# BENCHMARK REPORT

SCHEME: **Best Aquaculture Practices (BAP) Certification**

SCOPE: **Aquaculture Certification:**
**Finfish and Crustacean Farms**
**Salmon Farms**

DATE: **4 October 2019**

Confidence in certified seafood

# STATEMENT OF RECOGNITION

SCHEME: **Best Aquaculture Practices (BAP) Certification**

STANDARDS: **Finfish and Crustacean Farms (Issue 2, Revision 3; 16 November 2016)**
**Salmon Farms (Issue 2, Revision 3; October 2016)**

DATE: **4 October 2017**

The Global Sustainable Seafood Initiative (GSSI) Steering Board recognizes Global Aquaculture Alliance's (GAA) Best Aquaculture Practices (BAP) 2, 3, and 4 star Certification to be in alignment with all applicable Essential Components of:

A Section A. Governance of a Seafood Certification Scheme

B Section B. Operational Management of a Seafood Certification Scheme

C Section C. Aquaculture Certification Standards - Finfish and Crustacean Farms

C Section C. Aquaculture Certification Standards - Salmon Farms

Thereby, GSSI considers the above seafood certification scheme to be in alignment with the FAO Guidenlines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries,

This Report lists evidence of alignment with applicable *GSSI Essential Components* and *GSSI Supplementary Components*, where implemented.

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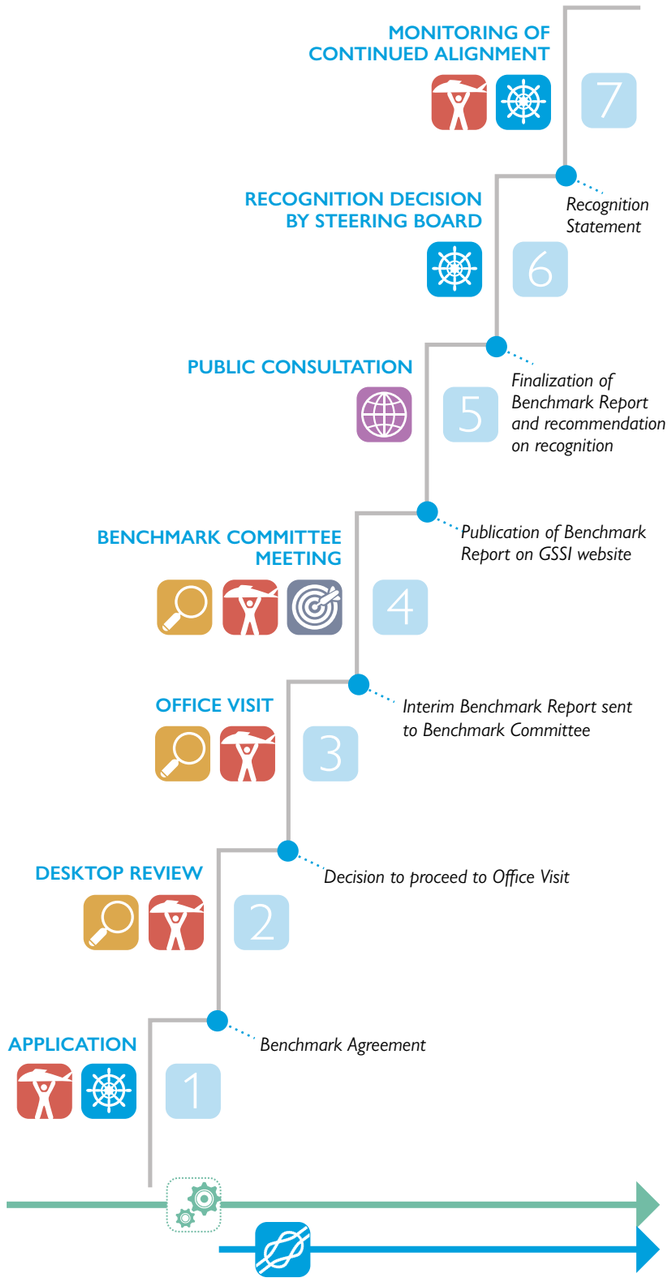
# SCHEME OVERVIEW

| | |
|---|---|
| SCHEME NAME | Best Aquaculture Practices (BAP) Certification |
| STANDARDS | Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017<br>Salmon Farms standard - Issue 2.3 - 13-October-2016 |
| FOUNDING DATE | 2002 |
| FOUNDING PARTIES | Global Aquaculture Alliance; Aquaculture Certification Council |
| MISSION | To promote responsible aquaculture practices through education, advocacy and demonstration. |
| OBJECTIVE(S) | A world that embraces and enables the role of responsibly farmed seafood in meeting global nutrition needs. |
| SCOPE | Aquaculture globally. |
| WEB SITE | https://www.aquaculturealliance.org |

# FROM APPLICATION TO RECOGNITION: KEY STEPS AND RESPONSIBILITIES IN THE GSSI BENCHMARK PROCESS

The GAA's Best Aquaculture Practices (BAP) Certification engaged in the 7 step - Benchmark Process to gain recognition by GSSI in December 2015. The expert-led process has been designed to be independent, impartial and transparent, and involves objective assessments by Independent Experts against the GSSI Benchmark Framework.

| | DESCRIPTION |
|---|---|
| 1 | **Application received on 14.12.2015**<br><br>The Benchmark Process began when the Global Aquaculture Alliance (GAA) applied for recognition and contacted the GSSI Secretariat, who provided an overview of the process. This was followed by the signing of a Benchmark Agreement to formalize the relationship between GAA and GSSI on 22.12.2015. The Steering Board then appointed a Steering Board Liaison to support the Benchmark Process; a team of two Independent Experts (IE) who conducted the Benchmark Process; and a Benchmark Committee to review the work of the IEs (see section: Who is Involved). The appointed experts were then approved by GAA and after submitting the completed application to GSSI the Secretariat initiated the Desktop Review. |
| 2 | **Desktop Review from 15.12.2015 to 01.03.2016**<br><br>This Desktop Review helped to assess the capability of GAA to proceed and successfully complete the Benchmark Process within the expected time frame. The submitted application was reviewed by two IEs; a Process IE (Aimee Russillo), who reviewed evidence for alignment against Sections A and B, and a Technical IE (John Hargreaves) who reviewed evidence submitted for Section C. Following an exchange with GAA, the IEs issued a Desktop Report and recommended to proceed to the Office Visit. |
| 3 | **Office Visit from 22.03.2016 to 23.03.2016**<br><br>The Office Visit was conducted by the Process IE (Aimee Russillo). While pending issues were clarified between GAA and the Technical IE by e-mail, the visit helped to clarify outstanding issues from the Desktop Review. Findings of the Desktop Review and Office Visit were documented in the Interim Benchmark Report. GAA approved the report before the Secretariat forwarded it to the Benchmark Committee. |
| 4 | **Benchmark Committee Meeting on 07.06.2017**<br><br>The Benchmark Committee acts as the "Quality Assurance" for the work undertaken by the IEs in the Desktop Review and Office Visit. It consists of the Steering Board Liaison (Chair of the Committee), IEs from the respective Sections and voluntary experts from across the sector. This meeting resulted in this Benchmark Report with a consensus-based recommendation to proceed to the public consultation. |
| 5 | **Public Consultation from 22.06.2017 to 22.07.2017**<br><br>A four-week public consultation was held to allow a transparent benchmark process with opportunity for engagement and comments. All comments submitted during this period were given careful consideration by the Benchmark Committee in their final recommendation for recognition.<br><br>During the Public Consultation The Anderson Cabot Center for Ocean Life at the New England Aquarium submitted comments. |
| 6 | **Recognition Decision by the GSSI Steering Board on 25.09.2017**<br><br>The Steering Board was briefed by the Steering Board Liaison on the Benchmark Report and the Benchmark Committee's recommendation for recognition. The Board reviewed the report and process and accepted the Benchmark Committee's recommendation for recognition. Following this decision by the Steering Board, a GSSI recognition Statement, the Benchmark Report, and all public comments as well as GSSI's responses, were published online at www.ourgssi.org |
| 7 | **Monitoring of Continued Alignment (MOCA) from April 2019 to October 2019**<br><br>In April 2019, Monitoring of Continued Alignment (MOCA) began which comprises a review of any changes in the Scheme's ownership, management or the standard itself. For the MOCA, the Process Independent Expert Aimee Rusillo was replaced by Sarah Ogston-Gray; and the Technical Expert John Hargreaves was replaced by Francis Murray.<br><br>The Independent Experts found the Finfish & Crustacean Farms Standard and the Salmon Standard, continue to be in alignment with all GSSI Essential Components for the Benchmarked sections. The Benchmark Committee recommended continued recognition, a decision that was approved by the GSSI Steering Board. |




## Who is involved?

**Scheme Owner**
An organisation, which is responsible for the development, management and maintenance of a certification scheme.

**Independent Experts**
A team of professional, competent and trained individuals appointed by GSSI's Steering Board to conduct the assessment of a seafood certification scheme applying for GSSI recognition.

**Steering Board Liaison**
An appointed member of GSSI's Steering Board assigned to support and monitor the Benchmark Process on behalf of the Steering Board.

**Benchmark Committee**
A multi-stakeholder committee of technical experts appointed by GSSI's Steering Board to review the Benchmark Report and provide a recommendation on recognition.

**Public**
Members of the global seafood industry, NGOs, academics , international organizations, and general public.

**Steering Board**
GSSI governing body who is responsible, with the support of the Secretariat, for the general management and performance of GSSI.

**GSSI Secretariat**
Concerned with operations, facilitation and communication, and all other work that may be required for the operational management of GSSI and the Benchmark Process.

# WHO IS INVOLVED*

## SCHEME REPRESENTATIVES

Mr Dan Lee
Dan Lee is the Standards Coordinator and Program Integrity Advisor for the BAP (Best Aquaculture Practices) Program and also a Research Associate at Bangor University, UK. He spent his early career farming crustaceans, most notably marine shrimp, for research and commercial projects in South America, the Caribbean, Africa and Asia. He gained an international reputation as an aquaculture expert through the publication of the text book Crustacean Farming, Ranching and Culture and through his work with the Global Aquaculture Alliance and the Aquaculture Certification Council. He has assisted in the development of international standards for responsible aquaculture, with special regard to food safety, traceability and environmental and social issues.

## INDEPENDENT EXPERT (PROCESS)

Sarah Ogston-Gray
Independent Expert for: Sections A&B

Sarah has over 20 years experience in the food industry in manufacturing, retail and audit. Sarah's expertise is in developing, implementing and auditing technical/quality standards and policies. She worked for Tesco in the UK for over 10 years, implementing standards and managing supplier assurance. She was responsible for implementing global auditor training and consistency in the Tesco Group. Since leaving Tesco she has worked as an independent consultant with clients primarily in the UK & Netherlands.

## INDEPENDENT EXPERT (TECHNICAL)

Dr. Francis Murray
SENIOR RESEARCH FELLOW, INSTITUTE OF AQUACULTURE, UNIVERSITY OF STIRLING
Independent Expert for Section C

Dr. Francis Murray has 28 years' experience in the aquaculture industry including, academic research, rural development and consultancy. This has given him a broad inter-disciplinary perspective on the aquaculture sector and a detailed understanding of the interaction of market, technology, management, and the physical, social and economic environment. He currently specializes in global value chain analysis, leads a UKRC/DFID project researching preventative health management in Asian and African aquaculture (IMAQulate) and is in a Horizon2020 consortium (PRIMEFISH) researching competitiveness of European aquaculture and fisheries. Previously, Dr. Murray coordinated a highly inter-disciplinary EU-FP7 large-scale, collaborative research project 'Sustaining Ethical Aquaculture Trade' which assessed the sustainability of major export seafood commodity groups farmed in Asia.

## STEERING BOARD LIAISON

Flavio Corsin
AQUACULTURE DIRECTOR , IDH, THE SUSTAINABLE TRADE INITIATIVE
Flavio Corsin oversees the Aquaculture Program at IDH the Sustainable Trade Initiative. IDH drives the joint design of economically viable approaches to realize green and inclusive growth at scale in several agriculture and manufacturing commodity sectors and sourcing areas in Asia, Africa and Latin America. Flavio spent more than two decades working in responsible aquaculture globally, working for several non-profit, intergovernmental and for-profit organizations. He also supported the establishment of several groundbreaking industry platforms in sectors such as coffee, tea, spices and apparel. Flavio holds a M.Sc. in aquaculture and a Ph.D. in epidemiology, the study of diseases in populations.

