholding periods defined in Fishtalk and specific presecription. | Compliant | |
| | | b. Compile and maintain documentation on legally-required withholding periods for all treatments used on-farm. Withholding period is the time interval after the withdrawal of a drug from the treatment of the salmon before the salmon can be harvested for use as food. | Documented in Fishtalk, automatically notified/blocked according to degreedays witholdingtime stated in prescription. | Compliant | |

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| | **Requirement:** Yes<br><br>**Applicability:** All | c. Show compliance with all withholding periods by providing treatment records (see 5.2.1a) and harvest dates for the most recent production cycle. | In Fish CV, where treatment dates are specified and compared to harvest dates. According to FHMP/VHP on withholding periods defined.<br>E.g CV Net cage 13 Harvesting/slaughtering periode 04.08-14 - 06.08.04 last treatment with Benzoak 05.07.14. Witholding period for Benzoak defined as 21 days. All later treatments done more than half a year before harvesting Withholding periods far less than this | Compliant | |
| | | d. Others, please describe | | | |
| 5.2.5 | **Indicator**: Maximum farm level cumulative parasiticide treatment index (PTI) score as calculated according to the formula in Appendix VII<br><br>**Requirement:** PTI score ≤ 13<br><br>**Applicability:** All | a. Using farm data for therapeutants usage (5..2.1a) and the formula presented in Appendix VII, calculate the cumulative parasiticide treatment index (PTI) score for the most recent production cycle. Calculation should be made and updated on an ongoing basis throughout the cycle by farm manager, fish health manager, and/or veterinarian. | Calculations verified. Treatments with Slice performed on present cycle. PTI score calculated according to ASC and Reference is made to VR 97,on PTI calculation method confirmed by ASC See www.asc-aqua.org for VR details firmed by ASC dt.20.08.15 | Compliant | |
| | | b. Provide the auditor with access to records showing how the farm calculated the PTI score. | PTI Score: 0,34 | Compliant | |
| | | c. Submit data on farm level cumulative PTI score to ASC as per Appendix VI for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | |
| | | d. Others, please describe | | | |
| 5.2.6 | **Indicator**: For farms with a cumulative PTI ≥ 6 in the most recent production cycle, demonstration that parasiticide load [105] is at least 15% less that of the average of the two previous production cycles<br><br>**Requirement:** Yes, within five years of the publication of the SAD standard (i.e. by June 13, 2017)<br><br>**Applicability:** All farms with a cumulative PTI ≥ 6 in the most recent production cycle | a. Review PTI scores from 5.2.5a to determine if cumulative PTI ≥ 6 in the most recent production cycle. If yes, proceed to 5.2.6b; if no, Indicator 5.2.6 does not apply. | | NA | Below 6<br>Valid from 13.06- 2017 |
| | | b. Using results from 5.2.5 and the weight of fish treated (kg), calculate parasiticide load in the most recent production cycle [105]. | | NA | Below 6<br>Valid from 13.06- 2017 |
| | | c. Calculate parasiticide load in the two previous production cycles as above (5.2.6b) and compute the average. Calculate the percent difference in parasiticide load between current cycle and average of two previous cycles. For first audit, calculation must cover one full production cycle immediately prior to the current cycle. | | NA | Below 6<br>Valid from 13.06- 2017 |
| | | d. As applicable, submit data to ASC on parasiticide load for the most recent production cycle and the two previous production cycles (Appendix VI). | | NA | Below 6<br>Valid from 13.06- 2017 |
| | | e. Others, please describe | | | |
| 5.2.7 | **Indicator**: Allowance for | a. Maintain records for all purchases of antibiotics (invoices, prescriptions) for the current and prior production cycles. | 1 treatment with Florfenicol antibiotic used the recent cycles. All use documented in Fishtalk, internal system for veterinary responsible and in paper sheet at site | Compliant | |

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| | **Indicator**: Allowance for prophylactic use of antimicrobial treatments [106]<br><br>**Requirement:** None<br><br>**Applicability:** All | b. Maintain a detailed log of all medication-related events (see also 5.2.1a and 5.2.3) | 1 treatment with Florfenicol antibiotic used the recent cycles. All use documented in Fishtalk, internal system for veterinary responsible and in paper sheet at site | Compliant | |
| | | c. Calculate the total amount (g) and treatments (#) of antibiotics used during the current and prior production cycles (see also 5.2.9). | 1 treatment with Florfenicol antibiotic used the recent cycles. 7 kg API Florfenicol used | Compliant | |
| | | d. Others, please describe | | | |
| 5.2.8 | **Indicator**: Allowance for use of antibiotics listed as critically important for human medicine by the World Health Organization (WHO [107])<br><br>**Requirement:** None [108]<br><br>**Applicability:** All | a. Maintain a current version of the WHO list of antimicrobials critically and highly important for human health [107]. | Valid WHO list 3rd edition demonstrated | Compliant | |
| | | b. If the farm has not used any antibiotics listed as critically important (5.2.8a) in the current production cycle, inform the CAB and proceed to schedule the audit. | 1 treatment with Florfenicol antibiotic used the recent cycles. Florfenicol not defined as Critical important for human medicine. Statment from Cermaq Norway AS on use of antibiotic at site dt.10.10.14 New 08.12.16 | Compliant | |
| | | c. If the farm has used antibiotics listed as critically important (5.2.8a) to treat any fish during the current production cycle, inform the CAB prior to scheduling audit. | 1 treatment with Florfenicol antibiotic used the recent cycles. Florfenicol not defined as Critical important for human medicine. Statment from Cermaq Norway AS on use of antibiotic at site dt.10.10.14 New 08.12.16 | Compliant | |
| | | d. If yes to 5.2.8c, request an exemption from the CAB to certify only a portion of the farm. Prior to the audit, provide the CAB with records sufficient to establish details of treatment, which pens were treated, and how the farm will ensure full traceability and separation of treated fish through and post- harvest. | 1 treatment with Florfenicol antibiotic used the recent cycles. Florfenicol not defined as Critical important for human medicine. Statment from Cermaq Norway AS on use of antibiotic at site dt.10.10.14 New 08.12.16 | Compliant | |
| | | e. Others, please describe | | | |
| 5.2.9 | **Indicator**: Number of treatments [109] of antibiotics over the most recent production cycle<br><br>**Requirement:** ≤ 3<br><br>**Applicability:** All | a. Maintain records of all treatments of antibiotics (see 5.2.1a). For first audits, farm records must cover the current and immediately prior production cycles in a verifiable statement. | 1 treatment with Florfenicol antibiotic used the recent cycles. Florfenicol not defined as Critical important for human medicine. Statment from Cermaq Norway AS on use of antibiotic at site dt.10.10.14 New 08.12.16 | Compliant | |
| | | b. Calculate the total number of treatments of antibiotics over the most recent production cycle and supply a verifiable statement of this calculation. | 1 treatment with Florfenicol antibiotic used the recent cycles. Florfenicol not defined as Critical important for human medicine. Statment from Cermaq Norway AS on use of antibiotic at site dt.10.10.14 New 08.12.16 | Compliant | |
| | | c. Others, please describe | | | |
| 5.2.10 | **Indicator**: If more than one antibiotic treatment is used in the most recent production cycle, demonstration that the antibiotic load [110] is at least 15% less that of the average of the two previous production cycles | a. Use results from 5.2.9b to show whether more than one antibiotic treatment was used in the most recent production cycle. If not, then the requirement of 5.2.10 does not apply. If yes, then proceed to 5.2.10b. | | NA | 1 treatment with Florfenicol antibiotic used the recent cycles. All use documented in Fishtalk, internal system for veterinary responsible and in paper sheet at site |
| | | b. Calculate antibiotic load (antibiotic load = the sum of the total amount of active ingredient of antibiotic used in kg) for most recent production cycle and for the two previous production cycles. For first audit, calculation must cover one full production cycle immediately prior to the current cycle | | NA | 1 treatment with Florfenicol antibiotic used the recent cycles. All use documented in Fishtalk, internal system for veterinary responsible and in paper sheet at site |

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| | **Requirement:** Yes [111], within five years of the publication of the SAD standard (i.e. full compliance by June 13, 2017)<br><br>**Applicability:** All | c. Provide the auditor with calculations showing that the antibiotic load of the most recent production cycle is at least 15% less than that of the average of the two previous production cycles. | | NA | 1 treatment with Florfenicol antibiotic used the recent cycles. All use documented in Fishtalk, internal system for veterinary responsible and in paper sheet at site |
| | | d. Submit data on antibiotic load to ASC as per Appendix VI (if applicable) for each production cycle. | Submitted to ASC in email dt.24.01.17 | Compliant | Submitted to ASC in email dt.24.01.17 |
| | | e. Others, please describe | | | |
| 5.2.11 | **Indicator**: Presence of documents demonstrating that the farm has provided buyers [112] of its salmon a list of all therapeutants used in production<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Prepare a procedure which outlines how the farm provides buyers [112] of its salmon with a list of all therapeutants used in production (see 4.4.3b). | Internal Procedure in QMS Traceability procedure defines information flow within the company and to customers There is a procedure, ID 484, making of tracability document for fish (CV) . Example from Anevik shown during audit, dated 15.04.16, Use of Floraqpharma 13.-22.03.15 for Suempol, invoice dated 15.04.16 | Compliant | |
| | | b. Maintain records showing the farm has informed all buyers of its salmon about all therapeutants used in production. | Internal Procedure in QMS Traceability procedure defines information flow within the company. There is a procedure, ID 484, making of tracability document for fish (CV) . Example from Anevik shown during audit, dated 15.04.16, Use of Floraqpharma 13.-22.03.15 for Suempol, invoice dated 15.04.16. Anesthetics is included | Compliant | |
| | | c. Others, please describe | | | |
| *Criterion 5.3 Resistance of parasites, viruses and bacteria to medicinal treatments* | | | | | |
| 5.3.1 | **Indicator**: Bio-assay analysis to determine resistance when two applications of a treatment have not produced the expected effect<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. In addition to recording all therapeutic treatments (5.2.1a), keep a record of all cases where the farm uses two successive medicinal treatments. | | NA | Prosedure defined if resistance occur " Prosedyre for bekjempelse av lus ved nedsatt følsomhet mot legemidler".<br>1 treatment with Florfenicol antibiotic used the recent cycles. Slice and H20 treatments against sealice.<br>No consecutive treatments done in present cycle without desired effect. |
| | | b. Whenever the farm uses two successive treatments, keep records showing how the farm evaluates the observed effect of treatment against the expected effect of treatment. | | NA | Prosedure defined if resistance occur " Prosedyre for bekjempelse av lus ved nedsatt følsomhet mot legemidler".<br>1 treatment with Florfenicol antibiotic used the recent cycles. Slice and H20 treatments against sealice.<br>No consecutive treatments done in present cycle without desired effect. |
| | | c. For any result of 5.3.1b that did not produce the expected effect, ensure that a bio-assay analysis of resistance is conducted. | | NA | No consecutive treatments done in present cycle without desired effect. |
| | | d. Keep a record of all results arising from 5.3.1c. | | NA | No consecutive treatments done in present cycle without desired effect. |
| | | e. Others, please describe | | | |

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| 5.3.2 | **Indicator**: When bio-assay tests determine resistance is forming, use of an alternative, permitted treatment, or an immediate harvest of all fish on the site<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Review results of bio-assay tests (5.3.1d) for evidence that resistance has formed. If yes, proceed to 5.3.2b. If no, then Indicator 5.3.2 is not applicable. | | NA | Bioassays performed routinly as part of planned strategy before sea lice treatments are done to pick a therapautant that has the highest expexcted effect. Bioassays not needed after performed treatments as a consequens of resistence developed against used therapautant. No consecutive treatments done in present cycle without desired effect. |
| | | b. When bio-assay tests show evidence that resistance has formed, keep records showing that the farm took one of two actions:<br>- used an alternative treatment (if permitted in the area of operation); or<br>- immediately harvested all fish on site. | | NA | Bioassays performed routinly as part of planned strategy before sea lice treatments are done to pick a therapautant that has the highest expexcted effect. Bioassays not needed after performed treatments as a consequens of resistence developed against used therapautant. No consecutive treatments done in present cycle without desired effect.<br>Records available in server for each site |
| | | c. Others, please describe | | | |
| *Criterion 5.4 Biosecurity management [113]* | | | | | |
| 5.4.1 | **Indicator**: Evidence that all salmon on the site are a single-year class [114]<br><br>**Requirement:** 100% [115]<br><br>**Applicability:** All farms except as noted in [115] | a. Keep records of the start and end dates of periods when the site is fully fallow after harvest. | In Fish Talk and stocking/harvest reports.<br>Last harvest date 13G: 22.12.14, First stocking date 15G: 21.05.15 Last stocking date 15G: 27.05.15<br>Fallowing periode 23.12.14 - 21.05.15 | Compliant | |
| | | b. Provide evidence of stocking dates (purchase receipts, delivery records) to show that there were no gaps > 6 months for smolt inputs for the current production cycle. | In Fish Talk and stocking/harvest reports.<br>First stocking date 15G: 21.05.15 Last stocking date 15G: 27.05.15 | Compliant | |
| | | - | Ova CVs, Smolt CVs, smolts health cerificates, all information available in Fishtalk. | Compliant | |
| | | d. Others, please describe | | | |
| 5.4.2 | **Indicator**: Evidence that if the farm suspects an unidentifiable transmissible agent, or if the farm experiences unexplained | a. For mortality events logged in 5.1.4a, show evidence that the farm promptly evaluated each to determine whether it was a statistically significant increase over background mortality rate on a monthly basis [116]. The accepted level of significance (for example, $p < 0.05$) should be agreed between farm and CAB. | Continuos evaluation. No events of UIA category mortality categorised nor suspected at farm. Ref to indicator 5.1.4a for details of monitoring. | Compliant | |
| | | b. For mortality events logged in 5.1.4a, record whether the farm did or did not suspect (yes or no) an unidentified transmissible agent. | | NA | Continuos evaluation. No events of UIA category mortality categorised nor suspected at farm. Ref to indicator 5.1.4a for details of monitoring. |