## STEERING BOARD MEMBERS

•Hugo Byrnes (Vice President Product Integrity, Ahold Delhaize)
•Dr. Jason Clay (Senior Vice President, Food & Markets)
•Flavio Corsin (Aquaculture Director, IDH, the Sustainable Trade Initiative)
•Jennifer Dianto Kemmerly (Director of Global Fisheries and Aquaculture, Monterey Bay Aquarium)
•Bill DiMento (Vice President of Quality Assurance, Sustainability, and Government Affairs, High Liner Foods Inc.)
•Lisa Goché (Vice President, Grobest Global Services, Inc.)
•Peter Hajipieris (On behalf of Regal Springs Global Responsibility, Sustainability and External Affiars)
•Wakao Hanaoka (Founder/CEO, Seafood Legacy)
•Dr. Audun Lem (Deputy Director of the Policy and Resources Division in the Fisheries and Aquaculture Department, FAO)
•Darian McBain (Global Director of Corporate Affairs and Sustainability, Thai Union)
•Angel Matamoro Irago (Chief Corporate Social Responsibility at Nueva Pescanova Group)
•Judy Panayos (Senior Director, Sustainability Supply Management, Sodexo)
•Elisabeth Vallet (Director, Ethic Ocean)
•Christian von Dorrien (Leader Fisheries and Environment Research Group, Institute of Baltic Sea Fisheries Thünen Institute)
•Andrea K. Weber (Director Corporate Sustainability, METRO AG
•Annika Mackensen (GIZ)

# WHO IS INVOLVED*

## GSSI SECRETARIAT REPRESENTATIVE

Marcela Vivas is the Benchmark Manager of GSSI. She has solid experience working as project manager of sustainable development initiatives, including the European Commission's projects worldwide. In the last 6 years, she has been operating in the framework of Project Cycle Management- design, implementation, monitoring, and evaluation. She has first-hand experience with certification agencies (FT, UTZ-RFA), especially with their codes of conduct, certification process, and evolutionary dynamics.

## BENCHMARK COMMITTEE MEMBERS

Aimee Russillo has over twenty five years of experience in international sustainable development. She works with supply chain actors, NGOs and government actors to integrate sustainability into operations, strategic decision making and more effectively managing for impact under real world conditions. She is an expert on social and environmental standards and eco-labelling programs. She actively participates in several global benchmarking initiatives. With a joint MBA and JD, she is based in the US, having lived and worked in Europe, Latin America and Africa.

Nigel Peacock has over 40 years experience working on most aspects of aquaculture and fisheries, including a wide range of seafood sector activities, many of which had a sustainability focus. This has included directing major fisheries management projects (e.g. management of the Peruvian anchoveta fishery R one of the world"s largest) and involvement in numerous aquaculture schemes (salmon, shrimp, seabass & seabream, tilapia, pangasius). Experience of the broad spectrum of fisheries and aquaculture include feasibility assessment, market research, investors due diligence, trade analysis and the regulatory environment. Nigel has worked in 95 countries globally in the Americas , Europe & Former Soviet Union, Africa, Middle East, Asia and Oceania.

Belinda Yaxley has a PhD in Zoology and over 15 years" experience in natural resource management. As the Sustainability and Accreditation Officer for Petuna Aquaculture she is working with certification schemes focused on responsible farming and sustainable practices for the company and Tasmanian Salmon Industry. Belinda is passionate about the application of sustainability efforts and responsible farming practices at Petuna but also in all areas of aquaculture across the globe.

Gregg Small is an Adjunct Faculty member and owner of Product Survey International, a consulting firm specializing in post-harvest processing and aquaculture practices. In these roles, Small served as liaison between government authorities, aquaculture certification bodies and the US and Asian processing industries that supply the retail marketplace. Small earned a master's degree: Policy Implications of Seafood Safety from the University of Washington's Fisheries/Oceanography College. In addition to working for several major processing companies he participated in US and EU Governmental and FAO projects worldwide. Gregg was employed with NOAA's Fisheries Management Division as a Fisheries Biologist, carried out seafood plant audits and lot inspections for the USDC and the FDA Office of Seafood Policy. He is currently participating with the FAO/GSSI Aquaculture Expert Working Group which developed a Global Benchmark Tool designed to harmonize wild and farmed seafood certified schemes. He lives north of Seattle and when he is not traveling, trying to train his new Lab puppy.

** Please include short biographical information*

# SUMMARY

A

B

C

FINFISH AND CRUSTACEAN FARMS

C

SALMON FARMS

# HOW TO READ THE SUMMARY

Each summary is a graphical display of all GSSI Essential Components and those GSSI Supplementary Components with which the benchmarked scheme is in alignment. *GSSI Components* which are not applicable are marked with "NA". All *GSSI Components* are organized by Topics and Elements. Source documents are colour-coded and referenced.

*GSSI Benchmark Report identification number*

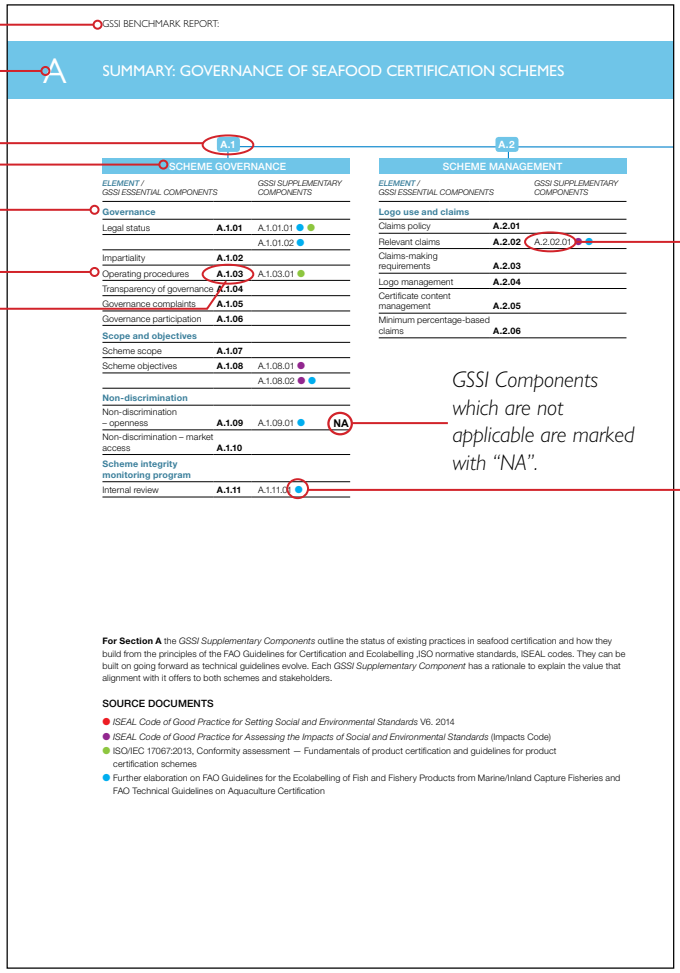
*Section*

*Performance Area number*
*Performance Area*

*Topic*

*Element*

***GSSI Essential Component:*** *each Element includes one or more GSSI Essential Components which are numbered according to their respective Section and Performance Area. e.g., A.1.03 is the 3rd GSSI Essential Component of Performance Area 1 in section A..*




*GSSI Components which are not applicable are marked with "NA".*

***GSSI Supplementary Component:*** *some GSSI Essential Components have one or more linked GSSI Supplementary Components, which are numbered according to their respective Section, Performance Area and Essential Component. e.g., A.2.02.01 is the first GSSI Supplementary Component linked to the 2nd GSSI EssentialComponent of Performance Area 2 in section A.*

*Each GSSI Supplementary Component is grounded in a reference document, indicated by a color code.*

# A SUMMARY: GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

## A.1 SCHEME GOVERNANCE

| *ELEMENT / GSSI ESSENTIAL COMPONENTS* | | *GSSI SUPPLEMENTARY COMPONENTS* |
|---|---|---|
| **Governance** | | |
| Legal status | **A.1.01** | A.1.01.01 ● ● |
| | | |
| Impartiality | **A.1.02** | |
| Operating procedures | **A.1.03** | |
| Transparency of governance | **A.1.04** | |
| Governance complaints | **A.1.05** | |
| Governance participation | **A.1.06** | |
| **Scope and objectives** | | |
| Scheme scope | **A.1.07** | |
| Scheme objectives | **A.1.08** | |
| | | |
| **Non-discrimination** | | |
| Non-discrimination – openness | **A.1.09** | A.1.09.01 ● |
| Non-discrimination – market access | **A.1.10** | |
| **Scheme integrity monitoring program** | | |
| Internal review | **A.1.11** | A.1.11.01 ● |

## A.2 SCHEME MANAGEMENT

| *ELEMENT / GSSI ESSENTIAL COMPONENTS* | | *GSSI SUPPLEMENTARY COMPONENTS* |
|---|---|---|
| **Logo use and claims** | | |
| Claims policy | **A.2.01** | |
| Relevant claims | **A.2.02** | |
| Claims-making requirements | **A.2.03** | |
| Logo management | **A.2.04** | |
| Certificate content management | **A.2.05** | |
| Minimum percentage-based claims | **A.2.06** | |

## A.2 STANDARD SETTING AND MAINTENANCE

| *ELEMENT / GSSI ESSENTIAL COMPONENTS* | | *GSSI SUPPLEMENTARY COMPONENTS* | |
|---|---|---|---|
| **Standard setting body** | | | |
| Standard setting body | **A.3.01** | | |
| Central focal point | **A.3.02** | | |
| **Standard setting procedures** | | | |
| Standards development and maintenance procedure | **A.3.03** | | |
| Work program | **A.3.04** | | |
| Terms of reference | **A.3.05** | | |
| Decision making process | **A.3.06** | A.3.06.01 ● ● | |
| | | A.3.06.02 ● ● | |
| | | A.3.06.03 ● ● | |
| | | A.3.06.04 ● ● | **NA** |
| | | A.3.06.05 ● | |
| Complaints | **A.3.07** | | |
| Standards review and revision | **A.3.08** | | |
| Proposals for revisions | **A.3.09** | | |
| Record keeping | **A.3.10** | | |
| **Participation and consultation** | | | |
| Public summary | **A.3.11** | | |
| Balanced participation | **A.3.12** | | |
| Public consultation | **A.3.13** | | |
| Public announcement | **A.3.14** | | |
| Stakeholder consultation | **A.3.15** | | |
| | | | |
| Transparency comments received | **A.3.16** | | |
| Taking comments into account | **A.3.17** | | |

| *ELEMENT / GSSI ESSENTIAL COMPONENTS* | |
|---|---|
| **Standards content** | |
| Standards content | **A.3.18** |
| Relevance of standards content | **A.3.19** |
| | **A.3.20** |
| Local applicability | **A.3.21** |
| **Standards accessability** | |
| Standards availability | **A.3.22** |
| Translations | **A.3.23** |
| **Transition period** | |
| Informing enterprises of transition | **A.3.24** |
| Transition period for compliance | **A.3.25** |
| | **A.3.26** |

**For Section A** the *GSSI Supplementary Components* outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes. They can be built on going forward as technical guidelines evolve. Each *GSSI Supplementary Component* has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

### SOURCE DOCUMENTS

- ● *ISEAL Code of Good Practice for Setting Social and Environmental Standards* V6. 2014
- ● *ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards* (Impacts Code)
- ● ISO/IEC 17065/2013, Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes
- ● Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification

# B SUMMARY: OPERATIONAL MANAGEMENT OF SEAFOOD CERTIFICATION SCHEMES

## B.1 ACCREDITATION

| **ELEMENT** / *GSSI ESSENTIAL COMPONENTS* | |
|---|---|
| ISO-17011 compliance | **B.1.01** |
| Non-discrimination | **B.1.02** |
| Specified requirements | **B.1.03** |
| Transition period | **B.1.04** |
| Accreditation body – Competencies | **B.1.05** |
| External review | **B.1.06** |
| Organizational transparency | **B.1.07** |
| Office audit | **B.1.08** |
| Field audit | **B.1.09** |