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| | increased mortality, [116] the farm has:<br>1. Reported the issue to the ABM and to the appropriate regulatory authority<br>2. Increased monitoring and surveillance [117] on the farm and within the ABM<br>3. Promptly [118] made findings publicly available<br><br>**Requirement:** Yes<br><br>**Applicability:** All | c. Proceed to 5.4.2d if, during the most recent production cycle, either:<br>- results from 5.4.2a showed a statistically significant increase in unexplained mortalities; or<br>- the answer to 5.4.2b was 'yes'.<br>Otherwise, Indicator 5.4.2 is not applicable. | | NA | Continuos evaluation. No events of UIA category mortality categorised nor suspected at farm. Ref to indicator 5.1.4a for details of monitoring. |
| | | d. If required, ensure that the farm takes and records the following steps:<br>1) Report the issue to the ABM and to the appropriate regulatory authority;<br>2) Increase monitoring and surveillance [117] on the farm and within the ABM; and<br>3) Promptly (within one month) make findings publicly available. | | NA | Continuos evaluation. No events of UIA category mortality categorised nor suspected at farm. Ref to indicator 5.1.4a for details of monitoring. |
| | | e. As applicable, submit data to ASC as per Appendix VI about unidentified transmissible agents or unexplained increases in mortality. If applicable, then data are to be sent to ASC on an ongoing basis (i.e. at least once per year and for each production cycle). | | NA | No UIA detected nor suspected at farm. Submitted to ASC 24.01.17 |
| | | f. Others, please describe | | | |
| 5.4.3 | **Indicator**: Evidence of compliance [119] with the OIE Aquatic Animal Health Code [120]<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Maintain a current version of the OIE Aquatic Animal Health Code on site or ensure staff have access to the most current version. | OIE AAHC presented and awareness.demonstrated. Current 2016 version of list presented. | Compliant | |
| | | b. Develop policies and procedures as needed to ensure that farm practices remain consistent with the OIE Aquatic Animal Health Code (5.4.3a) and with actions required under indicator 5.4.4. | Internal procedure in QMS on practices in accordance with OIE AHC" Described in FHP, Notification of diseases. Beredskapsplan Cermaq, Mass mortalities, ID 16" Notification of diseases. OIE AHC practices basis for NFSA regulations | Compliant | |
| | | - | Confirmed during interviews | Compliant | |
| | | d. Others, please describe | | | |
| 5.4.4 | **Indicator**: If an OIE-notifiable disease [121] is confirmed on the farm, evidence that:<br>1. the farm has, at a minimum, immediately culled the pen(s) in which the disease was detected<br>2. the farm immediately notified | a. Ensure that farm policies and procedures in 5.4.3a describe the four actions required under Indicator 5.4.4 in response to an OIE-notifiable disease on the farm. | Internal procedure in QMS on practices in accordance with OIE AHC" Described in FHP, Notification of diseases. Beredskapsplan Cermaq" Notification of diseases. | Compliant | |
| | | b. Inform the CAB if an OIE-notifiable disease has been confirmed on the farm during the current production cycle or the two previous production cycles. If yes, proceed to 5.4.4c. If no, then 5.4.4c an 5.4.4d do not apply. | | NA | No occurance of OIE-notifiable diseases. |

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| | the other farms in the ABM [122]<br>3. the farm and the ABM enhanced monitoring and conducted rigorous testing for the disease<br>4. the farm promptly [123] made findings publicly available<br><br>**Requirement:** Yes<br><br>**Applicability:** All | c. If an OIE-notifiable disease was confirmed on the farm (see 5.4.4b), then retain documentary evidence to show that the farm:<br>1) immediately culled the pen(s) in which the disease was detected;<br>2) immediately notified the other farms in the ABM [122]<br>3) enhanced monitoring and conducted rigorous testing for the disease; and<br>4) promptly (within one month) made findings publicly available. | | NA | No occurance of OIE-notifiable diseases. |
| | | d. As applicable, submit data to ASC as per Appendix VI about any OIE-notifiable disease that was confirmed on the farm. If applicable, then data are to be sent to ASC on an ongoing basis (i.e. at least once per year and for each production cycle). | | NA | No occurance of OIE-notifiable diseases. |
| | | - | | NA | No occurance of OIE-notifiable diseases. |
| | | f. Others, please describe | | | |
| **PRINCIPLE 6: DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER** | | | | | |
| *6.1 Freedom of association and collective bargaining [124]* | | | | | |
| 6.1.1 | **Indicator:** Evidence that workers have access to trade unions (if they exist) and union representative(s) chosen by themselves without managerial interference<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Workers have the freedom to join any trade union, 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. | 70% of employees organised. The right of Freedom of association is ensured. f association is ensured. The agreement with trade unions available 2016-05-01 -- 2018-04-30 | Compliant | |
| | | b. Union representatives (or worker representatives) are chosen by workers without managerial interference. ILO specifically prohibits “acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control or employers or employers’ organizations." | Worker representative of TU was elected during meeting of employees in 2016. Kim Andre Nango, Alexei Garla (deputy) representative (for Finmark Cermaq). | Compliant | |
| | | c. Trade union representatives (or worker representatives) have access to their members in the workplace at reasonable times on the premises. | TU representative have meetings with workers several times a year. The rest of the time open channel by phone and e-mail. | Compliant | |
| | | d. Be advised that workers and union representatives (if they exist) will be interviewed to confirm the above. | Interview has cofirmed information. The representative has possibility to visit farms. Management is encouraging to be organised. | Compliant | |
| | | e. Others, please describe | | | |
| 6.1.2 | **Indicator:** Evidence that workers are free to form | a. Employment contract explicitly states the worker's right of freedom of association. | The job contracts do not specifically states the right of freedom of association but it has reference to labour law,which states that right. The Labour laws are well implemented. The contract also has the link to Tariff agreement what states the right of association. | Compliant | |

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| | **W**orkers are free to form organizations, including unions, to advocate for and protect their rights<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. Employer communicates that workers are free to form organizations to advocate for and protect work rights (e.g. farm policies on Freedom of Association; see 6.12.1). | TU representative communicate about freedom of association. WEB based Personal handbook and Ethical guidelines (last revision 2016.09.12) has stated the right of association | Compliant | |
| | | c. Be advised that workers will be interviewed to confirm the above. | Interview confirms communication. All workers confirmed free possibilities to be organised. | Compliant | |
| | | d. Others, please describe | | | |
| 6.1.3 | **Indicator:** Evidence that workers are free and able to bargain collectively for their rights<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Local trade union, or where none exists a reputable civil-society organization, confirms no outstanding cases against the farm site management for violations of employees' freedom of association and collective bargaining rights. | During audit no outstanding cases identified during the interview with Trade union representative. | Compliant | |
| | | b. Employer has explicitly communicated a commitment to ensure the collective bargaining rights of all workers. | Collective bargaining is solved via consultations and Tariff agreement with trade unions available start 2016-05-01 end 2018-04-30 | Compliant | |
| | | c. There is documentary evidence that workers are free and able to bargain collectively (e.g. collective bargaining agreements, meeting minutes, or complaint resolutions). | The Tariff agreement is in place | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 6.2 Child labor* | | | | | |
| 6.2.1 | **Indicator:** Number of incidences of child [125] labor [126]<br><br>**Requirement:** None<br><br>**Applicability:** All except as noted in [125] | a. In most countries, the law states that minimum age for employment is 15 years. There are two possible exceptions:<br>- in developing countries where the legal minimum age may be set to 14 years (see footnote 125); or<br>- 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.<br>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. | Requirements of standard applies | Compliant | |
| | | b. Minimum age of permanent workers is 15 or older (except in countries as noted above). | No young workers employed during the audit | Compliant | |
| | | c. Employer maintains age records for employees that are sufficient to demonstrate compliance. | The records are in place | Compliant | |
| | | d. Others, please describe | | | |
| 6.2.2 | | a. Young workers are appropriately identified in company policies & training programs, and job descriptions are available for all young workers at the site. | Personal training is done for young workers indicating allowed and forbiden works.<br>No young workers employed during the audit. The procedure of Young workers is defined (v.11 2016-11-22) | Compliant | |

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| | **Indicator:** Percentage of young workers [127] that are protected [128]<br><br>**Requirement:** 100%<br><br>**Applicability:** All | b. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs. | Identification process in place. | Compliant | |
| | | c. Daily records of working hours (i.e. timesheets) are available for all young workers. | | N/A | Time sheets are maintained.<br>No young workers employed during the audit |
| | | d. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours. | | N/A | Young workers are working together with shifts 7 x 7 by 7.5 hours per day. The regime is agreed with authorities.<br>No young workers employed during the audit |
| | | e. Young workers are not exposed to hazards [129] and do not perform hazardous work [130]. Work on floating cages in poor weather conditions shall be considered hazardous. | | N/A | Personal training is done for young workers indicating forbiden works.<br>No young workers employed during the audit |
| | | f. Be advised that the site will be inspected and young workers will be interviewed to confirm compliance. | | N/A | Site was inspected.No young workers employed during the audit |
| | | g. Others, please describe | | | |
| *Criterion 6.3 Forced, bonded or compulsory labor* | | | | | |
| 6.3.1 | **Indicator:** Number of incidences of forced, [131] bonded [132] or compulsory labor<br><br>**Requirement:** None<br><br>**Applicability:** All | a. Contracts are clearly stated and understood by employees. Contracts do not lead to workers being indebted (i.e. no 'pay to work' schemes through labor contractors or training credit programs). | Contracts are understood. Contracts do not lead to workers being indebted. | Compliant | |
| | | b. Employees are free to leave workplace and manage their own time. | After shift workers are free to leave | Compliant | |
| | | c. Employer does not withhold employee's original identity documents. | No cases identified. | Compliant | |
| | | d. Employer does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer. | No cases identified. | Compliant | |
| | | e. Employees are not to be obligated to stay in job to repay debt. | No cases identified. | Compliant | |
| | | f. Maintain payroll records and be advised that workers will be interviewed to confirm the above. | Payroll records are maintained. | Compliant | |
| | | g. Others, please describe | | | |
| *Criterion 6.4 Discrimination [133]* | | | | | |

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| 6.4.1 | **Indicator:** Evidence of comprehensive [134] and proactive anti-discrimination policies, procedures and practices<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Employer has written anti-discrimination policy in place, stating that 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. | Ethical guidelines (last revision 2016-09-12) and Whistle blowing policy (2016-04-12). | Compliant | |
| | | b. Employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints. | Whistle blowing procedure (2016-04-12). is implemented. No discrimination cases reported. The complaints are managed according Complaint management procedure. | Compliant | |
| | | c. Employer respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises. | The equal access to job opportunities is provided. The equal pay principle is followed. The job vacancies are published. The Tariff agreement defines local salary grades and payment condition equal for all employees to get same salary for the same job and taking into consideration experience. | Compliant | |
| | | d. All managers and supervisors receive training on diversity and non-discrimination. All personnel receive non-discrimination training. Internal or external training acceptable if proven effective. | Non-discrimination training was delivered to managers and supervisors 20.04.16 and 12.05.16 (Nordland) and 24.11.16 and 01.12.16 (Finnmark). The non-discrimination training for workers has been effective. | Compliant | |
| | | e. Others, please describe | | | |
| 6.4.2 | **Indicator:** Number of incidences of discrimination<br><br>**Requirement:** None<br><br>**Applicability:** All | a. Employer maintains a record of all discrimination complaints. These records do not show evidence for discrimination. | No cases identified. | Compliant | |
| | | b. Be advised that worker 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. | The rights of employees are respected. During interview no discrimination cases reported | Compliant | |
| | | c. Others, please describe | | | |
| *Criterion 6.5 Work environment health and safety* | | | | | |
| 6.5.1 | **Indicator:** Percentage of workers trained in health and safety practices, procedures [135] and policies on a yearly basis<br><br>**Requirement:** 100% | 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. | Documentation is developed and is available in places. | Compliant | |
| | | b. Employees know and understand emergency response procedures. | Employees know emergency respond procedures.<br>Drills on emergency preparedness are organised(2015-October).<br>Drills reports are available on the sites. All workes have 50hrs traing in Safety training for work on sea | Compliant | |

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| | **Requirement:** 100%<br><br>**Applicability:** All | 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. | Employees are trained and annual refreshment trainings are organised during risk analysis. Training records are maintained.<br>Evaluation of the H&S risks and the training for employees took place 2016-07-22. | Compliant | |
| | | d. Others, please describe | | | |
| 6.5.2 | **Indicator:** Evidence that workers use Personal Protective Equipment (PPE) effectively<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Employer maintains a list of all health and safety hazards (e.g. chemicals). | The list of hazards are listed in risk register as result of risk analysis in 2016-07-022 | Compliant | |
| | | b. Employer provides workers with PPE that is appropriate to known health and safety hazards. | PPE is provided. | Compliant | |
| | | c. Employees receive annual training in the proper use of PPE (see 6.5.1c). For workers who participated in the initial training(s) previously an annual refreshment training may suffice, unless new PPE has been put to use. | The training in proper use of PPE use is done | Compliant | |
| | | d. Be advised that workers will be interviewed to confirm the above. | Interview confirms PPE management. | Compliant | |
| | | e. Others, please describe | | | |
| 6.5.3 | **Indicator:** Presence of a health and safety risk assessment and evidence of preventive actions taken<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Employer makes regular assessments of hazards and risks in the workplace. Risk assessments are reviewed and updated at least annually (see also 6.5.1a). | The list of hazards is maintained in risk register as result of risk analysis in 2016-06-21<br>There are no young workers enployed on the site during the audit. As the employment of young workers occurs periodically,especialy summer time the companies dedicated procedures are inplemented. Lack of evidences that risk analysis for young employees was conducted according the company procedures of Young workers (2016-11-22) and procedure of Risk Assessment. A sceme has been made to document that young workers are trained in RA's on site. There have been no young workers on site since 2015 | Compliant | |
| | | b. Employees are trained in how to identify and prevent known hazards and risks (see also 6.5.1c). | Employees are trained and annual refreshment trainings are organised during risk analysis. Training records are maintained.<br>Evaluation of the H&S risks and the training for employees took place 2015-08-12 | Compliant | |
| | | c. Health and safety procedures are adapted based on results from risk assessments (above) and changes are implemented to help prevent accidents. | OHS procedures are adapted after relevant accidents or once a year. | Compliant | |
| | | d. Others, please describe | | | |
| 6.5.4 | | a. Employer records all health- and safety-related accidents. | Company level electronic database INTELEX is managed with records for all H&S and environmental accidents and near accidents. Monthly discussions on H&S incidents are taken at sites. | Compliant | |

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| | **Indicator:** Evidence that all health- and safety-related accidents and violations are recorded and corrective actions are taken when necessary<br><br>**Requirement:** Yes<br><br>**Applicability:** All | b. Employer maintains complete documentation for all occupational health and safety violations and investigations. | Company level electronic database INTELEX is managed with records for all H&S and environmental accidents and near accidents and their investigation. | Compliant | |
| | | 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. | Corrective action plans are managed by INTELEX | Compliant | |
| | | d. Employees working in departments where accidents have occurred can explain what analysis has been done and what steps were taken or improvements made. | The analysis is understood and improvements are implemented. | Compliant | |
| | | e. Others, please describe | | | |
| 6.5.5 | **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<br>**Requirement:** Yes<br>**Applicability:** All | a. Employer maintains documentation to confirm that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must include temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance. | The analysis is understood and improvements are implemented. | Compliant | |
| | | b. Others, please describe | | | |
| 6.5.6 | **Indicator:** Evidence that all diving operations are conducted by divers who are certified<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Employer keeps records of farm diving operations and a list of all personnel involved. In case an external service provider was hired, a statement that provider conformed to all relevant criteria must be made available to the auditor by this provider. | The records of diving activities maintained on site.<br>The self-assessment form was filled by the diving company is based on GLOBAL GAP requirement. Ethical guidelines are signed by the diving company. Procedure for Diving activities dated 29.06.16 | Compliant | |
| | | b. Employer maintains evidence of diver certification (e.g. copies of certificates) for each person involved in diving operations. Divers shall be certified through an accredited national or international organization for diver certification. | Copies of divers' certificates are maintained. | Compliant | |
| | | c. Others, please describe | | | |
| *Criterion 6.6 Wages* | | | | | |
| 6.6.1 | | 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. | Documents are available at the company. The Tariff agreement is the minimum salary. | Compliant | |

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| | **Indicator:** The percentage of workers whose basic wage [136] (before overtime and bonuses) is below the minimum wage [137]<br><br>**Requirement:** 0 (None)<br><br>**Applicability:** All | b. Employer's records (e.g. payroll) confirm that worker's wages for a standard work week (≤ 48 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show 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. | Wages meet legal minimum wage. | Compliant | |
| | | c. Maintain documentary evidence (e.g. payroll, timesheets, punch cards, production records, and/or utility records) and be advised that workers will be interviewed to confirm the above. | The information is available per employee. Documentary evidence is in place. | Compliant | |
| | | d. Others, please describe | | | |
| 6.6.2 | **Indicator:** Evidence that the employer is working toward the payment of basic needs wage [138]<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Proof of employer engagement with workers and their representative organizations, and the use of cost of living assessments from credible sources to assess basic needs wages. Includes review of any national basic needs wage recommendations from credible sources such as national universities or government. | The assessment of cost of living were conducted. | Compliant | |
| | | b. Employer has calculated the basic needs wage for farm workers and has compared it to the basic (i.e. current) wage for their farm workers. | The calculations and comparison are done. The company wages are above BNW. | Compliant | |
| | | c. Employer demonstrates how they have taken steps toward paying a basic needs wage to their workers. | Wages exceed basic needs wage. | Compliant | |
| | | d. Others, please describe | | | |
| 6.6.3 | **Indicator:** Evidence of transparency in wage-setting and rendering [139]<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Wages and benefits are clearly articulated to workers and documented in contracts. | The contracts of employees has appendix defining the bonus application. The bonuses are defined in Bonus 2016 document. Excample seen during audit | Compliant | |
| | | b. The method for setting wages is clearly stated and understood by workers. | The clearly understood by workers. | Compliant | |
| | | 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. | Wages are transferred to personal bank accounts | Compliant | |
| | | d. Be advised that workers will be interviewed to confirm the above. | Interview has confirmed information about wages | Compliant | |
| | | e. Others, please describe | | | |
| *Criterion 6.7 Contracts (labor) including subcontracting* | | | | | |
| 6.7.1 | **Indicator:** Percentage of | a. Employer maintains a record of all employment contracts. | Contracts available, records maintained. | Compliant | |

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| | workers who have contracts [141]<br><br>**Requirement:** 100%<br><br>**Applicability:** All | b. There is no evidence for labor-only contracting relationships or false apprenticeship schemes. | No evidences | Compliant | |
| | | c. Be advised that workers will be interviewed to confirm the above. | Interview confirms legal employment by contracts. | Compliant | |
| | | d. Others, please describe | | | |
| 6.7.2 | **Indicator:** Evidence of a policy to ensure social compliance of its suppliers and contractors<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Farm has a policy to ensure that all companies contracted to provide supplies or services (e.g. divers, cleaning, maintenance) have socially responsible practices and policies. | Procedure for Classification of suppliers is used for approval of suppliers and sub-contractors ( (2016-06-13)) The questionnaire is updated 2016-04-27 and will be statrted to use since 2016-03. | Compliant | |
| | | b. Producing company has criteria for evaluating its suppliers and contractors. The company keeps a list of approved suppliers and contractors. | The criteria is defined in procedure of approval of suppliers and sub-contractors (2016-06-13).<br>The List of suppliers and subcontractors is updated according new criteria related to Social accountability. | Compliant | |
| | | c. Producing company keeps records of communications with suppliers and subcontractors that relate to compliance with 6.7.2. | The reference to Ethical guidelines for suppliers was sent to suppliers and subcontractors. | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 6.8 Conflict resolution* | | | | | |
| 6.8.1 | **Indicator:** Evidence of worker access to effective, fair and confidential grievance procedures<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Employer has a clear labor conflict resolution policy for the presentation, treatment, and resolution of worker grievances in a confidential manner. | Procedure of Conflict resolution (2015-01-19) defines ways of communication of conflicts. | Compliant | |
| | | b. Workers are familiar with the company's labor conflict policies and procedures. There is evidence that workers have fair access. | Workers are familiar with policy and procedure for conflicts resolution. | Compliant | |
| | | c. Maintain documentary evidence (e.g. complaint or grievance filings, minutes from review meetings) and be advised that workers will be interviewed to confirm the above. | No conflict situation at farm identified. | Compliant | |
| | | d. Others, please describe | | | |
| 6.8.2 | **Indicator:** Percentage of grievances handled that are addressed [142] within a 90-day timeframe<br><br>**Requirement:** 100%<br><br>**Applicability:** All | a. Employer maintains a record of all grievances, complaints and labor conflicts that are raised. | The system of handling of grievances, complaints and labour conflicts is in place. No cases identified at the farm. | Compliant | |
| | | b. Employer keeps a record of follow-up (i.e. corrective actions) and timeframe in which grievances are addressed. | The system of handling of grievances, complaints and labour conflicts is in place. No cases identified at the farm. | Compliant | |
| | | c. Maintain documentary evidence and be advised that workers will be interviewed to confirm that grievances are addressed within a 90-day timeframe. | No cases identified at the farm. | Compliant | |
| | | d. Others, please describe | | | |

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| *Criterion 6.9 Disciplinary practices* | | | | | |
| 6.9.1 | **Indicator:** Incidences of excessive or abusive disciplinary actions<br><br>**Requirement:** None<br><br>**Applicability:** All | a. Employer does not use threatening, humiliating or punishing disciplinary practices that negatively impact a worker's physical and mental health or dignity. | The disciplinary verbal and written warnings may be used in case of misbehaviour during the work.<br>No cases of improper disciplinary behaviour. | Compliant | |
| | | b. Allegations of corporeal punishment, mental abuse [144], physical coercion, or verbal abuse will be investigated by auditors. | No cases identified. | Compliant | |
| | | c. Be advised that workers will be interviewed to confirm there is no evidence for excessive or abusive disciplinary actions. | Interview has confirmed no cases of improper disciplinary behaviour. | Compliant | |
| | | d. Others, please describe | | | |
| 6.9.2 | **Indicator:** Evidence of a functioning disciplinary action policy whose aim is to improve the worker [143]<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker [143]. | Disciplinary policy is defined in Personal handbook. | Compliant | |
| | | b. Maintain documentary evidence (e.g. worker evaluation reports) and be advised that workers will be interviewed to confirm that the disciplinary action policy is fair and effective. | No cases identified at the farm. Company has the working disciplinary system. | Compliant | |
| | | c. Others, please describe | | | |
| *Criterion 6.10 Working hours and overtime* | | | | | |
| 6.10.1 | **Indicator:** Incidences, violations or abuse of working hours and overtime laws [145]<br><br>**Requirement:** None<br><br>**Applicability:** All | a. Employer has 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. | The time scheme 1:1 is used. (7 days x 10 hours and 7 days-off). It is approved by ASC. The OT limits are defined by Labour law. | Compliant | |
| | | b. Records (e.g. time sheets and payroll) show that farm workers do not exceed the number of working hours allowed under the law. | Records are in place. | Compliant | |
| | | 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). | The work in shifts is applied. | Compliant | |
| | | d. Be advised that workers will be interviewed to confirm there is no abuse of working hours and overtime laws. | Interview has confirmed scheme 1:1 use. | Compliant | |
| | | e. Others, please describe | | | |

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| 6.10.2 | **Indicator:** Overtime is limited, voluntary [146], paid at a premium rate and restricted to exceptional circumstances<br><br>**Requirement:** Yes<br><br>**Applicability:** All except as noted in [146] | a. Payment records (e.g. payslips) show that workers are paid a premium rate for overtime hours. | Overtime for workers is paid at premium rate as could be seen in payslips. | Compliant | |
| | | 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). | The timesheets are in place. | Compliant | |
| | | c. Be advised that workers will be interviewed to confirm that all overtime is voluntary except where there is a collective bargaining agreement which specifically allows for compulsory overtime. | In most cases overtime is voluntary, except for in advanced planned activities like harvesting. | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 6.11 Education and training* | | | | | |
| 6.11.1 | **Indicator:** Evidence that the company encourages and sometimes supports education initiatives for all workers (e.g., courses, certificates and degrees)<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Company has written policies related to continuing education of workers. Company provides incentives (e.g. subsidies for tuition or textbooks, time off prior to exams, flexibility in work schedule) that encourage workers to participate in educational initiatives. Note that such offers may be contingent on workers committing to stay with the company for a pre-arranged time. | Company encourages the workers to participate in additional training based on Work environment policy. The Tariff agreement define the support that company would provide for employees. | Compliant | |
| | | b. Employer maintains records of worker participation in educational opportunities as evidenced by course documentation (e.g. list of courses, curricula, certificates, degrees). | Training records maintained on site. | Compliant | |
| | | c. Be advised that workers will be interviewed to confirm that educational initiatives are encouraged and supported by the company. | Interview confirms that company supports education initiatives. | Compliant | |
| | | d. Others, please describe | | | |
| *Criterion 6.12 Corporate policies for social responsibility* | | | | | |
| 6.12.1 | **Indicator:** Demonstration of company-level [148] policies in line with the standards under 6.1 to 6.11 above<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Company-level policies are in line with all social and labor requirements presented in 6.1 through 6.11. | Company level policies are available and are in line with requirements of the standard. | Compliant | |
| | | b. Company-level policies (see 6.12.1a) are approved by the company headquarters in the region where the site applying for certification is located. | Policies are approved. | Compliant | |
| | | c. The scope of corporate policies (see 6.12.1a) covers all company operations relating to salmonid production in the region (i.e. all smolt production facilities, grow-out facilities and processing plants). | The policies cover all company operations. | Compliant | |
| | | d. The site that is applying for certification provides auditors with access to all company-level policies and procedures as are needed to verify compliance with 6.12.1a (above). | The access is provided. | Compliant | |
| | | e. Others, please describe | | | |
| **PRINCIPLE 7: BE A GOOD NEIGHBOR AND CONSCIENTIOUS CITIZEN** | | | | | |

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| *Criterion 7.1 Community engagement* | | | | | |
| 7.1.1 | **Indicator:** Evidence of regular and meaningful [149] consultation and engagement with community representatives and organizations<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. The farm pro-actively arranges for consultations with the local community at least twice every year (bi-annually). | The invitation was sent in 2015-10-05. The meeting was organised on 2015-11-05. Last meeting held on 19.11.16. Invitation 16.09.16 | Compliant | |
| | | b. Consultations are meaningful. OPTIONAL: the farm may choose to use participatory Social Impact Assessment (pSIA) or an equivalent method for consultations. | Consultations have included main points required by the standard. | Compliant | |
| | | c. Consultations include participation by representatives from the local community who were asked to contribute to the agenda. | The participants from local community have participated in consultation. | Compliant | |
| | | d. Consultations include communication about, or discussion of, the potential health risks of therapeutic treatments (see Indicator 7.1.3). | Consultations have included main points required by the standard. | Compliant | |
| | | e. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above. | The invitation and minutes of meeting are available. | Compliant | |
| | | f. Be advised that representatives from the local community and organizations may be interviewed to | | N/A | Interviews were not organised |
| | | g. Others, please describe | | | |
| 7.1.2 | **Indicator:** Presence and evidence of an effective [150] policy and mechanism for the presentation, treatment and resolution of complaints by community stakeholders and organizations<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. Farm policy provides a mechanism for presentation, treatment and resolution of complaints lodged by stakeholders, community members, and organizations. | The complaints are managed by communication plan v.7 2016-06-02. | Compliant | |
| | | 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). | No complaints related to farm. | Compliant | |
| | | c. The farm's mechanism for handling complaints is effective based on resolution of stakeholder complaints (e.g. follow-up correspondence from stakeholders). | No complaints related to farm received. | Compliant | |
| | | d. Be advised that representatives from the local community, including complaintants where applicable, may be interviewed to confirm the above. | | N/A | No interview organised |
| | | e. Others, please describe | | | |
| 7.1.3 | **Indicator:** Evidence that the farm has posted visible notice [151] at the farm during times of therapeutic treatments and has, as part of consultation with communities under 7.1.1, communicated about potential health risks from treatments<br><br>**Requirement:** Yes | a. Farm has a system for posting notifications at the farm during periods of therapeutic treatment. (use of aneastatic baths is not regarded a therapeutant) | The signs are available. | Compliant | |
| | | b. Notices (above) are posted where they will be visible to affected stakeholders (e.g. posted on waterways for fishermen who pass by the farm). | Signs at site are used. | Compliant | |
| | | c. Farm communicates about the potential health risks from treatments during community consultations (see 7.1.1) | See 7.1.1 b) | Compliant | |