## B.2 CERTIFICATION

| **ELEMENT** / *GSSI ESSENTIAL COMPONENTS* | | *GSSI SUPPLEMENTARY COMPONENTS* | |
|---|---|---|---|
| **Certification process** | | | |
| ISO-17065 compliance | **B.2.01** | | |
| Fee structure | **B.2.02** | | |
| Certification cycle | **B.2.03** | | |
| Surveillance | **B.2.04** | | |
| Assessment methodology | **B.2.05** | B.2.05.01 🟢 🔵 🔴 | |
| | | B.2.05.02 🟢 🔵 🔴 | |
| Termination, suspension, withdrawal | **B.2.06** | | |
| Multi-site certification | **B.2.07** | | |
| Audit reports | **B.2.08** | | |
| Stakeholder input | **B.2.09** | B.2.09.01 🟢 🔵 | |
| | | B.2.09.02 🔵 | **NA** |
| Non-compliances | **B.2.10** | | |
| Site audit | **B.2.11** | | |
| Transparency on certified entities | **B.2.12** | | |
| Transparency on audit reports | **B.2.13** | | **NA** |
| | **B.2.14** | | |
| | | | |
| Notification of changes | **B.2.15** | | |
| Timeline for corrective action | **B.2.16** | | |
| **Auditor competence** | | | |
| Requirements for technical knowledge | **B.2.17** | | |
| Technical knowledge | **B.2.18** | | |
| General auditing skills | **B.2.19** | | |
| Scheme specific knowledge assessment | **B.2.20** | | |
| Scheme specific knowledge maintenance | **B.2.21** | | |
| Knowledge maintenance | **B.2.22** | | |

## B.3 CHAIN OF CUSTODY

| **ELEMENT** / *GSSI ESSENTIAL COMPONENTS* | |
|---|---|
| Segregation | **B.3.01** |
| Enterprises to be audited | **B.3.02** |
| Records for traceability | **B.3.03** |
| Sub-contractors | **B.3.04** |
| Auditing methods and frequency | **B.3.05** |
| Non-conformity/corrective actions | **B.3.06** |
| Audit report | **B.3.07** |
| | **B.3.08** |
| Record keeping | **B.3.09** |
| Multi-site Chain of Custody audit | **B.3.10** |
| Multi-site Chain of Custody internal verification | **B.3.11** |

**For Section B** the *GSSI Supplementary Components* outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes and the GFSI Guidance Document. They can be built on going forward as technical guidelines evolve. Each *GSSI Supplementary Component* has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

### SOURCE DOCUMENTS

- 🟢 *Assuring Compliance with Social and Environmental Standards, Code of Good Practice*, ISEAL Alliance, 2012
- 🔵 Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification
- 🔴 GFSI Guidance Document, Sixth Edition, Version 6.3, GFSI, October 2013

# C SUMMARY: AQUACULTURE CERTIFICATION STANDARDS FOR FINFISH AND CRUSTACEAN FARMS

## C.1 AQUATIC ANIMAL HEALTH MANAGEMENT

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Antimicrobial usage | **C.1.01** | |
| | **C.1.02** | |
| Biosecurity | **C.1.03** | |
| | **C.1.04** | |
| | **C.1.05** | |
| | **C.1.06** | |
| | **C.1.07** | |
| | **C.1.08** | C.1.08.03 ● |
| Off-farm disease transmission | **C.1.09** | |
| | **C.1.10** | |
| Record keeping | **C.1.11** | |

## C.2 CHEMICAL AND VETERINARY DRUG USE

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Chemical Usage | **C.2.01** | |
| | **C.2.02** | C.2.02.01 ● ● |
| Legal compliance | **C.2.03** | |

## C.3 ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Maintaining good culture and hygienic conditions | **C.3.01** | C.3.01.02 ● |
| General environmental management | **C.3.02** | |

## C.4 FEED USE

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Environmental considerations of feed Ingredients | **C.4.01** | C.4.04.01 ● ● |
| | **C.4.02** | |
| | **C.4.03** | |
| | **C.4.04** | C.4.04.04 ● |
| Feed biosecurity | **C.4.05** | |
| | **C.4.06** | |
| Feeding efficiency | **C.4.07** | |
| Legal compliance | **C.4.08** | |
| Record keeping | **C.4.09** | |

## C.5 IMPACTS ON HABITAT AND BIODIVERSITY

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Benthic habitats | **C.5.01** | |
| Predator control | **C.5.02** | |
| Preventing habitat impacts | **C.5.03** | |
| Sensitive habitat and biodiversity | **C.5.04** | C.5.04.01 ● |

## C.6 SEED

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Legal compliance | **C.6.01** | |
| Record keeping | **C.6.02** | |
| Wild seed | **C.6.03** | C.6.03.01 ● |
| Hatchery seed | **C.6.04** | |
| | **C.6.05** | |

## C.7 SPECIES SELECTION AND ESCAPES

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Escapes | **C.7.01** | |
| Genetically modified organisms | **C.7.02** | |
| Exotic species | **C.7.03** | |

## C.8 IMPACTS ON WATER RESOURCES

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Legal compliance | **C.8.01** | |
| Salinization | **C.8.02** | |
| Water use | **C.8.03** | C.8.03.01 ● |
| Water quality | **C.8.04** | |

**For Section C** the *GSSI Supplementary Components* outline the status of existing practices in seafood certification and how they relate to internationally agreed technical guidelines developed by FAO members since the Code of Conduct was agreed in 1995 and relevant OIE and WHO documents. They can be built on going forward as technical guidelines evolve. Each *GSSI Supplementary Component* has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

### SOURCE DOCUMENTS


- ● *Critically important antimicrobials for human medicine* – 3rd Rev. World Health Organization. 2012.
- ● *Aquatic Animal Health Code,* OIE, 18th Edition 2015
- ● *Aquaculture development. 4. Ecosystem approach to aquaculture. FAO Technical Guidelines for Responsible Fisheries.* No. 5, Suppl. 4. Rome, FAO. 2010. 53p.
- ● FAO (2011). *Aquaculture development. 6. Use of wild fishery resources for capturebased aquaculture. FAO Technical Guidelines for Responsible Fisheries.* No. 5, Suppl. 6. Rome, FAO. 2011. 81 pp.
- ● *Aquaculture development. 3. Genetic resource management. FAO Technical Guidelines for Responsible Fisheries.* No. 5, Suppl. 3. Rome, FAO. 2008. 125p
- ● *Aquaculture development. 5. Use of wild fish as feed in aquaculture. FAO Technical Guidelines for Responsible Fisheries.* Rome, FAO. 2011. 79p.
- ● Hasan and Halwart (2009). *Fish as feed inputs for aquaculture: practices, sustainability and implications.* FAO Fisheries and Aquaculture Technical Paper. No. 518. Rome, FAO. 2009. 407p.
- ● *FAO Technical Guidelines for Aquaculture Certification*
- ● Serrano (2005). Responsible use of antibiotics in aquaculture. FAO Fisheries Technical Paper 469.
- ● Conservation Alliance for Seafood Solutions (2015). Guidelines for Supporting Fishery Improvement Projects. *www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf*
- ● The WHO Recommended Classification of Pesticides by Hazard. 2009. *www.who.int/ipcs/publications/pesticides_hazard/en/*
- ● Rotterdam Convention Annex III listed chemicals - 2010, see *www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx*

# C SUMMARY: AQUACULTURE CERTIFICATION STANDARDS FOR SALMON FARMS

## C.1 AQUATIC ANIMAL HEALTH MANAGEMENT

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Antimicrobial usage | **C.1.01** | |
| | **C.1.02** | |
| | | |
| Biosecurity | **C.1.03** | |
| | **C.1.04** | |
| | **C.1.05** | |
| | **C.1.06** | |
| | **C.1.07** | |
| | **C.1.08** | C.1.08.02 |
| | | C.1.08.03 |
| | | C.1.08.05 |
| Off-farm disease transmission | **C.1.09** | |
| | **C.1.10** | |
| Record keeping | **C.1.11** | |

## C.2 CHEMICAL AND VETERINARY DRUG USE

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Chemical Usage | **C.2.01** | |
| | **C.2.02** | |
| Legal compliance | **C.2.03** | |

## C.3 FEED USE

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Environmental considerations of feed Ingredients | **C.4.01** | |
| | **C.4.02** | |
| | **C.4.03** | |
| | **C.4.04** | C.4.04.04 |
| Feed biosecurity | **C.4.05** | |
| | **C.4.06** | |
| Feeding efficiency | **C.4.07** | |
| Legal compliance | **C.4.08** | |
| Record keeping | **C.4.09** | |

## C.3 ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Maintaining good culture and hygienic conditions | **C.3.01** | C.3.01.01 |
| | | C.3.01.02 |
| General environmental management | **C.3.02** | |

## C.5 IMPACTS ON HABITAT AND BIODIVERSITY

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Benthic habitats | **C.5.01** | |
| Predator control | **C.5.02** | |
| Preventing habitat impacts | **C.5.03** | |
| Sensitive habitat and biodiversity | **C.5.04** | |

## C.6 SEED

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Legal compliance | **C.6.01** | |
| Record keeping | **C.6.02** | |
| Wild seed | **C.6.03** | **NA** C.6.03.01 |
| Hatchery seed | **C.6.04** | **NA** |
| | **C.6.05** | |

## C.7 IMPACTS ON WATER RESOURCES

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Legal compliance | **C.8.01** | |
| Salinization | **C.8.02** | **NA** |
| Water use | **C.8.03** | **NA** |
| Water quality | **C.8.04** | |

## C.7 SPECIES SELECTION AND ESCAPES

| *ELEMENT / GSSI ESSENTIAL COMPONENT* | | *GSSI SUPPLEMENTARY COMPONENT* |
|---|---|---|
| Escapes | **C.7.01** | |
| Genetically modified organisms | **C.7.02** | |
| Exotic species | **C.7.03** | |

**For Section C** the *GSSI Supplementary Components* outline the status of existing practices in seafood certification and how they relate to internationally agreed technical guidelines developed by FAO members since the Code of Conduct was agreed in 1995 and relevant OIE and WHO documents. They can be built on going forward as technical guidelines evolve. Each *GSSI Supplementary Component* has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

### SOURCE DOCUMENTS


- *Critically important antimicrobials for human medicine* – 3rd Rev. World Health Organization. 2012.
- *Aquatic Animal Health Code,* OIE, 18th Edition 2015
- *Aquaculture development. 4. Ecosystem approach to aquaculture. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 4. Rome, FAO. 2010. 53p.
- FAO (2011). *Aquaculture development. 6. Use of wild fishery resources for capturebased aquaculture. FAO Technical Guidelines for Responsible Fisheries.* No. 5, Suppl. 6. Rome, FAO. 2011. 81 pp.
- *Aquaculture development. 3. Genetic resource management. FAO Technical Guidelines for Responsible Fisheries.* No. 5, Suppl. 3. Rome, FAO. 2008. 125p
- *Aquaculture development. 5. Use of wild fish as feed in aquaculture. FAO Technical Guidelines for Responsible Fisheries.* Rome, FAO. 2011. 79p.
- Hasan and Halwart (2009). *Fish as feed inputs for aquaculture: practices, sustainability and implications.* FAO Fisheries and Aquaculture Technical Paper. No. 518. Rome, FAO. 2009. 407p.
- *FAO Technical Guidelines for Aquaculture Certification*
- Serrano (2005). Responsible use of antibiotics in aquaculture. FAO Fisheries Technical Paper 469.
- Conservation Alliance for Seafood Solutions (2015). Guidelines for Supporting Fishery Improvement Projects. *www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf*
- The WHO Recommended Classification of Pesticides by Hazard. 2009. *www.who.int/ipcs/publications/pesticides_hazard/en/*
- Rotterdam Convention Annex III listed chemicals - 2010, see *www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx*

# EVIDENCE OF ALIGNMENT

*GSSI Essential Components*
and *GSSI Supplementary Components*
for Governance of
Seafood Certification Schemes

**A**

**B**

*GSSI Essential Components*
and *GSSI Supplementary Components*
for Operational Management
of Seafood Certification Schemes

*GSSI Essential Components*
and *GSSI Supplementary Components*
for Aquaculture Certification Standards

**C**
**FINFISH AND CRUSTACEAN FARMS**

**C**
**SALMON FARMS**

*GSSI Essential Components*
and *GSSI Supplementary Components*
for Aquaculture Certification Standards

# HOW TO READ THE EVIDENCE OF ALIGNMENT

The Evidence of Alignment consists of the conclusion of the Independent Expert, the rationale which led to this and the references supporting the conclusion which are listed below.

## *GSSI Essential Components*

*GSSI Benchmark Report identification number*

*Section number*

*Performance area*

*Topic*

*GSSI Component number*

*Element*

*GSSI Essential Component*

*Guidance for alignment*

*Number of related GSSI Supplementary Component(s)*

*Conclusion: Summary of findings by the Independent Expert that confirms alignment of the Certification Scheme with the requirements of the Component*

*References: Evidence sighted by the Independent Expert that demonstrates alignment which could include policies, procedures, records, interviews, etc.*

GSSI BENCHMARK REPORT: GSSI ESSENTIAL COMPONENT **A.1.01**

A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

SCHEME GOVERNANCE

GOVERNANCE

A.1 01 LEGAL STATUS

GSSI ESSENTIAL COMPONENT

The Scheme Owner is a legal entity, or an organization that is a partnership of legal entities, or a government or inter-governmental agency.

GUIDANCE

Scheme Owner is an entity which could be held legally responsible for its operations.

Examples of evidence for scheme alignment:

- an official document showing registration with legal authorities and current legal status of organization. Examples include incorporation papers, statutes, business licenses and registration with tax authorities.

For government Scheme Owners, clear lines of responsibility and authority on decision making should be identified.

Pre-application to require scheme to identify legal registered entity or lead government agency/department.

RELATED SUPPLEMENTARY COMPONENTS

A.1 01 A.1 01 01 02

CONCLUSION

REFERENCES

COMPONENT NUMBER A.1.01

***Evidence of alignment with applicable GSSI Essential Components.*** These Components are grounded in the Code of Conduct for Responsible Fisheries (CCRF) and the FAO Guidelines, which a seafood certification scheme must meet to be recognised by GSSI.

## *GSSI Supplementary Components*

*GSSI Supplementary Component number*

*GSSI Supplementary Component and rationale for inclusion*

GSSI BENCHMARK REPORT: GSSI SUPPLEMENTARY COMPONENT **A.1.01.01**

A.1 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

SCHEME GOVERNANCE

GOVERNANCE

A.1 01 01 LEGAL STATUS

GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has insurance or reserves to cover the operations of the scheme.

Note: This does not apply to government-run schemes as they are self-insured.

*Rationale: Demonstrates that the Scheme Owner has adequately evaluated risks arising from its activities.*

GUIDANCE

The Scheme Owner shall be able to demonstrate that it has evaluated the risks arising from its activities and that it has adequate arrangements (e.g. insurance and/ or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. (adapted ISO 17021 5.3 and ISO 17065 4.3)

Examples of evidence for scheme alignment:

- system for business risk assessment, insurance policy,
- clauses in accreditation body and/or certification body contracts addressing liability.

CONCLUSION

***Evidence of alignment with implemented GSSI Supplementary Components.*** These Components are grounded in the CCRF and related FAO documents, ISO normative standards and ISEAL codes, which show a seafood certification scheme's diverse approach and help stakeholders understand where differences exist.

# A

# EVIDENCE OF ALIGNMENT WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS** FOR GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### ▶ GOVERNANCE

### A.1 01 LEGAL STATUS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner is a legal entity, or an organization that is a partnership of legal entities, or a government or inter-governmental agency.

#### GUIDANCE

Scheme Owner is an entity which could be held legally responsible for its operations.

Examples of evidence for scheme alignment:

- an official document showing registration with legal authorities and current legal status of organization. Examples include incorporation papers, statutes, business licenses and registration with tax authorities.

For government Scheme Owners, clear lines of responsibility and authority on decision making should be identified.

Pre-application to require scheme to identify legal registered entity or lead government agency/department.

RELATED SUPPLEMENTARY COMPONENTS

A.1 01 01 A.1 01 02

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the legal entity is registered with the Secretary of state in Delaware.

#### REFERENCESS

https://icis.corp.delaware.gov/Ecorp/EntitySearch/NameSearch.aspx

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 02 IMPARTIALITY

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner is not directly engaged in the operational affairs (auditing or certification) of the certification or accreditation program.

Note: This does not include complaint resolution or performance review.

#### GUIDANCE

Scheme Owner is not directly engaged in auditing, certification or accreditation activities in order to ensure freedom of commercial or financial pressure of assurance processes and decision making. This does not include complaint resolution or performance reviews.

Examples of evidence for scheme alignment:

- impartiality policy, impartiality clauses in certification body and accreditation body contracts, management control procedures

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the scheme owner is not directly engaged in the operational affairs (auditing or certification) of the certification or accreditation program. Assessments are conducted by independent and qualified Certification Bodies accredited to ISO 17065:2012 which requires this GSSI component.

#### REFERENCES

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.1.02 New CB_Approval_Procedure_Issue3.2_19-April-2018.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP_Policy_NewCB_Approval_Procedure_Issue3.2_19-April-2018.pdf

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 03 OPERATING PROCEDURES

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner operates to a documented set of governance policies and procedures specifying at least the following:

- Board or governance body election or appointment process,
- Board or governance body representation and Terms of Reference,
- Member categories (where applicable),
- Income generation or funding processes,
- An organizational structure,
- The decision making processes of each governance body,
- Key personnel roles (responsibility and authority),
- Managing conflict of interest, and
- A conformity assessment program.

#### GUIDANCE

The Scheme Owner has policies/procedures available covering all aspects in this *Essential Component* except Member categories if not applicable.

Examples of evidence for scheme alignment:

- statutes and by-laws, organizational chart, internal procedures, job descriptions, conflict of interest statements, quality assurance manuals

RELATED SUPPLEMENTARY COMPONENTS

A.1 03 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment a documented set of governance policies and procedures are in place, covering all of the GSSI listed requirements. Updated GAA By-laws approved 7/3/2012 "Article IV 1. Board members shall be elected by a majority of those members voting at the GAA Annual Meeting." Article IV Section 4.a-e. describe ToR. Article III Membership outlines categories. Decision making is mostly regulated to the BoD, Article IV. 7 "The Board of Directors shall determine the policies, programs and budget of the GAA. It shall have the authority to hire staff, consultants, counsel or agencies to execute its decisions as specified in Article VII. The Board of Directors shall have the authority to develop codes or standards of practice applicable to aquaculture, license said standards for certification, and institute communications, advertising or education programs to promote such codes or standards." Standards committee role is outlined on the website.

#### REFERENCES

A.1.03 Bylaws of the Global Aquaculture Alliance - Issue 1.1 - 29-March-2017.pdf
A.1.03 Org Chart 12.14.18.pdf

Original references.

- Managing conflict of interest, GAA Division Conflict of Interest. Employee Disclosure 2 Issue 4, May 2016 and review of Statements (internal.)

"BAP CB Requirements Document – Issue 14.2 – 16-November 2016" (internal) CB and Auditor 3.7.6 Conflict of Interest, Confidentiality, and Code of Conduct

BAP Process Document-
http://bap.gaalliance.org/wp-content/uploads/sites/2/2015/02/bap-proc_001.pdf
Standards Oversight Committee. https://www.aquaculturealliance.org/who-we-are/leadership/

Standards Oversight Committee. https://www.aquaculturealliance.org/who-we-are/leadership/

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 04 TRANSPARENCY OF GOVERNANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner makes information freely and publicly available about the scheme's governance structure, Scheme Ownership, standards and standard-setting procedures, and the composition, operating procedures and responsibilities of its governance bodies.

#### GUIDANCE

All applicable listed governance documents are easily accessible online, free or at cost of any printing and handling costs.

Examples of evidence for scheme alignment:

- applicable documents posted on website, easy to find and free to download. If printed copies are offered - charges are reasonable to cover printing and handling.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the information is freely available to download from the GAA/BAP website. The website includes information on: governance structure, Scheme Ownership, composition, operating procedures and responsibilities of its governance bodies,the different standards and standard-development process and the composition are found detailed on the website.

#### REFERENCES

https://www.aquaculturealliance.org/about-gaa/

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.03 Org Chart 12.14.18.pdf

A.1.03 Bylaws of the Global Aquaculture Alliance - Issue 1.1 - 29-March-2017.pdf

Documents publicly available on the GAA/BAP website:

Governance body:https://www.aquaculturealliance.org/who-we-are/leadership/

Operating Procedures and responsibilities of Governance Bodies (by-laws) available on request:

https://www.bapcertification.org/program-integrity/

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 05 GOVERNANCE COMPLAINTS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner has a transparent process to assess complaints based on a publicly available procedure for resolving complaints related to governance, scheme management and executive functions.

#### GUIDANCE

Complaints procedure is documented and clearly outlines steps, timelines and responsibilities to address and resolve complaints. The process for submitting a complaint - how and to whom - is public and easily understood. A process is in place to identify when and if the complaint is addressed and resolved.

Examples of evidence for scheme alignment:

- easily found complaint process and submission form online.
- documentation of existing complaints and their resolution.
- possibly request accreditation and certification bodies for previous submissions of complaints and resolution.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the appeals and complaints policy is available on the BAP website under Program Integrity which allows for complaints related to governance, scheme management, etc. "Complaints, appeals and disputes regarding certification brought to the attention of the Best Aquaculture Practices program by retailers, consumers, facilities or other parties will be handled by GAA/BAP or referred to the certification body involved, depending on the nature of the complaint," with clear details on how to submit a complaint.

The office visit showed there is a functioning system.

#### REFERENCES

A.1.05 Complaints, Appeals and Disputes - Issue 2.2 - 17-October-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20Complaints,%20Appeals%20and%20Disputes%20-%20Issue%202.2%20-%2017-October-2017.pdf

https://www.bapcertification.org/ProgramIntegrity

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 06 GOVERNANCE PARTICIPATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that stakeholders have the opportunity to participate in or provide direct input to the top governance body.

#### GUIDANCE

The Scheme Owner provides freely accessible public information outlining how stakeholders can participate in or provide direct input to the top governance body.

Examples of evidence for scheme alignment:

- online process document for submission of input, governance body selection process and stakeholder composition, review of previous stakeholder inputs and verify if/how this reached top governance.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because stakeholders have opportunities to input to the top governance of GAA.

This includes the standards development process where GAA delegates the primary guidance and oversight for the process to a Standards Oversight Committee (SOC), whose members represent one-third industry, one-third non-governmental conservation and social justice organizations, and one-third academic and regulatory interests.

Each BAP standard is reviewed, revised, and voted on by a Technical Committee composed of technical experts and representatives of those groups interested in or affected by the standards and forwarded to the SOC for approval before sign off by GAA board of directors. The SOC reports its recommendations to the GAA Board of Directors for final standards approval. The SOC also approves committee membership, ensuring that each committee represents a balance of stakeholders.

The BAP standards have a requirement for stakeholder input at each audit.
The annual GAA GOAL conference aims to promote input/raise discussion on issues with stakeholders (e.g. raising polls), using this forum for receiving feedback.

GAA Board of Directors consist of a wide range of stakeholders elected from across the aquaculture industry.

#### REFERENCES

https://www.aquaculturealliance.org/about-gaa/

A.1.06 Minutes SOC Ecuador 2018.docx

A.1.06 Screenshot of the webpage regarding the public comment process.docx

https://www.bapcertification.org/Standards

https://www.bapcertification.org/Downloadables/pdf/BAP-MolluskF-Com.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-fishcrustf-com_001.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### ▶ SCOPE AND OBJECTIVES

### A.1 07 SCHEME SCOPE

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner has a defined scope for certification under its scheme.

**GUIDANCE**

The Scheme Owner clearly defines scope that standard covers, for example which species, production systems/gear type, geographical locations, company structures (single units, groupings of sites/boats, smallholder groups/small-scale fisheries, subcontractors, product categories, certifiable units in the chain of custody etc.).

Examples of evidence for scheme alignment:

- explicit scope definition in certification methodology/requirements, standards, objectives.
- contracts with accreditation bodies, certification bodies and/or certified operations

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the scope of the Standards are clearly defined on page 1 of the Salmon Farms, Finfish & Crustacean Farms & Mollusk Farms Standard documents.

In addition, the scope is also covered in the CB Requirements document on pages 6 & 7.

**REFERENCES**

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Latest version of CB Requirements Doc:

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Reference audit sample list. AuditsamplelistGAA.xlsx

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 08 SCHEME OBJECTIVES

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner has defined objectives for its scheme that aim for responsible use of the resource and has publicly available performance indicators related to scheme objectives.

#### GUIDANCE

Objectives for the scheme are defined and documented. The defined objectives cover all environmental resources covered in the standards; this would normally be for example fish populations, habitats and ecosystems, water, possibly energy, endangered species and biodiversity within the impact zone. Indirect use of resources for e.g. feed production may also be addressed. For each objective and associated resources, performance indicators are defined, documented and publically available.

Examples of evidence for scheme alignment:

- standard document with objectives and thresholds.

RELATED SUPPLEMENTARY COMPONENTS

A.1 08 01 A.1 08 02

#### CONCLUSION

The GAA BAP Program is in alignment because the objectives are defined in the CB Requirements: "The objectives of the GAA BAP standards for farms, hatcheries, feed mills and processing plants is to specify food safety, quality, environmental and social responsibility, verification testing and traceability criteria required to be in place within the type of operation each standard applies to."The standards are performance based and could be defined as defining objectives (water use, exceed minimum wage, etc" with thresholds and documented evidence in audit reports. These are not publicly available. Office audit showed new software tool being developed to track audit results but not yet implemented..