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| | **Requirement:** Yes<br><br>**Applicability:** All | d. Be advised that members of the local community may be interviewed to confirm the above. | | N/A | No interview organised |
| | | e. Others, please describe | | | |
| *Criterion 7.2 Respect for indigenous and aboriginal cultures and traditional territories* | | | | | |
| 7.2.1 | **Indicator:** Evidence that indigenous groups were consulted as required by relevant local and/or national laws and regulations<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms that operate in indigenous territories or in proximity to indigenous or aboriginal people [152] | a. Documentary evidence establishes that the farm does or does not operate in an indigenous territory (to include farms that operate in proximity to indigenous or aboriginal people [152]). If not then the requirements of 7.2.1 do not apply. | | N/A | The licence application process includes the assessment of being on territory or in proximity to indigenous or aboriginal people.<br>No traditional and indigenous groups are involved. |
| | | b. Farm management demonstrates an understanding of relevant local and/or national laws and regulations that pertain to consultations with indigenous groups. | | N/A | No traditional and indigenous groups are involved. |
| | | c. As required by law in the jurisdiction:<br>- farm consults with indigenous groups and retains documentary evidence (e.g. meeting minutes, summaries) to show how the process complies with 7.2.1b;<br>OR<br>- farm confirms that government-to-government consultation occurred and obtains documentary evidence. | | N/A | No traditional and indigenous groups are involved. |
| | | d. Be advised that representatives from indigenous groups may be interviewed to confirm the above. | | N/A | No traditional and indigenous groups are involved. |
| | | e. Others, please describe | | | |
| 7.2.2 | **Indicator:** Evidence that the farm has undertaken proactive consultation with indigenous communities<br>**Requirement:** Yes [152]<br>**Applicability:** All farms that operate in indigenous territories or in proximity to indigenous or aboriginal people [152] | a. See results of 7.2.1a (above) to determine whether the requirements of 7.2.2 apply to the farm. | | N/A | No traditional and indigenous groups are involved. |
| | | b. Be advised that representatives from indigenous communities may be interviewed to confirm that the farm has undertaken proactive consultations. | | N/A | No traditional and indigenous groups are involved. |
| | | c. Others, please describe | | | |
| 7.2.3 | **Indicator:** Evidence of a protocol agreement, or an active | a. See results of 7.2.1a (above) to determine whether the requirements of 7.2.3 apply to the farm. | | N/A | No traditional and indigenous groups are involved. |

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| | process [153] to establish a protocol agreement, with indigenous communities<br><br>**Requirement:** Yes<br><br>**Applicability:** All farms that operate in indigenous territories or in proximity to indigenous or aboriginal people [152] | b. Maintain evidence to show that the farm has either:<br>1) reached a protocol agreement with the indigenous community and this fact is documented; or<br>2) continued engagement in an active process [153] to reach a protocol agreement with the indigenous community. | | N/A | No traditional and indigenous groups are involved. |
| | | c. Be advised that representatives from indigenous communities may be interviewed to confirm either 7.2.3b1 or b2 (above) as applicable. | | N/A | No traditional and indigenous groups are involved. |
| | | d. Others, please describe | | | |
| *Criterion 7.3 Access to resources* | | | | | |
| 7.3.1 | **Indicator:** Changes undertaken restricting access to vital community resources [154] without community approval<br><br>**Requirement:** None<br><br>**Applicability:** All | a. Resources that are vital [155] to the community have been documented and are known by the farm (i.e. through the assessment process required under Indicator 7.3.2). | The resources that are vital for community are known by the site. It was communicated during the application to get the licence to start the sites. | Compliant | |
| | | b. The farm seeks and obtains community approval before undertaking changes that restrict access to vital community resources. Approvals are documented. | The community approval for resources was done during operation application processing to start the sites. | Compliant | |
| | | c. Be advised that representatives from the community may be interviewed to confirm that the farm has not restricted access to vital resources without prior community approval. | | N/A | No interview were used with stakeholders |
| | | d. Others, please describe | | | |
| 7.3.2 | **Indicator:** Evidence of assessments of company's impact on access to resources<br><br>**Requirement:** Yes<br><br>**Applicability:** All | a. There is a documented assessment of the farm's impact upon access to resources. Can be completed as part of community consultations under 7.1.1. | It is communicated during the application processing to start the sites. | Compliant | |
| | | b. Be advised that representatives from the community may be interviewed to generally corroborate the accuracy of conclusions presented in 7.3.2a. | | N/A | No interview were used with stakeholders |
| | | c. Others, please describe | | | |
| **INDICATORS AND STANDARDS FOR SMOLT PRODUCTION** | | | | | |
| **SECTION 8: STANDARDS FOR SUPPLIERS OF SMOLT** | | | **10948 Grytåga** | | |
| *Standards related to Principle 1* | | | **Audit evidence**<br>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.<br>2. Replace explanitory text in the 'Audit Evidence' column as appropriate.<br>3. If you see any Compliance Criteria which is not listed below, please describe in the blue cells below. | **Evaluation**<br>(Per indicator, select one category in the drop-down menu) | **Justification of classification of NC**<br>Provide an explanation of the reason(s) for the classification of any NCs or non-applicability |

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| 8.1 | | a. Identify all of the farm's smolt suppliers. For each supplier, identify the type of smolt production system used (e.g. open, semi or closed systems) and submit this information to ASC (Appendix VI). | Semiclosed system. Submitted ASC. Confirmed by ASC in mail 03.02.16 | Compliant | |
| | **Indicator**: Compliance with local and national regulations on water use and discharge, specifically providing permits related to water quality<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | b. Where legal authorisation related to water quality are required, obtain copies of smolt suppliers' permits. | Nordland Fylkeskommune dt. 25.05.10 for<br>Max 760t MT feed / 8 mill smolts. No additional cleaning requirements for discharge water.<br>Water from HE power plant<br>Fylkesmannen Nordland discharge permit dt. 14.12.09. | Compliant | |
| | | c. Obtain records from smolt suppliers showing monitoring and compliance with discharge laws, regulations, and permit requirements as required. | Fiskeridirektoratet inspection 26.08.15. No NCs given, only 1 obsevation<br>No NCs or issues pending, regarding discharge.<br>NFSA inspection 24.06.15. 2 NCs detected. Corrective actions performed NCs closed from NFSA in report dt.05.10.15 | Compliant | |
| | | - | Fylkesmannen permit and Resipient survey performed by Helgeland Havbruksstasjon AS 15.02.2013. Result category 1 very good.<br>Resipient survey performed by Helgeland Havbruksstasjon AS 18.04.15 Result category 1 very good. | Compliant | |
| | | e. Others, please describe | | | |
| 8.2 | | a. Obtain declarations from smolt suppliers affirming compliance with labor laws and regulations. | Grytåga statement dt 15.01.15 presented on labor issues. Internal rules in "Arbeidsreglement" and public regulations. OHAS isssues, alsoin OHAS Policy. Internal OHAS inspections performed twice a year, included elected employee representative. | Compliant | |

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| | **Indicator**: Compliance with labor laws and regulations<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | b. Keep records of supplier inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of operation; see 1.1.3a) | Inspections relating to labour conditions/issues has been held l. (ref. statement 15.01.15. NCs raised in inspection, NC closed) | Compliant | |
| | | c. Others, please describe | | | |
| *Standards related to Principle 2* | | | | | |
| 8.3 | **Indicator**: Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains the same components as the assessment for grow-out facilities under 2.4.1<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. Obtain from the smolt supplier(s) a documented assessment of the smolt site's potential impact on biodiversity and nearby ecosystems. The assessment must address all components outlined in Appendix I-3. | Resipient survey performed by Helgeland Havbruksstasjon AS 15.02.2013. Result category 1 very good.<br>Resipient survey performed by Helgeland Havbruksstasjon AS 18.04.15 Result category 1 very good.<br>Site Risk assessment id 1.10.10 Impact assessment in license apllication.<br>Environmental risks with contingency plans and referaeces to relevant public regulations and national legislation. | Compliant | |
| | | b. Obtain from the smolt supplier(s) a declaration confirming they have developed and are implementing a plan to address potential impacts identified in the assessment. | Resipient survey performed by Helgeland Havbruksstasjon AS 15.02.2013. Result category 1 very good.<br>Site Risk assessment id 1.10.10 Impact assessment in license apllication.<br>Environmental risks with contingency plans and referaeces to relevant public regulations and national legislation.<br>Grytåga statement dt 15.01.15 | Compliant | |
| | | c. Others, please describe | | | |
| 8.4 | | a. Obtain records from smolt suppliers showing amount and type of feeds used for smolt production during the past 12 months. | Production reports and records in Fish Talk<br>734 423 kg feed for period 01.01.15 - 31.12.15 | Compliant | |
| | **Indicator**: Maximum total amount of phosphorus released | b. For all feeds used by the smolt suppliers (result from 8.4a), keep records showing phosphorus content as determined by chemical analysis or based on feed supplier declaration (Appendix VIII-1). | Skretting and Biomar and Polar feed. Declaration per feed type and particle size frorm feed supplier. (Values for different feed types ranging from Skretting 1,5% , Biomar 1,6 - 1,7% Polarfeed 1.2 - 1,6 %, phosphorus content | Compliant | |

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| | amount of phosphorus released into the environment per metric ton (mt) of fish produced over a 12-month period (see Appendix VIII-1)<br><br>**Requirement:** 5 kg/mt of fish produced over a 12-month period; within three years of publication of the SAD standards, 4 kg/mt of fish produced over a 12-month period<br><br>**Applicability:** All Smolt Producers | c. Using the equation from Appendix VIII-1 and results from 8.4a and b, calculate the total amount of phosphorus added as feed during the last 12 months of smolt production. | Calculated: 11 794 kg total amount of phosphorus added as feed. | Compliant | |
| | | d. Obtain from smolt suppliers records for stocking, harvest and mortality which are sufficient to calculate the amount of biomass produced (formula in Appendix VIII-1) during the past 12 months. | Records for stocking, harvest and mortality which are sufficient to calculate the amount of biomass produced are available.<br>735 335 kg biomass production. | Compliant | |
| | | e. Calculate the amount of phosphorus in fish biomass produced (result from 8.4d) using the formula in Appendix VIII-1. | 3161 kg phosphorus in fish biomass produced.<br>Calculations are correct. | Compliant | |
| | | f. If applicable, obtain records from smolt suppliers showing the total amount of P removed as sludge (formula in Appendix VIII-1) during the past 12 months. | No sludge produced/removed | Compliant | |
| | | g. Using the formula in Appendix VIII-1 and results from 8.4a-f (above), calculate total phosphorus released per ton of smolt produced and verify that the smolt supplier is in compliance with requirements. | 8633 kg phosphorus released<br>Calculated: 11,7 kg P / mt.<br>Reference is made to VR 39 on phosphoru release to sea confirmed by ASC. See www.asc-aqua.org for VR 39 determination by ASC dt.15.09.14 | Compliant | |
| | | h. Others, please describe | | | |
| *Standards related to Principle 3* | | | | | |
| 8.5 | | a. Obtain written evidence showing whether the smolt supplier produces a non-native species or not. If not, then Indicator 8.5 does not apply. | | NA | S. salar native to region. |
| | | b. Provide the farm with documentary evidence that the non-native species was widely commercially produced in the area before publication of the SAD Standard. (See definition of area under 3.2.1 ). | | NA | S. salar native to region. |
| | **Indicator**: If a non-native species is being produced, the species shall have been widely commercially produced in the area prior to the publication [156] of the SAD standards<br><br>**Requirement:** Yes [157]<br><br>**Applicability:** All Smolt Producers except as noted in [157] | c. If the smolt supplier cannot provide the farm with evidence for 8.5b, provide documentary evidence that the farm uses only 100% sterile fish. | | NA | S. salar native to region. |
| | | d. If the smolt supplier cannot provide the farm with evidence for 8.5b or 8.5c, provide documented evidence for each of the following:<br>1) non-native species are separated from wild fish by effective physical barriers that are in place and well maintained;<br>2) barriers ensure there are no escapes of reared fish specimens that might survive and subsequently reproduce; and<br>3) barriers ensure there are no escapes of biological material that might survive and subsequently reproduce. | | NA | S. salar native to region. |
| | | e. Retain evidence as described in 8.5a-d necessary to show compliance of each facility supplying smolt to the | | NA | S. salar native to region. |
| | | f. Others, please describe | | | |

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| 8.6 | **Indicator**: Maximum number of escapees [158] in the most recent production cycle<br><br>**Requirement:** 300 fish [159]<br><br>**Applicability:** All Smolt Producers except as noted in [159] | a. Obtain documentary evidence to show that smolt suppliers maintained monitoring records of all incidences of confirmed or suspected escapes, specifying date, cause, and estimated number of escapees. | No escaped according to internal statement. Internal Risk Assessment with instruction for registration and reporting. No incident reported. Verified by Fisheries Directorate escape incidents overviw (www.F.Dir.no) | Compliant | |
| | | b. Using smolt supplier records from 8.6a, determine the total number of fish that escaped. Verify that there were fewer than 300 escapees from the smolt production facility in the most recent production cycle. | No incident reported. Verified by Fisheries Directorate escape incidents overviw (www.F.Dir.no) | Compliant | |
| | | c. Inform smolt suppliers in writing that monitoring records described in 8.6a must be maintained for at least 10 years beginning with the production cycle for which the farm is first applying for certification (necessary for farms to be eligible to apply for the exception noted in [159]). | External smolt supplier. All records in Fish Talk | Compliant | |
| | | d. If an escape episode occurs at the smolt production facility (i.e. an incident where > 300 fish escaped), the farm may request a rare exception to the Standard [159]. Requests must provide a full account of the episode and must document how the smolt producer could not have predicted the events that caused the escape episode. | Internal Risk Assessment with instruction for registration and reporting. No incident reported. Verified by Fisheries Directorate escape incidents overviw (www.F.Dir.no) | Compliant | |
| | | e. Others, please describe | | | |
| 8.7 | **Indicator**: Accuracy [160] of the counting technology or counting method used for calculating the number of fish<br><br>**Requirement:** ≥98%<br><br>**Applicability:** All Smolt Producers | a. Obtain records showing the accuracy of the counting technology used by smolt suppliers. Records must include copies of spec sheets for counting machines and common estimates of error for hand-counts. | Last secure point of counting in vaccination in FW site. AquaScan electronic counting/registartion system documents presented. Decl +/- max 2%. Verified by provider specsifications. | Compliant | |
| | | b. Review records to verify that accuracy of the smolt supplier's counting technology or counting method is ≥ 98%. | Last secure point of counting in vaccination in FW site. AquaScan electronic counting/registartion system documents presented. Decl +/- max 2%. Verified by provider specsifications. | Compliant | |
| | | c. Others, please describe | | | |
| *Standards related to Principle 4* | | | | | |
| 8.8 | **Indicator**: Evidence of a functioning policy for proper and responsible treatment of non-biological waste from production (e.g., disposal and recycling)<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. From each smolt supplier obtain a policy which states the supplier's commitment to proper and responsible treatment of non-biological waste from production. It must explain how the supplier's policy is consistent with best practice in the area of operation. | Grytåga internal document " avfallsplan" ID 88 dt 12.03.12 with authorised service provider Retura on specialwaste, Public service on domestic, type of waste defined, domestic, special waste/chemicals, for recycling etc.Evaluation of environmental impacts. | Compliant | |
| | | b. Others, please describe | | | |