#### REFERENCES

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

BAP Mollusk Committee Agenda.doc

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### NON-DISCRIMINATION

### A.1 09 NON-DISCRIMINATION – OPENNESS

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner ensures that all types of fishery/aquaculture operations within the scope of its scheme can apply for certification, regardless of their scale, size or management arrangements, and has not set an upper limit on the number of operations that can be certified.

**GUIDANCE**

The Scheme Owner application process ensures equal access within the defined standard scope whether directly, sub-contractors or outsourcing (i.e. to certification body).

Examples of evidence for scheme alignment:

- application process selection criteria do not discriminate on factors such as size, scale, management, minimum number of operators.
- review declined applications are due to other non-discriminatory issues (i.e. incomplete, out of scope)

RELATED SUPPLEMENTARY COMPONENTS

A.1 09 01

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because application forms have no limits to the number of applicants and no limits related to the size, scale or management arrangements of the farms. Review of Application and sample forms.

**REFERENCESS**

https://www.bapcertification.org/Certification

A.1.09 Website Screenshot - The Application Process.docx

A.1.09 Website Screenshot - iBAP

A.1.09 BAP Cluster Program - Issue 1.2 - 29-March-2019 (1).docx

A.1.09 Farm and Hatchery Group Program Policy and Control Document Issue 1.0 - 13-December-2018 (1).docx

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### A.1 10 NON-DISCRIMINATION – MARKET ACCESS

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner does not have mandatory requirements that require a fishery / aquaculture operation to be certified in order to access any markets.

**GUIDANCE**

Application selection process and certification methodology/requirements do not include mandatory requirements for access to markets.

Absence of such requirements indicates alignment.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because there are no mandatory requirements for certification for market access.

**REFERENCESS**

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

# A.1 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### ▶ SCHEME INTEGRITY MONITORING PROGRAM

### A.1 11 INTERNAL REVIEW

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner undertakes a fully documented annual management review of scheme performance, including its assurance program, and the performance of certification and accreditation bodies. The results of the review are used to revise its operating procedures and practices, where necessary.

#### GUIDANCE

System exists for an annual documented management review that covers scheme performance, assurance program, accreditation bodies and certification bodies as applicable. A documented system to use the results of the review to revise operating procedures and systems is available.

RELATED SUPPLEMENTARY COMPONENTS

A.1 11 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because annual management reviews are conducted according to a internal policies.

The CB requirements document also notes p6. "Best Aquaculture Practices conducts regular reviews of the operation of the scheme to protect program integrity and ensure compliance with the requirements of global standards..."

The internal review took place in September 2016. The report included the performance of ABs and CBs and clearly outlined recommendations for revisions of its operating procedures and processes where needed.

#### REFERENCES

Original References:

BAP CB Requirements Document – Issue 14.2 – 16-November 2016
https://www.bapcertification.org/wp-content/uploads/2017/01/BAP-CB-Requirements-Document-Issue-14.2-16-November-2016.pdf

Confidential internal documents reviewed:

Internal Annual GAA BAP Program Review Procedure. NO DATE

Annual BAP Program Review Report Sept 2016

BAP Internal Audit Schedule. NO DATE.

Agenda and Meeting Notes with Acoura at GOAL 21 Sept 2016

Agenda and Meeting Notes with GTC GOAL 20 Sept 2016

internal. GAA BAP Document Management and Control Procedure - Issue 3 - 10 Oct 2016

CB Performance Review Procedure Issue 1 - NO DATE

Updated:
A.1.11 GAA Annual Internal Review Report 2018 (1).docx

# A.2 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME MANAGEMENT

### ▶ LOGO USE AND CLAIMS

### A.2 01 CLAIMS POLICY

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner has a publicly available policy governing use of symbols, logos and claims.

**GUIDANCE**

Scheme Owner has a policy that covers use of symbols, logos and claims if applicable to its system. The policy is public, easily accessible and available in languages appropriate to geographic scope.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because a publicly available policy for logo usage, brand identity and product claims is documented and summarized online on the BAP website.

**REFERENCES**

A.2.01 BAP Logo Use Guide - Issue 1.0 -29-June-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20BAP%20Logo%20Use%20Guide%20-%20Issue%201.0%20-29-June-2017.pdf

# A.2 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME MANAGEMENT

### A.2 02 RELEVANT CLAIMS

#### GSSI ESSENTIAL COMPONENT

Through the claims policy, the Scheme Owner ensures copyright is protected and that symbols, logos and claims are only applied to activities that are within the scope of certification, do not overstate or mislead users relative to the defined scope, and are relevant to that scope.

#### GUIDANCE

Claims policy (see A.2.01), contracts and MoUs ensure that logo use and claims are copyright protected and are restricted to activities within the scope of certification. This includes symbols, logos and claims on and off product, such as marketing materials, consumer brochures and the internet.

Examples of evidence for scheme alignment:

- legal registration of logos and seals with applicable agents.
- claims policy covers clear scope for on and off product use, claims and statements including policy for misuse.
- contractual relationships specify explicitly adherence to claims policy.
- records of applications for use of claims, records of complaints or violations.

RELATED SUPPLEMENTARY COMPONENTS

A.2 02 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because clear logo use and claims policies are in place and implemented. During the pilot office audit in June 2015 evidence was seen of investigation from 2012 of misuse of logo, and subsequent removal of certification.

#### REFERENCES

A.2.01 BAP Logo Use Guide - Issue 1.0 -29-June-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20BAP%20Logo%20Use%20Guide%20-%20Issue%201.0%20-29-June-2017.pdf

# A.2 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME MANAGEMENT

### A.2 03 CLAIMS-MAKING REQUIREMENTS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the certified organization does not make or permit any misleading statement or use regarding the status or scope of its certification.

#### GUIDANCE

The Scheme Owner has a contract, MoU or other formal arrangement with certified entity.

Examples of evidence for scheme alignment:

- publically available Logo Use and Claim document which is explicitly referenced in formal arrangement with certified entity.
- other examples include direct logo agreements, licensing or membership agreements with the Scheme Owner or its commercial partner or indirect contracts/agreements through the certification body.
- in the latter case the requirements to include this in contracts/agreements should be outlined in certification requirements/methodologies or similar contract/agreement between the Scheme Owner and the certification body.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because the scheme requires that certified organizations follow the Logo Use and Product Claims Rules. This is ensured through two enforceable agreements required to be signed by the facilities. Both agreements address logo usage, trademark infringement and compliance policies. During the pilot office audit in June 2015 evidence was seen of investigation from 2012 of misuse of logo, and subsequent removal of certification.

#### REFERENCES

A.2.01 BAP Logo Use Guide - Issue 1.0 -29-June-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20BAP%20Logo%20Use%20Guide%20-%20Issue%201.0%20-29-June-2017.pdf

A.2.03 BAP - Agreement - Facility Agreement; Signature - Issue 1.6 - 3-April-2019 (1).docx

# A.2 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME MANAGEMENT

### A.2 04 LOGO MANAGEMENT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner or its delegated authority issues written and enforceable authorizations and/or licenses to use the scheme's mark/claim/logo only when the facility and/or product has been certified as being in conformity with the relevant standard.

#### GUIDANCE

Contracts or formal agreements with the certified entity specify legal responsibility for the use of the scheme's mark/claim/logo only when the facility and/or product are certified.

Examples of evidence for scheme alignment:

- direct logo agreements, licensing or membership agreements with the Scheme Owner or a delegated authority.
- indirect contracts/agreements through the certification body.
- in the latter case the requirements should be outlined in certification requirements/methodologies or similar contract/agreement between the Scheme Owner and the certification body to include this in contracts/agreements.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because certified clients must sign a Certification Mark Agreement and pay a license grant. The granted license is non-transferable (without any right to sub-license), and non-exclusive.
The Certification agreement states that "all users must register with BAP any Certification Mark usage. No party has authorization to use the Certification Mark without a countersigned BAP Certification Mark agreement. The Licensee shall not use the Certification Marks other than in accordance with the provisions of the agreement (including its schedules)."

To apply for logo approval, clients have to submit the Logo Information Sheet to BAP.

During the pilot office audit in June 2015 evidence was seen of investigation from 2012 of misuse of logo, and subsequent removal of certification.

GAA Annual internal review procedure includes a review of logo policing.

#### REFERENCES

A.2.01 BAP Logo Use Guide - Issue 1.0 -29-June-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20BAP%20Logo%20Use%20Guide%20-%20Issue%201.0%20-29-June-2017.pdf

A.2.03 BAP - Agreement - Facility Agreement; Signature - Issue 1.6 - 3-April-2019 (1).docx

# A.2 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME MANAGEMENT

### A.2 05 CERTIFICATE CONTENT MANAGEMENT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certificates to include, at a minimum:

- the name and address of the accreditation body or Scheme Owner;
- the name and address of the certification body;
- the name and address of the certification holder;
- the effective date of issue of the certificate;
- the substance (scope of certification) of the certificate;
- the term for which the certification is valid;
- signature of the issuing officer.

#### GUIDANCE

The issuer of the certificate ensures that minimum information enables identification and contact information of assurance process parties (accreditation body, Scheme Owner and certification body), unique name and address of certified entity, date and validity, scope and signature of issuing officer.

Examples of evidence for scheme alignment:

- mandatory normative documents such as certification requirements/methodologies with certification bodies that cover all points listed.
- mandatory certificate template includes all points listed.
- review examples of certificates.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because a fully compliant certificate template is in use.

The CB Certificate states:
− The name of the Scheme Owner and its logo and website address.
− The name and logo of the certification body.
− The name of the Accreditation body
− The name and address of the certification holder
− The date of issue of the certificate
− The term for which the certification is valid
− The scope of certification and the product species
− Registration No/certificate No
− Signature of the issuing officer.

#### REFERENCES

A.2.05 BAP CB Certificate Template Issue 2 February 2013.pdf

F10835.18 cert.pdf
F10510.19 cert.pdf
F10585C.19_Quitralco_7_ISO_CERT.pdf

Original:
internal:
review of 9 random certificates Salmon across CBs and geographies
Office visit:
Certificates reviewed and verified at office audit for finfish.

# A.2 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## SCHEME MANAGEMENT

### A.2 06 MINIMUM PERCENTAGE-BASED CLAIMS

#### GSSI ESSENTIAL COMPONENT

Where a seafood ingredient can be certified, the Scheme Owner requires that at least 95% of the total seafood ingredient within a product is of certified origin in order for the scheme's logo or certification mark to be used. Where there is less than 95%, the scheme requires that the percentage must be stated and the logo or certification mark cannot be used.

#### GUIDANCE

The Scheme Owner specifies minimum percentages for use of logo and claims in mixed products. This states that at least 95% of the total seafood ingredient that can be certified, for unqualified claims and for lower percentages, a qualifying statement of the percentage must be used in conjunction with the logo or claim.

Examples of evidence for scheme alignment:

- normative documents such as scope definition, certification requirements/ methodologies or other agreements between the Scheme Owner and certification body that define these percentage claims.
- logo use and claims policy which is explicitly referenced in formal contracts and agreements with certification bodies and/or certified entities.
- review examples of issued certificates where these are public or product information in online databases of certified products where these are available.
- if the Scheme Owner does not allow mixed product, then this *Essential Component* is aligned.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because "BAP 2, 3 or 4 star products, cannot be claimed as such or use the BAP logo unless 95% of the seafood ingredient in the product is from, and traceable to, a BAP-certified facility." This was verified during the office visit by reviewing issued certificates for finfish and subsequently review of sample of 9 salmon certificates across CBs and geographies.

#### REFERENCES

Updated document now covers this 95% requirement on page 14:

A.2.01 BAP Logo Use Guide - Issue 1.0 -29-June-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20BAP%20Logo%20Use%20Guide%20-%20Issue%201.0%20-29-June-2017.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### ▶ STANDARD SETTING BODY

### A.3 01 STANDARD SETTING BODY

**GSSI ESSENTIAL COMPONENT**

A Scheme Owner or other suitable arrangement (e.g. technical committee of independent experts, delegated standard-setting body) is assigned with the tasks of setting, reviewing, revising, assessing, verifying and approving standards.

**GUIDANCE**

The organizational chart clearly identifies the responsible person for assigning the management of the standard setting process. In addition, the organizational chart or related TORs/contracts with external bodies identifies where each of the tasks (setting, reviewing, revising, assessing, verifying and approving standards) are assigned to.

This documentation clearly indicates where the overall responsibility for the standard setting process lies.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the standard setting process, roles of technical committees / Standards Oversight Committee are clearly defined on the website and in the BAP Process Document.

The BAP standards are developed and updated via species-specific technical committees under the guidance of a Standards Oversight Committee (SOC) comprised of members with broad stakeholder representation.