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| 8.9 | **Indicator**: Presence of an energy-use assessment verifying the energy consumption at the smolt production facility (see Appendix V subsection 1 for guidance and required components of the records and assessment)<br><br>**Requirement:** Yes, measured in kilojoule/mt fish/production cycle<br><br>**Applicability:** All Smolt Producers | a. Obtain records from the smolt supplier for energy consumption by source (fuel, electricity) at the supplier's facility throughout each year. | Records OK in excel documents. | Compliant | |
| | | b. Confirm that the smolt supplier calculates total energy consumption in kilojoules (kj) during the last year. | 2015 consumption of scope 1= 152 712 000 KJ and scope 2=purchased electricity = 6 502 975 200 KJ.<br>Tot Scope 1+2 = 6 655 687 200 | Compliant | |
| | | c. Obtain records to show the smolt supplier calculated the total weight of fish in metric tons (mt) produced during the last year. | 735 000 kg BM produced | Compliant | |
| | | d. Confirm that the smolt supplier used results from 8.9b and 8.9c to calculate energy consumption on the supplier's facility as required and that the units are reported as kilojoule/mt fish/production cycle. | 9 055 357 kJ/Mt BM produced | Compliant | |
| | | e. Obtain evidence to show that smolt supplier has undergone an energy use assessment in compliance with requirements of Appendix V-1. Can take the form of a declaration detailing a-e. | Records OK in excel. Continuous evaluation. | Compliant | |
| | | f. Others, please describe | | | |
| 8.10 | **Indicator**: Records of greenhouse gas (GHG [161]) emissions [162] at the smolt production facility and evidence of an annual GHG assessment (See Appendix V, subsection 1)<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | a. Obtain records of greenhouse gas emissions from the smolt supplier's facility. | Records OK | Compliant | |
| | | b. Confirm that, on at least an annual basis, the smolt supplier calculates all scope 1 and scope 2 GHG emissions in compliance with Appendix V-1. | Scope 1 on farm genereated energy= 10 301 Kg CO 2 (conv.factor is 2,53.2,67) Scope 2 emission (conv,factor 0,091) =<br>459 118 kg CO2.<br>Total Scope 1+2 = 469 420 Kg CO2 | Compliant | |
| | | c. For GHG calculations, confirm that the smolt supplier selects the emission factors which are best suited to the supplier's operation. Confirm that the supplier documents the source of the emissions factors. | Scope 1 on farm genereated energy= 10 301 Kg CO 2 (conv.factor is 2,53.2,67) Scope 2 emission (conv,factor 0,091) =<br>459 118 kg CO2.<br>Total Scope 1+2 = 469 420 Kg CO2 | Compliant | |
| | | d. For GHG calculations involving conversion of non-CO2 gases to CO2 equivalents, confirm that the smolt suppliers specify the Global Warming Potential (GWP) used and its source. | | NA | CO2 used |

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| | | e. Obtain evidence to show that the smolt supplier has undergone a GHG assessment in compliance with requirements Appendix V-1 at least annually. | | NA | Calculaitons and asessment provided. Calculaitons and asessment provided by CO2 focus. Data from IEA 2013, SSB 2013, EIA 2011, IPCC 2006. |
| | | f. Others, please describe | | | |
| *Standards related to Principle 5* | | | | | |
| 8.11 | **Indicator**: Evidence of a fish health management plan, approved by the designated veterinarian, for the identification and monitoring of fish diseases and parasites<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | a. Obtain a copy of the supplier's fish health management plan for the identification and monitoring of fish disease and parasites. | Fish Health Plan. Plan covers all aspect of relevant diseaes and parasite diagnostics and control measures. External veterinary service Helgeland Havbruksstasjon, Approved and signed by veterinarian dt 09.04.15 Bjatre Langhelle. | Compliant | |
| | | b. Keep documentary evidence to show that the smolt supplier's health plans were approved by the supplier's designated veterinarian. | Fish Health Plan. Plan covers all aspect of relevant diseaes and parasite diagnostics and control measures. External veterinary service Helgeland Havbruksstasjon, Approved and signed by veterinarian dt 09.04.15 Bjarte Langhelle. | Compliant | |
| | | c. Others, please describe | | | |
| 8.12 | **Indicator**: Percentage of fish that are vaccinated for selected diseases that are known to present a significant risk in the region and for which an effective vaccine exists [163]<br><br>**Requirement:** 100%<br><br>**Applicability:** All Smolt Producers | a. Maintain a list of diseases that are known to present a significant risk in the region, developed by farm veterinarian and supported by scientific evidence. | Fish Health Plan. Plan covers all aspect of relevant diseaes and parasite diagnostics and control measures. Internal veterinary services, responsible veterinarian, Approved and signed by veterinarian dt 09.04.15 Bjatre Langhelle. | Compliant | |
| | | b. Maintain a list of diseases for which effective vaccines exist for the region, developed by the farm veterinarian and supported by scientific evidence. | In FHMP/VHP Ttype of disease and control monitoring strategies, vaccines/pathogens type/product name detailed in plan. | Compliant | |
| | | c. Obtain from the smolt supplier(s) a declaration detailing the vaccines the fish received. | In smolt CV and Fish Talk with dates and type for smolts for site, 100% vaccination is alsoa legal requirement controlled by NFSA. Smolt CVs for site with ova /stripping/startfeeding dates. First stocking date 14G 07.10.14. (AJ Micro 6 vaccine)<br><br>Smolt from yearclass 2014 | Compliant | |
| | | d. Demonstrate, using the lists from 8.12a-c above, that all salmon on the farm received vaccination against all selected diseases known to present a significant risk in the regions for which an effective vaccine exists. | 100% vaccinated according to national legislation. Verified in smolt CV and Fishtalk. Verified towards registrations in FHP / CV / Fishtalk.<br>Internal supplier: All fish vaccinated with vaccine type AJ-micro-6. | Compliant | |
| | | e. Others, please describe | | | |

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| 8.13 | | a. Obtain from the smolt supplier a list of diseases of regional concern for which smolt should be tested. List shall be supported by scientific analysis as described in the Instruction above. | Risk based testing regime.VHP and Veterinary visits: lists and documented according to local VHP predetermined sampling and visits regime defined in VHP plan. PD testing monthly pre stocking | Compliant | |
| | **Indicator**: Percentage of smolt groups [164] tested for select diseases of regional concern prior to entering the grow-out phase on farm<br>**Requirement:** 100%<br>**Applicability:** All Smolt Producers | b. Obtain from the smolt supplier(s) a declaration and records confirming that each smolt group received by the farm has been tested for the diseases in the list (8.13a). | Veterinary visits according to VHP.<br>Smolt group health certificate.<br>Patogen analyse Report,. tested for SAV, ILA and IPN 08.05.15 by Patogen Analyse. Result Negative for SAV and ILA and positiv for IPN.<br>Pharmaq analyse Report, dt. 20.04.15 tested for IPNV, ILA HPRO, SAV, PMCV. Result Negative. | Compliant | |
| | | c. Others, please describe | | | |
| 8.14 | **Indicator**: Detailed information, provided by the designated veterinarian, of all chemicals and therapeutants used during the smolt production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing and all disease and pathogens detected on the site<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. Obtain from the smolt supplier(s) a detailed record of all chemical and therapeutant use for the fish sold to the farm that is signed by their veterinarian and includes:<br>- name of the veterinarian prescribing treatment;<br>- product name and chemical name;<br>- reason for use (specific disease)<br>- date(s) of treatment;<br>- amount (g) of product used;<br>- dosage;<br>- mt of fish treated;<br>- the WHO classification of antibiotics (also see note under 5.2.8); and<br>- the supplier of the chemical or therapeutant. | Therapeutant used, verified in fish CV also documented in FishTalk according to FHP - type, producer and batch.<br>Fish healt certificate dt.22.05.15 signed by veterinarian Bjarte Langhelle.<br>Prescription signed by responsible vetrinary ref.. FHB/ Vaccines produced by Pharmaq and Lanco. Therapeutant used and documented on fishgroup. | Compliant | |
| | | b. Others, please describe | | | |
| 8.15 | **Indicator**: Allowance for use of therapeutic treatments that | a. Provide to the smolt supplier the list (see 5.2.2a) of therapeutants, including antibiotics and chemicals, that are proactively banned for use in food fish for the primary salmon producing and importing countries listed in [166]. | List (allowed and banned substances) with market acceptance status and levels defined. Statment "medicines and antibiotics allowed by Cermaq Norway to use dt.03.07.2015, signed by Karl Fredrik Ottem. There are updated lists | Compliant | |

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| | include antibiotics or chemicals that are banned [165] in any of the primary salmon producing or importing countries [166]<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | b. Inform smolt supplier that the treatments on the list cannot be used on fish sold to a farm with ASC certification. | Sent to Grytåga 27.07.15<br>List (allowed and banned substances) with market acceptance status and levels defined. Statment "medicines and antibiotics allowed by Cermaq Norway to use dt.03.07.2015, signed by Karl Fredrik Ottem. (Updated: List (allowed and banned substances) with market acceptance status and levels defined. Statment "medicines and antibiotics allowed by Cermaq Norway to use dt.03.07.2015, signed by Karl Fredrik Ottem. Positive identification of allowed therapeutants for US) | Compliant | |
| | | c. Compare therapeutant records from smolt supplier (8.14) to the list (8.15a) and confirm that no therapeutants appearing on the list (8.15a) were used on the smolt purchased by the farm. | Vaccines in fish CV and Fish Talk - type and producer and batch.<br>Ananesthetics and antiparasite treatment formlin, ok according to list. No AB used. | Compliant | |
| | | d. Others, please describe | | | |
| 8.16 | **Indicator**: Number of treatments of antibiotics over the most recent production cycle<br>**Requirement:** ≤ 3<br>**Applicability:** All Smolt Producers | a. Obtain from the smolt supplier records of all treatments of antibiotics (see 8.14a). | | NA | No AB used. Seen fish CV with all treatments identifed. |
| | | b. Calculate the total number of treatments of antibiotics from their most recent production cycle. | | NA | No AB used. Seen fish CV with all treatments identifed. |
| | | c. Others, please describe | | | |
| 8.17 | **Indicator**: Allowance for use of antibiotics listed as critically important for human medicine by the WHO [167]<br><br>**Requirement:** None [168]<br><br>**Applicability:** All Smolt Producers | a. Provide to smolt supplier(s) a current version of the WHO list of antimicrobials critically and highly important for human health [167]. | | NA | List (allowed and banned substances - against WHO critical list. Coomunicated to smolt supplier in mail dt 27.07.15 |
| | | b. Inform smolt supplier that the antibiotics on the WHO list (8.17a) cannot be used on fish sold to a farm with ASC certification. | List (allowed and banned substances - against WHO critical list. Coomunicated to smolt supplier in mail dt 27.07.15 | Compliant | |
| | | c. Compare smolt supplier's records for antibiotic usage (8.14, 8.15a) with the WHO list (8.17a) to confirm that no antibiotics listed as critically important for human medicine by the WHO were used on fish purchased by the farm. | No AB used. Seen fish CV with all treatments identifed and compared to WHO critical list. | Compliant | |
| | | d. Others, please describe | | | |
| 8.18 | **Indicator**: Evidence of compliance [169] with the OIE | a. Provide the smolt supplier with a current version of the OIE Aquatic Animal Health Code (or inform the supplier how to access it from the internet). | Cermag Statment dt 03.07.15 on ASC requirements regarding OIE AAHC for smolt deliveries, signed by vet.responsible Karl Freedrik Ottem. Sent to supplier in email 27.07.15. | Compliant | |

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| | Aquatic Animal Health Code [170]<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | b. Inform the supplier that an ASC certified farm can only source smolt from a facility with policies and procedures that ensure that its smolt production practices are compliant with the OIE Aquatic Animal Health Code. | Cermag Statment dt 03.07.15 on ASC requirements regarding OIE AAHC for smolt deliveries, signed by vet.responsible Karl Freedrik Ottem. Sent to supplier in email 27.07.15. | Compliant | |
| | | c. Obtain a declaration from the supplier stating their intent to comply with the OIE code and copies of the smolt suppliers policies and procedures that are relevant to demonstrate compliance with the OIE Aquatic Animal Health Code. | Confirmation in statement from Grytåga, signed by General Manager Per Kristian Nordøy dt. 15.01.15 | Compliant | |
| | | d. Others, please describe | | | |
| *Standards related to Principle 6* | | | | | |
| 8.19 | **Indicator**: Evidence of company-level policies and procedures in line with the labor standards under 6.1 to 6.11<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. Obtain copies of smolt supplier's company-level policies and procedures and a declaration of compliance with the labor standards under 6.1 to 6.11. | Documents are provided. | Compliant | |
| | | b. Review the documentation and declaration from 8.19a to verify that smolt supplier's policies and procedures are in compliance with the requirements of labor standards under 6.1 to 6.11. | Declaration available. 2015-11-11<br>The summary documents related to 8.19.a and labour standards under 6.1to 6.11 are available. | Compliant | |
| | | c. Others, please describe | | | |
| *Standards related to Principle 7* | | | | | |
| 8.20 | **Indicator**: Evidence of regular consultation and engagement with community representatives and organizations<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. From each smolt supplier obtain documentary evidence of consultations and engagement with the community. | The stake holder meeting was organized on 2016-01-15 | Compliant | |
| | | b. Review documentation from 8.20a to verify that the smolt supplier's consultations and community engagement complied with requirements. | The invitation and minutes of meeting are available | Compliant | |
| | | c. Others, please describe | | | |
| 8.21 | **Indicator**: Evidence of a policy for the presentation, treatment and resolution of complaints by community stakeholders and organizations<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. Obtain a copy of the smolt supplier's policy for presentation, treatment and resolution of complaints by community stakeholders and organizations. | Complaints handling is described in summary document of the procedures in the company. | Compliant | |
| | | b. Others, please describe | | | |
| 8.22 | **Indicator**: Where relevant, evidence that indigenous groups were consulted as required by | a. Obtain documentary evidence showing that the smolt supplier does or does not operate in an indigenous territory (to include farms that operate in proximity to indigenous or aboriginal people (see Indicator 7.2.1). If not then the requirements of 8.22 do not apply. | | N/A | Indigenous groups are not involved. It is communicated during the licence application processing to start the sites. |