To initiate standards, the SOC works with GAA's standards coordinator to form a technical committee that collectively writes a set of draft standards. After review by the SOC, the standards are modified, if needed, and posted for 60 days of public comment. Committee consideration of comments leads to a final draft that must be approved by the SOC and Global Aquaculture Alliance Board before implementation.

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**REFERENCES**

A.1.03 Org Chart 12.14.18.pdf

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.11.01 Website Screenshot – Standards Oversight Committee.docx

https://www.bapcertification.org/Standards

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 02 CENTRAL FOCAL POINT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner identifies a central point of contact for standards-related enquiries and for submission of comments. The Scheme Owner makes contact information for this contact point readily available including on the internet.

#### GUIDANCE

Contact details for standard related enquiries and comments are easily available for the public, including online. This can be the same as a general contact point, but should explicitly identify standard related scope.

Examples of evidence for scheme alignment:

- review website and verify that point of contact responds to enquiries.
- review past enquiries and submitted comments

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the role of the Standards Coordinator is defined in the BAP Process document with contact details on the BAP website. On the website it is stated that all stakeholders are invited to submit issues of concern via the SOC. Inquiries can be sent directly to Mr Daniel Lee, BAP Program Integrity & Standards Coordinator, at dan.lee@gaalliance.org.

#### REFERENCES

A.3.02 Website Screenshot – Contact details for Standards Coordinator.docx

https://www.bapcertification.org/Standards

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.11.01 Website Screenshot – Standards Oversight Committee.docx

https://www.bapcertification.org/Standards

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### ▶ STANDARD SETTING PROCEDURES

### A.3 03 STANDARDS DEVELOPMENT AND MAINTENANCE PROCEDURE

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner has publicly available procedures for the process under which each standard is developed and revised.

**GUIDANCE**

Procedures defining the process of standard development and revision are easily available for the public, such as online, in appropriate languages.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the BAP Standards Development - Structure, Process document describes the procedure under which each standard is developed and revised. The document is in English and publicly available on the GAA/BAP website.

**REFERENCES**

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 04 WORK PROGRAM

#### GSSI ESSENTIAL COMPONENT

A work program is prepared and made publicly available at least every six months, including:

- Scheme Owner's name and address
- the list of standards currently under preparation;
- the list of standards currently under reviewing or revision;
- the list of standards which were adopted in the preceding period.

#### GUIDANCE

A work program for standard setting and revision is easily available for the public, such as online. The program is updated at a minimum every 6 months. The work program contains all listed items.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the review schedule for BAP standards is publicly displayed online and included in the minutes of the SOC (Standard Oversights Committee) meetings.

#### REFERENCES

A.3.04 StandardWork Program_Issue_1.1_14-February-2019.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI_InformationalStandardWork%20Program_Issue_1.1_14-February-2019.pdf

A.3.04 Website screenshot – Showing link to 'VIEW THE LATEST BAP STANSARDS REVIEW SCHEDULE'.docx

https://www.bapcertification.org/Standards

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 05 TERMS OF REFERENCE

#### GSSI ESSENTIAL COMPONENT

At the outset of a new standard development or revision process, the Scheme Owner develops or updates terms of reference (ToRs), which includes at least the following elements:

- Proposed scope of the standard and intended geographic application;
- Clear objectives that the standard seeks to achieve and how those are linked to the organization's intended change.

#### GUIDANCE

The Scheme Owner has mechanism in place to develop or update ToR at the outset of standard development or revision process that includes: proposed scope, geographical application and objectives.

Examples of evidence for scheme alignment:

- outlined in an internal procedure and part of the quality handbook for standard setting.

For Scheme Owners that have standard development or a revision process going on, check online availability of this information.

RELATED SUPPLEMENTARY COMPONENTS

A.3 05 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the intended geographic application is always global and the scope is communicated via press releases, E-update newsletters, and press announcements regarding the recruitment of technical committee chairs. The GAA/BAP standards development process clearly defines the structure of the process. Review of ongoing public comment draft "Biosecrity Management Area" - GSSI elements are found in the preamble page 2.

#### REFERENCES

A.3.05 Website Screenshot – describing global coverage of BAP Program.docx

https://www.aquaculturealliance.org/about-gaa/

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

Link to one new standard version (Seafood Processing Issue 5) is available as part of the transition process:

A.3.05 Website Screenshot – Example of public comment process & 12-month transition phase.docx

https://www.bapcertification.org/Standards

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 06 DECISION MAKING PROCESS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner strives for consensus decisions on the content of the standard. Where consensus cannot be achieved, the Scheme Owner defines criteria in advance to determine when alternative decision-making procedures should come into effect and what the decision-making thresholds will be.

#### GUIDANCE

A mechanism is in place to assure a consensus decision is found where possible. In addition, the mechanism describes how decisions shall be made when a consensus is not possible. The mechanism assures that stakeholders are informed about this mechanism.

Examples of evidence for scheme alignment:

- internal procedures and/or quality handbook for standard setting and maintenance outlines decision making.
- meeting minutes/email correspondence.

Standard setting archives and draft standards and meeting minutes could verify that this mechanism was implemented during previous decision-making.

RELATED SUPPLEMENTARY COMPONENTS

A.3 06 01 A.3 06 02 A.3 06 03 A.3 06 04 A.3 06 05

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the procedures for attaining consensus decisions within the Technical Committees and Standards Oversight Committee are outlined in Section 5. Standards Development of the BAP Process Document. It is stated that the Technical Committee's changes that arise from their examination of preliminary drafts must reflect consensus among the committee members.

Final standard drafts incorporate the public comment changes upon which the Technical Committee members agree. Final drafts are approved by a positive vote by at least 75% of a quorum of 60% or more of the committee membership.

During the office visit the implementation of these procedures was verified by reviewing meeting minutes and previous decision making processes.

#### REFERENCES

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

Original:

Office visit:
Review of meeting minutes and decisions made.

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 07 COMPLAINTS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner, or delegated authority makes impartial and documented efforts to resolve procedural complaints related to standard-setting, based on a publicly documented complaints resolution mechanism. Decisions taken on complaints are disclosed at least to the affected parties.

#### GUIDANCE

The Scheme Owner or delegated authority has a publicly available complaint resolution mechanism related to standard setting. A general contact may be used, but must explicitly note standard setting complaints. Resolutions are documented and free of bias. Decisions on complaints are disclosed, at a minimum, to affected parties.

Examples of evidence for scheme alignment:

- internal quality assurance manual.
- previous complaints have been resolved according to this policy.
- decisions taken on previous complaints have been disclosed to the affected party.

Possibly request and cross-check with any previous procedural complaints from stakeholders.

RELATED SUPPLEMENTARY COMPONENTS

A.3 07 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the website states that complaints, appeals or disputes not associated with the certification or audit process will be handled by the appropriate GAA/BAP staff member(s). Specific contacts of staff members by department are available online. The procedures are available on the program integrity page. Annual BAP program review Sept 2016 showed no additional complaints were made on standard setting procedures. The comments from the public comments period are addressed and published on the GAA/BAP website.

#### REFERENCES

A.3.07 Complaints, Appeals and Disputes - Issue 2.2 - 17-October-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20Complaints,%20Appeals%20and%20Disputes%20-%20Issue%202.2%20-%2017-October-2017.pdf

GAA/BAP website - General Contacts for Information by Department or Subject:
https://www.aquaculturealliance.org/about-gaa/

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

A.1.11 GAA Annual Internal Review Report 2018 (1).docx

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 08 STANDARDS REVIEW AND REVISION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner reviews standards at least every five years for continued relevance and for effectiveness in meeting their stated objectives and, if necessary, revises them in a timely manner.

#### GUIDANCE

The Scheme Owner has a process in place for reviewing all standards to ensure continued relevance and meeting stated objectives. Relevance can include market uptake, stakeholder scope and support. Outcome and assessment reports can identify progress towards objectives. Review should be at least every five years.

Example of evidence of alignment:

- internal procedure, quality handbook, public work program.
- monitoring and evaluation system.
- public comments and consideration of reports for standard revisions.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the Standards Oversight Committee (SOC) works with the Technical Committees to annually review the BAP standards and appropriately improve them at least every 4 years.
The BAP Standards Review schedule is posted online and forms part of the Minutes of SOC meetings, which are held twice per year. The review schedule includes all BAP standards. The relevance of standards is assessed in relation to their uptake which is routinely monitored by the SOC when BAP staff provide a BAP program update at each SOC meeting.

#### REFERENCES

A.3.04 StandardWork Program_Issue_1.1_14-February-2019.pdf

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

BAP Standards Development Document - Section 6. p 5. New Standards, Standards Revisions:

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

Original:
BAP Standard review schedule (extract from minutes of SOC Meeting, Vancouver 24-25 Oct 2015)
https://www.bapcertification.org/wp-content/uploads/2017/01/Proposed-Work-Program-for-Standard-Setting-and-Revision-updated-from-Portsmouth-SOC-minutes-March-2017.pdf

BAP Standard review schedule (extract from minutes of SOC Meeting, Vietnam October 5-6, 2014)
http://bap.gaalliance.org/wp-content/uploads/sites/2/2015/02/A.3.04-BAP-Standards-Review-Schedule.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 09 PROPOSALS FOR REVISIONS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner allows for comments on the standard to be submitted by any interested party at any time and considers them during the subsequent standards revision process.

#### GUIDANCE

The Scheme Owner has a permanent publicly available point of contact defined online for the submission of comments on the standard. This is not just during the development or revision process. A general point of contact online is acceptable for small schemes, as long as it explicitly states that all stakeholders can submit comments on the standard at any time. All comments on standards are considered in subsequent revision process.

Examples of evidence for scheme alignment:

- scheme's website with form for submitting comments on standards.
- internal procedure, quality handbook describing the receiving, filing and incorporation of submissions during the subsequent revision process.

Review ongoing submissions by interested parties on file.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the GAA/BAP website provides a link for comments outside of defined public consultation periods. "Outside defined public comment periods, interested parties may submit comments to any member of the Standards Oversight Committee for consideration. View the latest BAP standards review schedule". So far no comments have been received outside the advertised public comment periods.

#### REFERENCES

A.3.02 Website Screenshot – Contact details for Standards Coordinator.docx

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

GAA/BAP website - Public comments page:
http://bap.gaalliance.org/bap-standards/comment-on-standards/

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 10 RECORD KEEPING

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner keeps on file for a period of at least one full standards revision the following records related to each standard development or revision process:

– policies and procedures guiding the standard-setting activity;

– lists of stakeholders contacted;

– interested parties involved at each stage of the process;

– comments received and a synopsis of how those comments were taken into account; and

– all drafts and final versions of the standard.

#### GUIDANCE

The Scheme Owner has a mechanism is in place to assure all records outlined remain on file for at least one full standards revision period.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook describing records to be kept, document and retention policy.

Review the full range of records for the most previous standard development and revision process.

RELATED SUPPLEMENTARY COMPONENTS

A.3 10 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the process for document retention is in place, and implemented. The record keeping role of the BAP Standards Coordinator is stipulated in the BAP Standards Development Document in Section 6, "The BAP Standards Coordinator is responsible for assuring that all records remain on file for at least one full standards revision period."

Revised versions of standards are released for public comment and stakeholder identities are logged with the comments (examples on the GAA/BAP public comments site). The response to each comment is published below each comment along with any resulting changes to the standard.

#### REFERENCES

BAP Standards Development Document - Section 6. p.5 New Standards, Standards Revisions:
V2.1 April 2017

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

Original:

Office visit:

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### ▶ PARTICIPATION AND CONSULTATION

### A.3 11 PUBLIC SUMMARY

#### GSSI ESSENTIAL COMPONENT

At the outset of a standard development or revision process, the Scheme Owner makes publicly available a summary of the process that includes:

- contact information and information on how to contribute to the consultation;
- summary of the terms of reference for the standard, including the proposed scope, objectives and justification of the need for the standard;
- steps in the standard-setting process, including timelines and clearly identified opportunities for contributing; and
- decision-making procedures, including how decisions are made and who makes them.

#### GUIDANCE

The Scheme Owner has a mechanism in place assuring that a summary of the process is made easily available for the public online at the outset of the process. This includes Who and How to contribute, timeline, summary ToR (A.3.05) and decision making (who and how).

Examples of evidence for scheme alignment:

- internal procedure/quality handbook describing elements and process of public summary.
- examples of availability of past or current information.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the process is described in the BAP Standards Development process Document "As part of this effort, the SOC and BAP Standards Coordinator ensure that the overall process, including procedures and upcoming public input opportunities, is made transparent to the public through the GAA or BAP website.

A review of the current standard development for Biosecurity Area website includes a summary of contact info, how to contribute, the scope.