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| | relevant local and/or national laws and regulations<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers | b. Obtain documentation to demonstrate that, as required by law in the jurisdiction: smolt supplier consulted with indigenous groups and retains documentary evidence (e.g. meeting minutes, summaries) to show how the process complies with 7.2.1b; OR smolt supplier confirms that government-to-government consultation occurred and obtains documentary evidence. | | N/A | No consultaion is applicable. |
| | | c. Others, please describe | | | |
| 8.23 | **Indicator**: Where relevant, evidence that the farm has undertaken proactive consultation with indigenous communities<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers | a. See results of 8.22a (above) to determine whether the requirements of 8.23 apply to the smolt supplier. | | N/A | Indigenous groups are not involved. It is communicated during the licence application processing to start the sites. |
| | | b. Where relevant, obtain documentary evidence that smolt suppliers undertake proactive consultations with indigenous communities. | | N/A | No consultation is applicable. |
| | | c. Others, please describe | | | |
| **ADDITIONAL REQUIREMENTS FOR OPEN (NET-PEN) PRODUCTION OF SMOLT** | | | | | |
| 8.24 | **Indicator**: Allowance for producing or holding smolt in net pens in water bodies with native salmonids<br><br>**Requirement:** None<br><br>**Applicability:** All Smolt Producers Using Open Systems | a. Obtain a declaration from the farm's smolt supplier stating whether the supplier operates in water bodies with native salmonids. | | N/A | No net-pens, tanks only. |
| | | b. Request smolt suppliers to identify all water bodies in which they operate net pens for producing smolt and from which facilities they sell to the client. | | N/A | No net-pens, tanks only. |
| | | c. For any water body identified in 8.24b as a source of smolt for the farm, determine if native salmonids are present by doing a literature search or by consulting with a reputable authority. Retain evidence of search results. | | N/A | No net-pens, tanks only |
| | | d. Others, please describe | | | |
| 8.25 | **Indicator**: Allowance for producing or holding smolt in net pens in any water body<br>**Requirement:** Permitted until five years from publication of the SAD standards (i.e full compliance by June 13, 2017)<br>**Applicability:** All Smolt Producers Using Open Systems | a. Take steps to ensure that by June 13, 2017 the farm does not source smolt that was produced or held in net pens. | | N/A | No net-pens, tanks only. |
| | | b. Others, please describe | | | |
| 8.26 | **Indicator**: Evidence that carrying capacity (assimilative | a. For the water body(s) where the supplier produces smolt for the client (see 8.24b), obtain a copy of the most recent assessment of assimilative capacity. | | N/A | No net-pens, tanks only. |

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| | capacity) of the freshwater body has been established by a reliable entity [171] within the past five years [172, and total biomass in the water body is within the limits established by that study (see Appendix VIII-5 for minimum requirements)<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers Using Open Systems | b. Identify which entity was responsible for conducting the assessment (8.26a) and obtain evidence for their | | N/A | No net-pens, tanks only |
| | | c. Review the assessment (8.26a) to confirm that it establishes a carrying capacity for the water body, it is less than five years old, and it meets the minimum requirements presented in Appendix VIII-5. | | N/A | No net-pens, tanks only. |
| | | d. Review information to confirm that the total biomass in the water body is within the limits established in the assessment (8.26a). | | N/A | No net-pens, tanks only |
| | | e. If the study in 8.26a is more than two years old and there has been a significant increase in nutrient input to the water body since completion, request evidence that an updated assessment study has been done. | | N/A | No net-pens, tanks only. |
| | | f. Others, please describe | | | |
| 8.27 | **Indicator**: Maximum baseline total phosphorus concentration of the water body (see Appendix VIII-6)<br><br>**Requirement:** ≤ 20 µg/l [174]<br><br>**Applicability:** All Smolt Producers Using Open Systems | a. Obtain documentary evidence to show that smolt suppliers conducted water quality monitoring in compliance with the requirements of Appendix VIII-6. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | b. Obtain from smolt suppliers a map with GPS coordinates showing the sampling locations. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | c. Obtain from smolt suppliers the TP monitoring results for the past 12 months and calculate the average value at each sampling station. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | d. Compare results to the baseline TP concentration established below (see 8.29) or determined by a regulatory body. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | e. Confirm that the average value for TP over the last 12 months did not exceed 20 ug/l at any of the sampling stations nor at the reference station. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | f. Others, please describe | | | |
| 8.28 | **Indicator**: Minimum percent oxygen saturation of water 50 centimeters above bottom sediment (at all oxygen monitoring locations described in Appendix VIII-6)<br>**Requirement:** ≥ 50%<br>**Applicability:** All Smolt Producers Using Open Systems | a. Obtain evidence that smolt supplier conducted water quality monitoring in compliance with the requirements (see 8.27a). | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | b. Obtain from smolt suppliers the DO monitoring results from all monitoring stations for the past 12 months. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | c. Review results (8.28b) to confirm that no values were below the minimum percent oxygen saturation. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | d. Others, please describe | | N/A | |
| 8.29 | | a. Obtain documentary evidence from the supplier stating the trophic status of water body if previously set by a regulator body (if applicable). | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |

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| | **Indicator**: Trophic status classification of water body remains unchanged from baseline (see Appendix VIII-7)<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers Using Open Systems | b. If the trophic status of the waterbody has not been classified (see 8.29a), obtain evidence from the supplier to show how the supplier determined trophic status based on the concentration of TP. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | c. As applicable, review results from 8.29b to verify that the supplier accurately assigned a trophic status to the water body in accordance with the table in Appendix VIII-7 and the observed concentration of TP over the past 12 months. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | d. Compare the above results (8.29c) to trophic status of the water body as reported for all previous time periods. Verify that there has been no change. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | e. Others, please describe | | | |
| 8.30 | **Indicator**: Maximum allowed increase in total phosphorus concentration in lake from baseline (see Appendix VIII-7)<br>**Requirement:** 25%<br>**Applicability:** All Smolt Producers Using Open Systems | a. Determine the baseline value for TP concentration in the water body using results from either 8.29a or 8.29b as applicable. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | b. Compare the baseline TP concentration (result from 8.30a) to the average observed TP concentration over the past 12 months (result from 8.27e). | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | c. Verify that the average observed TP concentration did not increase by more than 25% from baseline TP | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | d. Others, please describe | | | |
| 8.31 | **Indicator**: Allowance for use of aeration systems or other technological means to increase oxygen levels in the water body<br>**Requirement:** None<br>**Applicability:** All Smolt Producers Using Open Systems | a. Obtain a declaration from the farm's smolt supplier stating that the supplier does not use aeration systems or other technological means to increase oxygen levels in the water bodies where the supplier operates. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | b. Others, please describe | | | |
| **ADDITIONAL REQUIREMENTS FOR SEMI-CLOSED AND CLOSED PRODUCTION OF SMOLTS** | | | | | |
| 8.32 | **Indicator**: Water quality monitoring matrix completed and submitted to ASC (see Appendix VIII-2)<br>**Requirement:** Yes [177]<br>**Applicability:** All Smolt Producers Using Semi-Closed or Closed Production Systems | a. Obtain records from smolt suppliers showing that water quality monitoring was conducted at least quarterly (i.e. once every 3 months) over the last 12 months. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | b. Obtain water quality monitoring matrix from smolt suppliers and review for completeness. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | c. Submit the smolt supplier's water quality monitoring matrix to ASC as per Appendix VIII-2 and Appendix VI at least once per year. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | d. Others, please describe | | | |
| 8.33 | **Indicator**: Minimum oxygen saturation in the outflow (methodology in Appendix VIII-2) | a. Obtain the water quality monitoring matrix from each smolt supplier (see 8.32b). | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | b. Review the results (8.33a) for percentage dissolved oxygen saturation in the effluent to confirm that no measurements fell below 60% saturation. | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |

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| | **Requirement:** 60% [178,179]<br><br>**Applicability:** All Smolt Producers Using Semi-Closed or Closed Production Systems | c. If a single DO reading (as reported in 8.33a) fell below 60%, obtain evidence that the smolt supplier performed daily continuous monitoring with an electronic probe and recorder for a least a week demonstrating a minimum 60% saturation at all times (Appendix VIII-2). | | N/A | No net-pens, tanks only. Direct discharge to seawater from smolt plant. |
| | | d. Others, please describe | | | |
| 8.34 | **Indicator**: Macro-invertebrate surveys downstream from the farm's effluent discharge demonstrate benthic health that is similar or better than surveys upstream from the discharge (methodology in Appendix VIII-3)<br>**Requirement:** Yes<br>**Applicability:** All Smolt Producers Using Semi-Closed or Closed Production Systems | a. Obtain documentation from smolt supplier(s) showing the results of macro-invertebrate surveys. | | N/A | Direct discharge to seawater from smolt plant. |
| | | b. Review supplier documents (8.34a) to confirm that the surveys followed the prescribed methodology (Appendix VIII-3). | | N/A | Direct discharge to seawater from smolt plant. |
| | | c. Review supplier documents (8.34a) to confirm the survey results show that benthic health is similar to or better than upstream of the supplier's discharge. | | N/A | Direct discharge to seawater from smolt plant. |
| | | d. Others, please describe | | | |
| 8.35 | **Indicator**: Evidence of implementation of biosolids (sludge) Best Management Practices (BMPs) (Appendix VIII-4)<br><br>**Requirement:** Yes<br><br>**Applicability:** All Smolt Producers Using Semi-Closed or Closed Production Systems | a. Maintain a copy of smolt supplier's biosolids (sludge) management plan and confirm that the plan addresses all requirements in Appendix VIII-2. | | N/A | Direct discharge to seawater from smolt plant. |
| | | b. Obtain from smolt suppliers a process flow diagram (detailed in Appendix VIII-2) showing how the farm is dealing with biosolids responsibly. | | N/A | Direct discharge to seawater from smolt plant. |
| | | c. Obtain a declaration from smolt supplier stating that no biosolids were discharged into natural water bodies in the past 12 months. | | N/A | Direct discharge to seawater from smolt plant. |
| | | d. Obtain records from smolt suppliers showing monitoring of biosolid (sludge) cleaning maintenance, and disposal as described in Appendix VIII-2. | | N/A | Direct discharge to seawater from smolt plant. |
| | | e. Others, please describe | | | |

## ASC Audit Report - Traceablity

| 10 | Traceability Factor | Description of risk factor if present. | Describe any traceability, segregation, or other systems in place to manage the risk. |
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| 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. | | No risk of substitution of certified with non-certified product within the unit of certification as all salmon in the farm is within the scope of the ASC SalmonStandard audit. |
| 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. | | No risk of substitution of certified with non-certified product within the unit of certification as all salmon in the farm is within the scope of the ASC SalmonStandard audit.<br>Transports are always identifiable on production unit level (cage). Transport from one seasite to the slaughterhouse at the time, only. |

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| 10.3 | The possibility of subcontractors being used to handle, transport, store, or process certified products. | | Only approved wellboats (Norsk Fisketransport AS) is used during transshipments of salmon between the site and waiting cages/harvest plant.<br>Biosecurity legislation and implemented QMS management system and procedures at the site and within the company prevent the wellboats from visiting/ harvesting from other salmon farms/sites. The possibility for mixture of salmon in waiting cages from salmon from other farm/sites is also prevented by biosecurity legislation and implemented QMS management system and procedures at the site and within the harvesting/processing plant used.<br>There are slaughtered fish from only one waiting cage at a time in the harvest/processing plant<br>Transports are always identifiable on production unit level (cage).<br>All information is kept both in electronic system Fish Talk and Innova system for Harvest/Post-harvest operations and in hard copies. |
| 10.4 | Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product | | No other possibility for mixing products. |

| | |
|---|---|
| 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 company has a robust and well implemented quality system, which covers the whole organization from smolt to finished slaughtered fish. The company is certified according to GLOBALG.A.P in the whole production chain.<br>All stages of fish live cycle within the scope of this certification standard are traceable. Documents describe a satisfactory control with incoming products, from own freshwater sites, and corresponding documentation of production site, suppliers lists and reception control, both in harvesting and processing. Digital information is handled in Fish Talk for all freshwater stages and on-growing phase in seawater. Subsequent harvest, processing and sales are handled in Innova/Maritech system. It comprises sufficient information of traceability from Broodstock and ova, via smolts to harvestable fish, purchases, invoices and suppliers registers.<br>The harvest plants are; Cermaq Norway Slakteri F-430, Havneveien 36, 9600 Hammerfest. ASC-C-00687, Exp. date 04.06.18 . Ref. to www.asc-aqua.org where updated information can be found. |
| 10.6 Traceablity 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 | Yes |
| 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. | |

| | |
|---|---|
| 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 wellboat/live fish carrier and delivered direct to the harvest/processing plant. From this point the ASC Salmon Standard certificate stops and the ASC CoC certificate takes over.<br>The harvest plants are; Cermaq Norway Slakteri F-430, Havneveien 36, 9600 Hammerfest. ASC-C-00687, Exp. date 04.06.18 . Ref. to www.asc-aqua.org where updated information can be found. C12<br>As the scope of this ASC Salmon Standard audit is the complete farm, all salmon at the site is included in the scope of this audit, and the fact that the harvest plant has an ASC CoC certification, the risk associated to substitution and mixing of certified with not certified products is very limited or not existing at the site and before the point when the ASC CoC as specified is needed and takes over in the ASC Salmon/ASC CoC certification process. |
| 10.6.4 Is a sepearate chain of custody certificate required for the producer? | No, not for the unit of certification (Store Lerresfjord farm).<br>A separate ASC CoC certification is needed, as specified earlier in the report, for activities e.g Harvest, processing and trading of certified products performed after the ASC Salmon Standard certificate scope stops. |

# ASC Audit Report - Closing

## 11 Findings

11.1 A summary table that lists all non-conformities and observations

| NC reference | NC Status | Clause Reference | Description of NC | Descriptions of actions pending |
|---|---|---|---|---|
| NC SA1-2017-01 | Open-Minor | 2.1.3.c | Number of macrofaunal taxa in the sediment (highly abundant taxa) that are not pollution indicator species= 1 (ST 1) ie. less than 2 | ODDJO 02.06.2017: Accepted. Will be followed up during next audit |
| NC SA1-2017-02 | Closed | 5.1.5.a, b | Mortality due to viral disease during most recent production cycle is ≥ 10% | ODDJO 02.06.2017: Analysis adequate. Variance Request no. 222, dated 12.05.2017 approved and closed. NC closed |
| | | | | |

11.2 A copy of the non-conformtity report form completed for each non-conformity and observation raised.

11.3 If any approved requests for variations or interpretations have been used, a full copy of the approved variation or interpretation form shall be appended to the report. If used in raing an NC, the ASC reference number (NCF 5) and a justitification for its use (NCF 6) shall be completed in the NC report form.