#### REFERENCES

BAP Standards Development Document - Section 6. p.5 New Standards, Standards Revisions: V2.1 April 2017

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

A.3.05 Website Screenshot – Example of public comment process & 12-month transition phase.docx

https://www.bapcertification.org/Downloadables/pdf/BAP-MolluskF-Com.pdf
https://www.bapcertification.org/Downloadables/pdf/bap-fishcrustf-com_001.pdf
https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 12 BALANCED PARTICIPATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner or delegated authority ensures participation by independent technical experts and encourages balanced participation by stakeholders in the standard development, revision and approval process.

#### GUIDANCE

The Scheme Owner, or delegated authority, has mechanism to ensure participation of necessary technical experts and balance of different stakeholder perspectives in standard development and maintenance. A balanced participation of stakeholders would include: fisheries/aquaculture management authorities, the fishing/aquaculture industry, fish workers organizations, fishing/aquaculture communities, the scientific community, environmental interest groups, fish processors/traders/retailers, aquaculture input providers such as feed providers, hatcheries/nurseries and possibly treatment providers, as well as consumer associations.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook for standard development
- revision and approval processes that describe how balance is achieved, such as through stakeholder mapping, announcements and invitation.

Draft documents and meeting minutes/email correspondence indicate that during standard development, revision and approval processes of the past, independent technical experts participated, and a balanced participation by stakeholders was encouraged.

#### CONCLUSION

The GAA BAP Program is in alignment because there is a mechanism for ensuring independence with a clear CoI mechanism in place. See related A.1.03. BAP Process document "Each Technical Committee is composed of technical experts and representatives of those groups interested in or affected by the standards. Care is taken to ensure a balance among the different sectors of interest."

The initial appointment is by the Board. "After the SOC is formed, its members will nominate candidates to fill vacancies who must then be approved by the GAA board. The SOC will also establish a process for public nominations."

The participation of these stakeholder groups and their representatives was confirmed through the review of Technical committee and SOC membership selection during the office visit.

#### REFERENCES

BAP Standards Development Process Document - Section 2. p 8 Committee Representation:

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

Original:
Office visit:
Review of Technical committee and SOC membership selections.

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 13 PUBLIC CONSULTATION

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner allows a period of at least 60 days for the submission of comments on the draft standard.

**GUIDANCE**

The Scheme Owner has a mechanism is in place to assure a minimum of 60 days for comments on the draft standard.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public comment period.
- ToR

Review previous comments and dates for submission on draft standards.

RELATED SUPPLEMENTARY COMPONENTS

A.3 13 01

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the BAP Process document states "Public comment drafts are made available for 60 days of public comment on the GAA website. This is also clearly stated on the website, where the comment process can be easily accessed through a link.

Note - CB requirements document - updated Nov. 2016 states that Standards will be identified by an Issue number. When minor changes (housekeeping) are made to a standard this may result in a subsequent Revision number.

When a significant change is made to a standard the Issue number will change." The latest versions of Finfish and Salmon standards have been updated with Revision numbers therefore no consultation took place.

**REFERENCES**

BAP Standards Development Document - Section 5. p 4.

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 14 PUBLIC ANNOUNCEMENT

#### GSSI ESSENTIAL COMPONENT

No later than the start of the comment period, the Scheme Owner publishes a notice announcing the period for commenting in a national or, as may be, regional or international publication of standardization activities and/or on the internet.

#### GUIDANCE

Timely announcements are made regarding the public comment period in appropriate channels so that they are easily available to relevant stakeholders. This can be online or in an appropriate publication. Dates should be clearly stated.

Examples of evidence for scheme alignment:

- internal procedure defining process.
- previous announcements are dated and were published before the beginning of the comment period.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because announcements for the public comment periods are published on the website. In addition, the public consultations are announced via E-Update newsletter and press releases. The dates of the current comment period for the "Biosecurity Area Management Standards" is clearly stated online.

Note - CB requirements document - updated Nov. 2016 states that Standards will be identified by an Issue number. When minor changes (housekeeping) are made to a standard this may result in a subsequent Revision number.

When a significant change is made to a standard the Issue number will change". The latest versions of Finfish and Salmon standards have been updated with Revision numbers therefore no consultation took place.

#### REFERENCES

https://bapcertification.org/blog/public-comment-sought-expanded-seafood-processing-standards/

A.3.14 Public comment sought for expanded seafood processing standards.msg

Original:
Desktop review:
GAA/BAP website - Public consultation of the "Biosecurity Area Management Standards":
http://bap.gaalliance.org/bap-standards/bap-biosecurity-area-management-standards-comment-form/

Press release example Dec 7th, 2015: The Undercurrent news platform announces the public consultation of the mollusk standard.

Comments on salmon standard on website
https://www.bapcertification.org/wp-content/uploads/2017/01/bap-salmonf-com.pdf

Comments on finfish standard on website
https://www.bapcertification.org/wp-content/uploads/2017/01/bap-fishcrustf-com_001.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 15 STAKEHOLDER CONSULTATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that interested parties can participate in the standard-setting process through a consultation forum or are made aware of alternative mechanisms by which they can participate.

#### GUIDANCE

The Scheme Owner has a mechanism is in place to ensure all interested stakeholders can participate in standard setting process through a forum or alternative mechanisms or tools.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public consultation process.
- ToR.

Review participation, communication and mechanisms/tools of past or current consultation.

RELATED SUPPLEMENTARY COMPONENTS

A.3 15 01 A.3 15 02

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the mechanisms for ensuring stakeholder engagement are laid out in the BAP Process document. p3. "Working with the BAP Standards Coordinator, the SOC strives to ensure that the standards development process is consistent with relevant FAO and ISEAL guidelines. As part of this effort, the SOC and BAP Standards Coordinator ensure that the overall process, including procedures and upcoming public input opportunities, is made transparent to the public through the GAA or BAP website. The SOC will also develop a formal public appeals process."

All announcements are made on the GAA website, via E-Update newsletter and via press releases with public accessible comment forms

#### REFERENCES

BAP Standards Development Process Document - Section 5, p3. V2.1 April 2017

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 16 TRANSPARENCY ON COMMENTS RECEIVED

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner makes publicly available all comments received in the consultation in a non-attributable way.

#### GUIDANCE

All comments received during the public comment period are made publically available without attribution or identifier.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook describing policy, current or past public comment comments posted online.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because all comments received from the public, whether attributed or not, are published online with responses. "All comments received during the public comment process are carefully considered for inclusion in the final draft. All properly submitted comments are acknowledged.

#### REFERENCES

A.3.16 Website Screenshot – Example of public comment process & collected public comments.docx

https://www.bapcertification.org/Standards

https://www.bapcertification.org/Downloadables/pdf/BAP-MolluskF-Com.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-fishcrustf-com_001.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 17 TAKING COMMENTS INTO ACCOUNT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner takes into account in further processing of the standard, comments received during the period for commenting.

#### GUIDANCE

The Scheme Owner has a process for considering all comments received during the public consultation on the standard. Comments which are integrated into the standard should be clearly identified.

Examples of evidence for scheme alignment:

- some sort of system (e.g. excel) for organizing, categorizing and responding to comments.
- review past consultation system, comments and response taken.

RELATED SUPPLEMENTARY COMPONENTS

A.3 17 01

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because all comments received from the public are published online with responses. The responses indicate how the standard has been modified in response to the comments. "All comments received during the public comment process are carefully considered for inclusion in the final draft. All properly submitted comments are acknowledged."

#### REFERENCES

A.3.16 Website Screenshot – Example of public comment process & collected public comments.docx

https://www.bapcertification.org/Standards

https://www.bapcertification.org/Downloadables/pdf/BAP-MolluskF-Com.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-fishcrustf-com_001.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

▶ STANDARDS CONTENT

### A.3 18 STANDARDS CONTENT

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner ensures that the standard is consistent with the following requirements:

- only includes language that is clear, specific, objective and verifiable;
- is expressed in terms of process, management and / or performance criteria, rather than design or descriptive characteristics; (ISO 59)
- does not favor a particular technology, patented item or service provider; and (ISO 59)
- attributes or cites all original intellectual sources of content.

**GUIDANCE**

The Scheme Owner has a mechanism in place to review standards in respect to the listed requirements.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining all list requirements. Some standards state these in their preamble as principles or references.
- review that this list was checked for the current standards
- review standards and if available mandatory checklists/audit manuals in respect to the listed requirements.
- review any available complaints relating to this requirement.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the requirements are covered in the BAP Standards Development Process Document.

**REFERENCES**

https://www.bapcertification.org/Standards

BAP Standards Development Process Document - Section 1, p1 and Section 5 p3.
V2.1 April 2017

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 19 RELEVANCE OF STANDARDS CONTENT

#### GSSI ESSENTIAL COMPONENT

As part of the standard development process, the Scheme Owner assesses the feasibility and auditability of requirements in the draft standard.

#### GUIDANCE

The Scheme Owner has a mechanism in place to test the feasibility (cost, time) and auditability (interpretation, consistency) of requirements prior to finalization of the standards.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook, standard setting work plan.
- review assessment outcomes of past processes including revisions based on findings.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the requirements are covered in the BAP Standards Development Process Document.

#### REFERENCES

https://www.bapcertification.org/Standards

BAP Standards Development Process Document V2.1 April 2017 - Pages 3-6.
A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-MolluskF-Com.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-fishcrustf-com_001.pdf

https://www.bapcertification.org/Downloadables/pdf/bap-standdev-com.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 20 RELEVANCE OF STANDARDS CONTENT

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner demonstrates that all criteria in the standard contribute to the standard's defined objectives.

**GUIDANCE**

Criteria are related to how the Scheme Owner's objectives are met by identifying the acceptable performance. Often they are logically grouped around principles and objectives.

Examples of evidence for scheme alignment:

- comparison of the Scheme Owner performance indicators with the standard's criteria.
- monitoring and evaluation system of the performance indicators.
- criteria that are not monitored and not evaluated may be surplus to the objective of the standards.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the requirements are covered in the Standard documents (page 1) and the CB Requirements document (page 5).

**REFERENCES**

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.3.20 GAA Shellfish Standard 20 150628bk and BAP Mollusk Standard Rev42 151114bk

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 21 LOCAL APPLICABILITY

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the standard is locally applicable. Where the Scheme Owner adapts the standard for direct application at the national or regional level, the Scheme Owner develops interpretive guidance or related policies and procedures for how to take into account local environmental and regulatory conditions.

#### GUIDANCE

The Scheme Owner has mechanisms in place to ensure local applicability and relevance. For national or regional standards, the Scheme Owner has a process to take into account local environmental and regulatory conditions through guidance and policies.

Examples of evidence for scheme alignment:

- policies, internal procedures and quality handbook documenting process to consider environmental and regulatory aspects.
- compare geographical scope of standard and implementation (certificates) with available documented nterpretation guidance.
- assessment or monitoring reporting indicating where locally specific guidance is required.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the requirements are covered in the Standard documents (page 1)

#### REFERENCES

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI - Interpretation Guidelines - Amendment to Feed Mill Standard Issue 2.1 - Issue 1.0 - 8-May-2018.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI - Interpretation Guidelines - Feed Mill Fish Oil - Issue 1.0 - 1-February-2019.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### ▶ STANDARDS ACCESSIBILITY

### A.3 22 STANDARDS AVAILABILITY

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner promptly publishes adopted standards, and makes them available for free on the internet, and on request, to any interested party.

**GUIDANCE**

Standards are published in a timely fashion and are freely available online and on request. Validity dates coincide with publication dates of standards (taking transition periods into account) and the public work program on standard setting and maintenance.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because all standards are freely available online in timely manner.

**REFERENCES**

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf

Finfish and Crustacean Farm Standard has a a new version:

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 23 TRANSLATIONS

#### GSSI ESSENTIAL COMPONENT

Where a scheme is globally applicable, the Scheme Owner makes translations of the standard into English, French or Spanish freely available and authorizes translations into other languages where necessary for credible implementation of the standard.

#### GUIDANCE

The Scheme Owner has a mechanism in place to identify the applicability and need for translations based on geographical scope of certification, as well as the geographical range of certified entities and products. For global schemes, the Scheme Owner should translate and make available the standard in English, French and Spanish and authorize into other languages to positively affect transparency and effective implementation.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook, current language availability, work plan of translations

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because translations from English are in additional languages where credible implementation of the standard.

#### REFERENCES

https://www.bapcertification.org/Standards

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### ▶ TRANSITION PERIOD

### A.3 24 INFORMING ENTERPRISES OF TRANSITION

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner ensures that certified enterprises are informed of the revised standard and transition period, either directly or through their certification bodies.