## 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 evaluation of the company`s compliance to the requirements in the ASC Salmon Standard and all references and findings is described in detail in the report section II Audit template and section IV Audit Report Closing.<br>The principles where full compliance was found is listed below:<br>Principle 1; “Compliance with all applicable local and national legal requirements and regulations”.<br>Principle 3; “Protect the health and integrity of wild populations”.<br>Principle 4; “Use resources in an environmentally efficient and responsible manner”.<br>Principle 5; “Manage disease and parasites in an environmentally responsible manner”.<br>Principle 6; “Develop and operate farms in a social responsible manner”.<br>Principle 7; ”Be a good neighbour and conscientious citizen”.<br>Principle 8; ” Standards for supplier of smolt”.<br>For the rest of the principles listed below:<br>Principle 2; “Conserve natural habitat local biodiversity and ecosystem function”.<br>Full compliance was not found. There is 1 minor NC which can be closed after next MOM C sampling. Reference is made to ASC Farm certification and Accreditation Requirement 17.4.2 and 17.4.3. As there were no fish on site, harvest was not overseen by the auditor. The audit was timed without including harvest activities to allow the farm to benefit from certification during the initially audited production cycle. The QMS system used related to harvest and procedures and methodology used for harvesting salmon at the site/company was assessed. Harvest is planned to be observed and assessed during relevant surveillance audit of the site/company.<br>VRs used during audit:<br>- VR nr.39 approved 15.09.2014 by ASC on phosphorus release from smolt producer. Rationale for use of VR 39 during audit is that as for accepted VR 39 the smolt producers effluent is seawater, and not freshwater.<br>-VR nr.179 approved 24.08.2016 by ASC for audit reports in local language. Rationale for use of VR 179 during this audit is that Scandinavin countires are rated as "very high" in english Proficiency Index.<br>-VR no. 222 approved 12.05.2017 by ASC for viral disease mortality ≤10%. Rationale for use of VR 222 in this audit is that they take this problem seriously and are willing to take the costs necessary to reduce the mortality and further spreading of the disease<br>VR list and updated documentation for VR can be found on the ASC website: http://www.asc-aqua.org/ in addition to relevant VRs attched to this report. |
| 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 Store Lerresfjord site's capability to consistently meet the objectives of the ASC Salmon Standard is expected for the future. |

| | |
|---|---|
| 12.3 In cases where Biodiversity Environmental Impact Assessment (BEIA) or Participatory Social Impact Assessment (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 as | Not applicable as MOM-B and MOM-C are benthic biodiversity surveys, only. |

**13 Decision**

| | |
|---|---|
| 13.1 Has a certificate been issued? (yes/no) | Yes, certificate was issued after Initial audit in 2016 |
| 13.2 The Eligiblity Date (if applicable) | Date of issue: 04.04.2016<br>Date of expiry: 04.04.2019 |
| 13,3 Is a separate coc certificte required for the producer? (yes/no) | No, not for the unit of certification (Store Lerresfjord).<br>A separate ASC CoC certification is needed as specified earlier in the report for activities e.g slaughtering, processing and trading of certified products performed after the ASC Salmon Standard certificate scope stops. |
| 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. | Date of issue: 04.04.2016<br>Date of expiry: 04.04.2019 |
| 13.4.2 The scope of the certificate | Production of Atlantic salmon (Salmo salar). |
| 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 Auditor as spesified in report section I Audit report opening, contact information is also available in notifications received as stakeholder from DNV GL. Information and documents related to contacting or complaints to DNV GL is available at www.dnvgl.com |

**14 Surveillence**

14.1 Next planned Surveillance

| | |
|---|---|
| 14.1.1 Planned date | Q1 2018 |
| 14.1.2 Planned site | Store Lerresfjord |

14.2 Next audit type

| | |
|---|---|
| 14.2.1 Surveillence 1 | |
| 14.2.2 Surveillance 2 | X |
| 14.2.3 Re-certification | |
| 14.2.4 Other (specify type) | |

## Nonconfomity Report Form

*A copy of this form shall be completed and included in the audit report for each nonconformity raised.*

| *Ref#* | *Text to be provided by* | | | |
|---|---|---|---|---|
| NCF 1 | CAB | NC Reference | NC SA1-2017-01 | |
| NCF 2 | CAB | NC Detected by | Odd. H. Johannessen | |
| NCF 3 | CAB | Date Detected | 07.02.2017 | |
| NCF 4 | CAB | Audit Reference | SA1 2017 | |
| NFC 5 | | Has a variation or interpreation (Form 1) that relates to this NC been appoved by ASC. If so include the ASC variation or interperation log reference. | | N/A |
| NFC 6 | | Justification for applying the approved variation or interpretation. | | N/A |
| NCF 6 | CAB | Status of NC | Open | X |
| NCF 7 | CAB | | Closed | |
| NCF 8 | CAB | Grade of NC | Major | |
| NCF 9 | CAB | | Minor | X |
| NCF 10 | CAB | | Observation | |
| NCF 11 | CAB | Deadline for closing the nonconformity | | Sureveillance audit 2018 for closing. |
| NCF 12 | CAB | Explanation for deadline for closing the nonconformity | | Minor nonconformity. To be closed before SA 2018. Subject to DNVGL approved |
| NCF 13 | CAB | Requirement Reference | Source Document | ASC Salmon Standard |
| NCF 14 | CAB | | Clause Number | 2.1.3.c |
| NCF 15 | CAB | | Text of Requirement | Identify all highly abundant taxa [6] and specify which ones (if any) are pollution indicator species. |
| NCF 16 | CAB | Description of the nonconformity | | Number of macrofaunal taxa in the sediment (highly abundant taxa) that are not pollution indicator species= 1 (ST 1) ie. less than 2 |
| NCF 17 | CAB | Statement of evidence detected | | Finding in Modified MOM-C according to NS9410 (Norwegian authortites and legislation requirement) Performed by Akvaplan Niva, report no. 8425.02 dt 12.12.16. Sampling 05.09.16 |
| NCF 18 | Client | Statement of any errors of fact in the nonconformity (include the name of the author and date submitted) | | None. Mats W. Snåre 04.05.2017 |

| | | | |
|---|---|---|---|
| NCF 19 | CAB | Response (include the name of the author and date submitted) | |
| NCF 20 | Client | Statement of the root cause of the nonconformity (include the name of the author and date submitted) | Some samples were not good enough on the number of species that are not pollution indicators. This may be caused by un-ideal feeding, og bathymetric conditions leading to accumulation of feed and feces in some areas. However, the bottom sediment has quite a lot of gravel and rocks, and therefore it is not certain how high biodiversity should be expected at this site. The consultants conductiong the environmental monitoring at the site has previously written a "statement" about the status of pollution at the site in relation to what can be expected of biodiverstity (attached-in Norwegian).<br>Mats W. Snåre 04.05.2017 |
| NCF 21 | CAB | Response (include the name of the author and date submitted) | ODDJO 02.06.2017: Analysis adequate. MOM B report and statement from AkvaPlan Nive seen, and confirm that the site classification is 2, ie.: Good |
| NCF 22 | Client | Statement of the corrective actions proposed and taken (include the name of the author and date submitted) | Corrective and preventive actions: The site has had good environmental status (2) in 2015, but will now have at least a year fallowing period, and this should leave the enviornment time to restore. Mats W. Snåre 04.05.2017 |
| NCF 23 | CAB | Evaluation by CAB (include the name of the author and date submitted) | ODDJO 02.06.2017: New survey at maximum biomass will be done and this survey is to be reported before RC -2019 at the latest |
| NCF 24 | Client | Statement of the preventive actions proposed and taken (include the name of the author and date submitted) | Corrective and preventive actions: The site has had good environmental status (2) in 2015, but will now have at least a year fallowing period, and this should leave the enviornment time to restore. Mats W. Snåre 04.05.2017 |
| NCF 25 | CAB | Evaluation by CAB (include the name of the author and date submitted) | ODDJO 02.06.2017: Statement accepted |
| NCF 26 | Client | Request to extend the implemetation period for corrective action(s) until | |

| | | |
|---|---|---|
| NCF 27 | Justification for extention request | |
| NCF 28 CAB | Extention request approval | Yes/No |
| NCF 29 | Reason(s) for approval/ disapproval | |
| NCF 30 | Date on which the nonconformity was closed | |

## Nonconfomity Report Form

*A copy of this form shall be completed and included in the audit report for each nonconformity raised.*

| Ref# | Text to be provided by | | | |
|---|---|---|---|---|
| NCF 1 | CAB | NC Reference | NC SA1-2017-02 | |
| NCF 2 | CAB | NC Detected by | Odd. H. Johannessen | |
| NCF 3 | CAB | Date Detected | 08.02.2017 | |
| NCF 4 | CAB | Audit Reference | SA1 2017 | |
| NFC 5 | | Has a variation or interpreation (Form 1) that relates to this NC been appoved by ASC. If so include the ASC variation or interperation log reference. | | N/A |
| NFC 6 | | Justification for applying the approved variation or interpretation. | | N/A |
| NCF 6 | CAB | Status of NC | Open | |
| NCF 7 | CAB | | Closed | X |
| NCF 8 | CAB | Grade of NC | Major | X |
| NCF 9 | CAB | | Minor | |
| NCF 10 | CAB | | Observation | |
| NCF 11 | CAB | Deadline for closing the nonconformity | | Within three months of the date of the audit |
| NCF 12 | CAB | Explanation for deadline for closing the nonconformity | | Major nonconformity. To be closed within three months of the date of the audit. |
| NCF 13 | CAB | Requirement Reference | Source Document | ASC Salmon Standard |
| NCF 14 | CAB | | Clause Number | 5.1.5.a, b |
| NCF 15 | CAB | | Text of Requirement | Calculate the total number of mortalities that were diagnosed (see 5.1.4) as being related to viral disease. |
| NCF 16 | CAB | Description of the nonconformity | | Mortality due to viral disease during most recent production cycle is ≥ 10% |
| NCF 17 | CAB | Statement of evidence detected | | Documented in Fishtalk: 15G accumulated: Virus 16,7% + Unspesified 0,63 % = Virus + Unspesified = 17,3 % |
| NCF 18 | Client | Statement of any errors of fact in the nonconformity (include the name of the author and date submitted) | | None, Mats W. Snåre 21.04.2017 |

| | | | |
|---|---|---|---|
| NCF 19 | CAB | Response (include the name of the author and date submitted) | |
| NCF 20 | Client | Statement of the root cause of the nonconformity (include the name of the author and date submitted) | Site Store Lerresfjord has had large losses due to the heart diseases CMS and HSMI. The fish were investigated by the veterinarian and HSMI was verified by histopathological analysis. The mortality at the site due to virus diseases continued throughout the production cycle. The accumulated mortality of the 15G at Store Lerresfjord due to virus related mortality ended up at 17.6 % and thereby exceeds the ASC limit of 10%. The dominant causes of death identified at the Store Lerresfjord were CMS and HSMI. Full report in variance request submitted 10.04.2017 Karl Fredrik Ottem, 10.04.2017 |
| NCF 21 | CAB | Response (include the name of the author and date submitted) | ODDJO 02.06.2017: Analysis adequate. Re. Variance Request no. 222 approved and closed, dated 12.05.2017 |
| NCF 22 | Client | Statement of the corrective actions proposed and taken (include the name of the author and date submitted) | As the mortality related to CMS and HSMI were highest in cages 1-3, to prevent further spread of the diseases on site the fish in cages 1-3 were harvested already in June 2016, 3-4 months prior to the harvest plan. In addition several other measures where conducted which is standardized in Cermaq in cases of diseases on our sites: 1. Increased daily frequencies on removal of moribund and diseased fish by site personal. 2. Avoidance of all unnecessary movement within the farm for reduction of stress. 3. Increased focus on cleaning and disinfection of equipment in contact with the fish. 4. Increasing follow up of site by management and fish health personal. 5. Utilization of the functional feed Boost from EWOS. Karl Fredrik Ottem, 10.04.2017 |
| NCF 23 | CAB | Evaluation by CAB (include the name of the author and date submitted) | ODDJO 02.06.2017: Analysis adequate. Variance Request no. 222 approved and closed, dated 12.05.2017 |

| | | | |
|---|---|---|---|
| NCF 24 | Client | Statement of the preventive actions proposed and taken (include the name of the author and date submitted) | 1. Cermaq Norway is participating in a research project on CMS together with other salmon farmers and the National Veterinary Institute. The project period is from 2015-2019. The aim in this project is to improve the knowledge of CMS: 1) transmission routes, 2) evaluate the role of vertical transmission, 3) patterns of infection at sea, 4) identify risk factors of infection with PMCV (CMS-virus), and 5) identify risk factors for developing CMS. 2. Cermaq Norway utilize eggs from AquaGen with QTL-marker for increased CMS-resistance, in addition Cermaq Norway will implement the use of the new QTL-marker for increased HSMI-resistance from the autumn of 2017. 3. Cermaq Norway has release-criteria on all broodfish in terms of PRV-virus (HSMI-virus) and PMCV-virus (CMS-virus) ie we only utilize eggs from broodfish that are negative for the presence of these viruses. 4. Strategic utilization of functional feed diets better adapted for fish suffering from heart related diseases. Karl Fredrik Ottem, 10.04.2017 |
| NCF 25 | CAB | Evaluation by CAB (include the name of the author and date submitted) | ODDJO 02.06.2017: Analysis adequate. Variance Request no. 222, dated 12.05.2017 approved and closed. NC closed |
| NCF 26 | Client | Request to extend the implemetation period for corrective action(s) until | |
| NCF 27 | | Justification for extention request | |
| NCF 28 | CAB | Extention request approval | Yes/No |
| NCF 29 | | Reason(s) for approval/ disapproval | |
| NCF 30 | | Date on which the nonconformity was closed | |

# ASC – Aquaculture Stewardship Council
# Request for interpretation or variance

I CAB Request

| 1.1 NAME OF CAB | 1.2 DATE OF SUBMISSION | 1.3 CAB CONTACT PERSON | 1.4 EMAIL ADDRESS OF CAB CONTACT PERSON |
|---|---|---|---|
| DNV GL - Business Assurance | 05.09.2014 | Kim-Andre Karlsen / Guro Meldre Pedersen | kim.andre.karlsen@dnvgl.com<br>guro.meldre.pedersen@dnvgl.com |

**1.5 ASC DOCUMENT REFERENCE**

ASC Salmon Standard Version 1.0 June 2012.
Principle 8, Criterion 8.4 Maximum total amount of phosphorus.

**1.6 BACKGROUND (PROVIDE FULL EXPLANATION OF THE ISSUE)**

Requirement 8.4 of the ASC salmon standard sets a limit to how much phosphorus is discharged from the farm per unit smolt produced. The requirement is set at 5 kg/mt for the first three years from date of publication of the ASC Salmon Standard, dropping to 4 kg/mt thereafter. This requirement falls under section 8 (Requirements for smolt production) that contains the full suite of principles, criteria, indicators and requirements for responsible salmon farming at freshwater smolt sites. Under the rationale for the development of this requirement it is stated that nutrient discharge into the freshwater environment is one topic of concern when evaluating the impacts of smolt production. Phosphorus is used as a reference for water quality in the freshwater environment.

| | |
|---|---|
| 8.4 Maximum total amount of phosphorus released into the environment per metric ton (mt) of fish produced over a 12-month period (see Appendix VIII-1) | 5 kg/mt of fish produced over a 12-month period; within three years of publication of the ASC Salmon Standard, 4 kg/mt of fish produced over a 12-month period |

Several sites across Norway have been audited according to the ASC salmon standard. Compliance with requirement 8.4 has not been possible and minor NC has been identified as P levels in wastewater are above the limit of 5 kg/mt. In this VR we argue that such limit should be applicable only when wastewater from smolt facilities is discharged into a freshwater environment but not when wastewater is discharged directly into a marine environment which is the case of smolt facilities in Norway. Phosphorus has been clearly identified as a key growth-limiting nutrient in freshwater environment (Schindler 1977, OECD 1982) and therefore limiting its release into freshwater is an important action to limit eutrophication. The responses of freshwater environments to nutrient enrichment are well documented for most regions in the world allowing the possibility to set limits to phosphorus release. However, knowledge on marine coastal eutrophication is limited and the controls of eutrophication in freshwater and coastal marine ecosystems have been recognized as different (Smith, 2003). In fact, in coastal marine environments, nitrogen (N) has been recognized as the major cause of eutrophication (Howarth and Marino, 2006).
As noted on page 23 of the ASC salmon standard the SAD technical group has recognized that the effects of nutrient loading into costal environments still need to be established and therefore no specific limits on N or P release into the marine environment have been set: "The SAD technical working group on nutrient loading identified the potential link between nutrients around salmon farms and harmful algal blooms as one that had yet to be established but around which there remained some uncertainty and for which there was an intuitive concern around the effect of the cumulative anthropogenic nutrient load into coastal waters. The group noted a shortage of field studies to validate hypotheses from lab-based work."

Howarth RW and Marino R (2006). Nitrogen as the limiting nutrient for eutrophication in coastal marine ecosystems: evolving views over three decades. Limnol. Oceanogr., 51, 364–376

OECD (1982): Eutrophication of waters: Monitoring, assessment and control. Organisation for Economic and Cooperative Development, Paris, France

Schindler DW (1977): Evolution of phosphorus limitation in lakes. Science 195, 260-262

# ASC – Aquaculture Stewardship Council
# Request for interpretation or variance

| **1.7 RECOMMENDED ACTION / DECISION** |
|---|
| DNV GL recommends that ASC approves this VR request for the upcoming ASC Audit at Marine Harvest Site Skipningsdalen 22.09 - 26.09.2014 in Norway, and to apply the limits set under requirement 8.4 to smolt facilities that discharge wastewater into freshwater only.<br><br>. |

II ASC Determination

| **2.1 STATUS** | **2.2 DATE OF THE ASC DETERMINATION** |
|---|---|
| [X] Closed | 15 September 2014 |
| **2.3 ASC DETERMINATION ON VARIANCE REQUEST** | |
| Approved | |
| **2.4 ASC INTERPRETATION** | |
| Although the ASC has a different view on the availability of studies on the subject, we do agree with the fact that in the current version of the ASC Salmon standard discharging in a marine environment is not addressed in a binding manner.<br><br>FYI: The ASC Standards will be reviewed periodically (at a minimum once per 5 years) and the criteria/requirement for this issue may change. | |

# ASC – Aquaculture Stewardship Council
# Request for interpretation or variance

## I CAB Request

| 1.1 NAME OF CAB | 1.2 DATE OF SUBMISSION | 1.3 CAB CONTACT PERSON | 1.4 EMAIL ADDRESS OF CAB CONTACT PERSON |
|---|---|---|---|
| DNV GL Business Assurance Norway AS | 8. April 2016 | • Kim Andre Karlsen<br>• Guro Meldre Pedersen<br>• Sander Buijs | Kim.Andre.Karlsen@dnvgl.com<br>Guro.Meldre.Pedersen@dnvgl.com<br>Sander.Buijs@dnvgl.com |

1.5 ASC DOCUMENT REFERENCE

ASC Farm Certification and Accreditation Requirements v1
Annex C – Aquaculture Audit Report Requirements
C2: Audit and surveillance reports shall be written in English and in the most common language spoken in the areas where the aquaculture operation is located.

ASC Farm Certification and Accreditation Requirements v2
Annex C – Aquaculture Audit Report Requirements
C1. Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located.

Audit notification: 17.2.4.2 The notice shall be in the local language(s) and English.

1.6 BACKGROUND (PROVIDE FULL EXPLANATION OF THE ISSUE)

The translation of audit reports is a significant cost to the ASC farm certification process and implementation of CAR v2 should take a pragmatic approach adapted to the stakeholders' normal language competences in the area where the candidate site for ASC farm certification is situated.

With the transfer to ASC CAR v2, DNV GL will implement the standard audit report template as required. The general public competence in the English language is high in Scandinavia. DNV GL therefore seeks a variation to the above ASC CAR paragraphs for audits conducted at operations located in Scandinavia to:

- Allow the Audit report in its entirety to be published only in the English version.
- Allow the Audit notification to be published only in the English version.

This variation should not in any way jeopardize the integrity of the ASC programme or the access for stakeholders to relevant information. Any requests from stakeholders to make details of information available in the local language will be fulfilled.

Experience with other schemes including extended stakeholder involvement and broader public engagement than ASC farm, such as MSC Fisheries, has demonstrated that publishing of reports in only the English language has not been an obstacle to stakeholder dialogue or comments.

1.7 Recommended action / decision

DNV GL recommends a variation to the above ASC CAR clauses to allow Audit notifications and Audit reports for audits at operations located in Scandinavia to be published only in English.

# ASC – Aquaculture Stewardship Council
# Request for interpretation or variance

II ASC Determination

| 2.1 STATUS | 2.2 DATE OF THE ASC DETERMINATION |
|---|---|
| X☐Closed | 24/08/2016 |
| 2.3 ASC DETERMINATION ON VARIANCE REQUEST | |
| This VR is approved. | |
| 2.4 ASC INTERPRETATION | |
| It is a key requirement under the ASC Certification and Accreditation Requirements v1.0 and v2.0 to have audit reports available in both English and the local language.<br><br>Given the fact that all Scandinavian countries (Sweden, Denmark, Norway) are rated as "very high" (resp. position 1,3,4) in the English Proficiency Index (http://www.ef.nl/epi/) it can safely be assumed that English understanding is sufficient in order to understand the content of an ASC audit report. Based on this, this VR is approved. | |

# ASC – Aquaculture Stewardship Council
# Request for interpretation or variance

I CAB Request

| 1.1 NAME OF CAB | 1.2 DATE OF SUBMISSION | 1.3 CAB CONTACT PERSON | 1.4 EMAIL ADDRESS OF CAB CONTACT PERSON |
|---|---|---|---|
| DNV GL - Business Assurance | 10.04.2017 | Kim-Andre Karlsen<br>Odd H. Johannessen | kim.andre.karlsen@dnvgl.com<br>odd.johannessen@dnvgl.com |

**1.5 ASC DOCUMENT REFERENCE**

ASC Salmon Standard Version 1.0 June 2012.
Principle 5, Criterion 5.1.5 Maximum viral disease-related mortality on farm during the most recent production cycle ≤ 10%

**1.6 BACKGROUND (PROVIDE FULL EXPLANATION OF THE ISSUE)**

Cardio Myopathy Syndrome (CMS) and Heart and Skeletal Muscle Inflammation (HSMI) are common viral diseases in Norwegian Atlantic salmon farming, and continuous research and development in the field of fish health is required in order to reduce the mortality rates due to these two diseases. The last few years significant production losses in the fish-farming industry have been caused by these heart diseases.

Site Store Lerresfjord has had large losses due to the heart diseases CMS and HSMI. As illustrated in figure 1 below the first mortality from virus started in week 30/2015. The fish were investigated by the veterinarian and HSMI was verified by histopathological analysis. The mortality at the site due to virus diseases continued throughout the production cycle. The accumulated mortality of the 15G at Store Lerresfjord due to virus related mortality ended up at 17.6 % and thereby exceeds the ASC limit of 10%. The dominant causes of death identified at the Store Lerresfjord were CMS and HSMI.

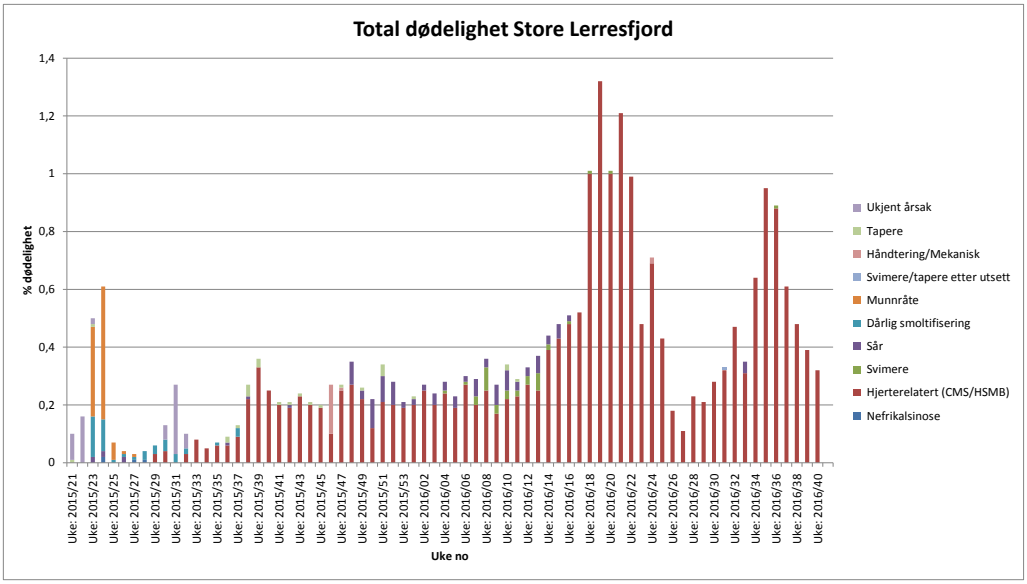


Figure 1. Mortality numbers pr week at Store Lerresfjord.

Short term preventive action:
As the mortality related to CMS and HSMI were highest in cages 1-3, to prevent further spread of the diseases on site the fish in cages 1-3 were harvested already in June 2016, 3-4 months prior to the harvest plan. In addition several other measures where conducted which is standardized in Cermaq in cases of diseases on our sites:

1. Increased daily frequencies on removal of moribund and diseased fish by site personal.
2. Avoidance of all unnecessary movement within the farm for reduction of stress.

3. Increased focus on cleaning and disinfection of equipment in contact with the fish.
4. Increasing follow up of site by management and fish health personal.
5. Utilization of the functional feed Boost from EWOS.

Long term actions:

1. Cermaq Norway is participating in a research project on CMS together with other salmon farmers and the National Veterinary Institute. The project period is from 2015-2019. The aim in this project is to improve the knowledge of CMS: 1) transmission routes, 2) evaluate the role of vertical transmission, 3) patterns of infection at sea, 4) identify risk factors of infection with PMCV (CMS-virus), and 5) identify risk factors for developing CMS.
2. Cermaq Norway utilize eggs from AquaGen with QTL-marker for increased CMS-resistance, in addition Cermaq Norway will implement the use of the new QTL-marker for increased HSMI-resistance from the autumn of 2017.
3. Cermaq Norway has release-criteria on all broodfish in terms of PRV-virus (HSMI-virus) and PMCV-virus (CMS-virus) ie we only utilize eggs from broodfish that are negative for the presence of these viruses.
4. Strategic utilization of functional feed diets better adapted for fish suffering from heart related diseases.

We hope that the preventive actions implemented at SL, and in Cermaq Norway in general are accepted as closing of the nonconformity for indicator 5.1.5. We feel confident that the preventive actions implemented, will contribute in a positive way and lead to the result that the site will again be compliant to indicator 5.1.5 for future generations.

**1.7 RECOMMENDED ACTION / DECISION**

DNV GL recommends that the preventive actions implemented and described in this VR by Cermaq Norway AS is accepted as sufficient actions for accepting and closing of the NC related to indicator **5.1.5** in the ASC Salmon Standard. Their analysis and plan to prevent or reduce mortality due to viral disease seems to be adequate and is likely to improve the situation on their sites. The described short term and long term actions show that they take this problem seriously and are willing to take the costs necessary to reduce the mortality and further spreading of the disease.
The NC for **5.1.5** is related to a metric value requirement measured on production cycle intervals and is a historic value that can never be directly corrected nor changed. The only way to improve the performance at the site for this specific requirement is to implement effective preventive actions as a strategy for future compliance to the ASC requirement **5.1.5**
The NC was detected by DNV GL during the yearly surveillance audit of the ASC Certified site Store Lerresfjord.

## II ASC Determination

| **2.1 STATUS** | **2.2 DATE OF THE ASC DETERMINATION** |
|---|---|
| X CLOSED | 12/05/2017 |

**2.3 ASC DETERMINATION ON VARIANCE REQUEST**

This VR is approved for Cermaq Norway – Store Lerretsfjord Farm

**2.4 ASC INTERPRETATION**

# ASC – Aquaculture Stewardship Council
# Request for interpretation or variance

The VR is granted on the basis that we recognize the limitations of performance indicator 5.1.5 and related requirement and guidance and further recognize that this performance indicator would be more effective if it would also promote innovation and best practice efforts related to the mitigation and control of viral diseases.

To provide some context to this decision, and subject to a future process in full compliance with ISEAL's Standard Setting Code, it is suggested that a future review of performance indicator 5.1.5 could include additional language such as:
"in the absence of an effective fish health strategy to address the impacts and spread of viral disease(s), maximum viral disease mortality shall not exceed 10% of the stocked biomass".

Suggested guidance:
An effective fish health strategy to address viral diseases is one that includes: "both short-term objectives to reduce mortality through improved animal husbandry (e.g. decreasing fish density in the pens, reduced handling and other practices resulting in physical stress, passive grading to remove highest risk fish and other related approaches to reduce disease development) and longer term objectives that will improve knowledge of transmission routes and epidemiological factors affecting disease outbreaks, determine how the virus is transferred, characterise infection patterns and identify risk factors of infection and disease development."