**GUIDANCE**

The Scheme Owner has a mechanism in place assuring that certified entities are informed of standard revision and transition periods. This can be done directly or through other assurance bodies.

Examples of evidence for scheme alignment:

- internal procedures, quality handbook, contracts/agreements or formal arrangements with certification bodies.
- review process of previous revisions if applicable.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because certified entities are informed of standard revision and transition periods either via BAP if recertifying, website or through CB's.

BAP CB Requirements:

"2.2 Update to Standards, Protocols and Procedures
Best Aquaculture Practices will periodically issue new or revised requirements to this document, the GAA BAP Standards, and/or the various other documents supporting these Standards. Best Aquaculture Practices shall make the CB's aware of these changes and the CB shall ensure these are communicated to applicants and the appropriate staff, auditors and subcontract auditors within their organization. The latest Issue of each Standard will be on the GAA BAP website."
Section 2.3 Communications outlines mechanisms for each type - CB, client

**REFERENCES**

A.3.05 Website Screenshot – Example of public comment process & 12-month transition phase.docx

Original :

Desktop review and office visit -

http:://bap.gaalliance.org/bap-standards/ - most recent posting of a revised standard with the implementation time frame stated. In this case the Salmon Farm Standard: For currently certified salmon farms or those already in the process of application or certification as of June 1, 2015, the Version 2 standards will be mandatory for recertification beginning December 1, 2015. For new farms not yet in the application or certification process, the Version 2 standards are effective immediately as of June 1, 2015.

CB requirements document Issue 14 16 Nov 2016 section 2.2. p 8. (internal)

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 25 TRANSITION PERIOD FOR COMPLIANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the unit of certification is given a period of at least three years to come into compliance with revised fishery standards and at least one year for revised aquaculture standards.

#### GUIDANCE

Certified entities are given sufficient time to come into compliance with revised standards, for fisheries – minimum 3 years and at least one year for revised aquaculture standards.

Examples of evidence for scheme alignment:

- standards, certification requirements/methodologies which state minimum transition period for revised standards

#### CONCLUSION

The GAA BAP Program is in alignment because the website and process clearly state a 12 month period for new standard introduction.

#### REFERENCES

A.3.05 Website Screenshot – Example of public comment process & 12-month transition phase.docx

Original:
Desktop review and office visit
review of standards, revision dates, and implementation dates.

Salmon standard revision/transition on website - Oct 2016 / October 2017.
Finfish - Issue 16 November 2016. transition 16 Nov 2017
http://bap.gaalliance.org/bap-standard

Office visit
review of Finfish audit reports
• F10648 Vinh Hoan Corporation – Tan Khanh Tring Farm. Vietnam. Panagasius. Certification expiry date 3-2-17. CB- BV.
• F10426 King Reef Seafoods. Australia. Baramundi. Certification expiry date 15-8-16. CB – GT- SAI.
• F10633 Elysian Farms- Southfresh aquaculture. USA. Catfish. Certification expiry date 3-9-17. CB – NSF.
• F10617. M/S Kader Exports (P) Ltd. IOM D Ramesh. India. Shrimp. Certification expiry date 1-4-17. CB - SGS India.
• F10608 PT MITRA TAMBAK SEJATI. Indonesia. Shrimp. Certification expiry date 2-12-17. CB – NSF.
• F10573 Data J Aqua farm Simbaluca site. Philippines. Shrimp. Certification expiry date 2-12-17. CB – NSF.
• F10561 Guangdong Yangxi Shunxing sea fishery. China. Tilapia. 25-9-16 First assessment. CB – NSF.
• F10531 Liang Weitao aquaculture. China. Tilapia. 31-7-16 First assessment. CB – NSF.
• F10493 Paraiso Springs aquaculture Guatemala V Cia Ltd. Tilapia. Certification expiry date 3-10-17. CB – GT -SAI.
• F10452 Good Luck IOM farm group 2 Suwan farm 1. Thailand. Shrimp. Certification expiry date 4-4-16. CB – NSF.
• F10293 Guangxi Nanning Baiyang breeding Co. Ltd (Jianguang farm). China. Talapia. Certification expiry date 20-7-16. CB – NSF.
Review of 9 Salmon reports across CBs and geogrpahies

# A.3 *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 26 TRANSITION PERIOD FOR COMPLIANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner notes in the standard the date of a revision or reaffirmation of the standard along with a transition period after which the revised standard will come into effect.

#### GUIDANCE

Standards include date of version and any transition period for the certified entity to come into compliance. If there are normative documents other than the standard and certification requirements/methodologies which affect compliance of fisheries/aquaculture, these similarly should contain the described validity dates.

#### CONCLUSION

The GAA BAP Program is in alignment because the standards state Issue number, date of issue and transition period in footer of standard document and on website. Website gives a 12 month period for new standard introduction in table of standards http://bap.gaalliance.org/bap-standards/

#### REFERENCES

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf

Finfish and Crustacean Farm Standard has a a new version:

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

# A

# EVIDENCE OF ALIGNMENT WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS** FOR GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

# A.1 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### GOVERNANCE

### A.1 01 01 LEGAL STATUS

**GSSI SUPPLEMENTARY COMPONENT**

The Scheme Owner has insurance or reserves to cover the operations of the scheme.

Note: This does not apply to government-run schemes as they are self-insured.

*Rationale: Demonstrates that the Scheme Owner has adequately evaluated risks arising from its activities.*

**GUIDANCE**

The Scheme Owner shall be able to demonstrate that it has evaluated the risks arising from its activities and that it has adequate arrangements (e.g. insurance and/ or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. (adapted ISO 17021 5.3 and ISO 17065 4.3)

Examples of evidence for scheme alignment:

- system for business risk assessment, insurance policy,
- clauses in accreditation body and/or certification body contracts addressing liability.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because it carries corporate insurance to protect against liabilities including professional liabilities.

**REFERENCES**

A.1.01.01 Liability Insurance.pdf

# A.1 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### ▶ NON-DISCRIMINATION

### A.1 09 01 NON-DISCRIMINATION - OPENNESS

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has procedures for taking into account the special circumstances of data deficient and/ or small-scale fishery/ aquaculture operations.

*Rationale: Avoids discrimination against operations on the basis of scale or level of development.*

#### GUIDANCE

The Scheme Owner processes and policies reduce barriers or promote access of small scale enterprises. This may include specific small scale standards or exemptions that do not lower the requirements of the standards themselves.

Examples of evidence for scheme alignment:

- separate specific standard for small scale enterprises or programs such as capacity building and access to finance targeted to small scale enterprises. Policies may include sliding scale fees or simplified reporting templates.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the BAP program can be started as iBAP program (i signifies 'improver'). Applications to iBAP are open to all and the application process is explained online, accessed via the 'iBAP' tab. The program requires an agreed to a step-by-step, deadline-driven plan for full certification. As such it increases access for small scale farms while providing support and incentives to move towards full BAP certification.

In addition, the CLUSTER Programme is an approach to group farms through a management entity which can include sponsorship by a processor, farmer group or another legal entity. The managing entity assumes responsibility and coordinates the implementation of BAP certification with its individual farmers, while offering a central point for access to inputs and delivery of training. The group mechanism is designed to address barriers of small and medium sized farmers – organized legally or not – to more efficiently access resources, including certification.

#### REFERENCES

https://www.bapcertification.org/Certification

A.1.09 Website Screenshot - iBAP

https://www.bapcertification.org/CertifiedFacilities#ibap

A.1.09 BAP Cluster Program - Issue 1.2 - 29-March-2019 (1).docx

A.1.09 Farm and Hatchery Group Program Policy and Control Document Issue 1.0 - 13-December-2018 (1).docx

# A.1 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## SCHEME GOVERNANCE

### ▶ SCHEME INTEGRITY MONITORING PROGRAM

### A.1 11 01 INTERNAL REVIEW

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner ensures the management review is, is carried out with the involvement of directly affected stakeholders and addresses any issues of concern raised by stakeholders.

*Rationale: Ensures stakeholder accountability in the management review.*

#### GUIDANCE

Directly affected stakeholders are defined by the Scheme Owner. A system exists to ensure sufficient time and opportunity for all directly affected stakeholders to provide input. Submissions are reviewed and addressed transparently.

Examples of evidence for scheme alignment:

- documented stakeholder identification,
- examples of invite and information system to inform stakeholders how to submit issues of concern or general input,
- documented process for handling, reviewing and responding to issues raised.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because stakeholder input is sought, documented and acted upon where necessary. The BAP website has an open request for stakeholders to submit issues of concern. There is an annual GAA internal review procedure which is implemented and includes any areas of concern raised by stakeholders. The management review is also a standing component of all SOC meetings. .

#### REFERENCES

A.1.11.01 Website Screenshot – Standards Oversight Committee.docx

https://www.bapcertification.org/Standards

A.1.11 GAA Annual Internal Review Report 2018 (1).docx

Orignial Reference:

Meeting minutes of SOC Meeting Agenda, Vancouver 2015 reviewed (available on request)

# A.3 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 06 01 DECISION MAKING PROCESS

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner ensures participation in standards decision-making bodies is open to all stakeholders.

*Rationale: Supports openness in decision-making. Not all stakeholders can participate but all should be given the opportunity to put their name forward.*

#### GUIDANCE

Standard owner process and procedures for participation in standard's decision-making bodies ensures open participation of all stakeholders.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the Standard Overview Committee (SOC) and the Technical Committee are composed of technical experts and representatives of those groups interested in or affected by the BAP standards. Care is taken to ensure a balance among the different sectors of interest.

The target composition of these committees includes a mix of trade groups, regulatory bodies, academic institutions, non-governmental organizations, and other stakeholders:
- 4 representatives from relevant regional industry associations from around the world
- 4 representatives from relevant conservation or social justice non-governmental organizations
- 4 representatives from academic, regulatory, or policy groups.

After the SOC is formed, its members will nominate candidates to fill vacancies who must then be approved by the GAA board. The SOC will also establish a process for public nominations.

The current Standard Oversight Committee (SOC) members can be viewed on the GAA/BAP website.

The participation of these stakeholder groups and their representatives was confirmed through the review of Technical committee and SOC membership selection during the office visit.

#### REFERENCES

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.11.01 Website Screenshot – Standards Oversight Committee.docx

https://www.bapcertification.org/Standards

Original:

Office visit:
Review of Technical committee and SOC membership selections.

# A.3 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 06 02 DECISION MAKING PROCESS

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner's decision-making process for standards development or revision ensures that no category of stakeholders has a majority vote in decision-making.

*Rationale: Ensures that no one stakeholder group is able to dominate decision-making – a key tenet of a multi-stakeholder process.*

#### GUIDANCE

Standard owner voting procedure process ensures balance in decision making where no single category of stakeholder has a majority in decision making.

Examples of evidence for scheme alignment:

- internal procedures and/or quality handbook,
- previous voting from minutes if available.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the BAP standard process requires a balanced involvement of eNGOs (1/3) Academics (1/3) and Industry (1/3) and ensures that no stakeholder group has a majority vote in decision-making. The BAP Standards Development Process document (Section 3) states "At least two members from each main stakeholder group must participate in approval votes." This procedure was confirmed during the office visit by reviewing examples of standards decision processes.

#### REFERENCES

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

Original:

Office visit:
Review of standards decision making process.

# A.3 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 06 03 DECISION MAKING PROCESS

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has procedures in place to ensure that directly affected stakeholders have the opportunity to be represented in decision-making.

*Rationale: Directly affected stakeholders are the ones that will be impacted by implementation of the standard and need to have a voice in decision-making*

#### GUIDANCE

The standard owner defines directly affected stakeholders, including certified entities and any active technical and/or stakeholder working groups.

A procedure is in place, assuring and describing how directly affected stakeholders can be represented in decision-making. A mechanism is in place to inform directly affected stakeholders of this opportunity.

Examples of evidence for scheme alignment:

- stakeholder mapping, meeting minutes and email correspondence to verify if stakeholders have been informed.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the BAP program identifies stakeholders that are directly affected as industry representatives (including producers, retailers, food service sector, some of whom may have certified facilities) who are reserved places on Technical committees (minimum 4 people out of 12) and on the Standards Oversight Committee (minimum 4 people out of 12)

#### REFERENCES

A.1.04 BAP-Process-Document-Issue-2.1-28-April-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Document-Issue-2.1-28-April-2017.pdf

A.1.11.01 Website Screenshot – Standards Oversight Committee.docx

https://www.bapcertification.org/Standards

A.3.06.03 Finfish & CrustaceanTechnical Committee (Reconsituted 2019) (2).docx

A.3.06.03 Salmon Technical Committee 2April2019.docx

References:
Van Isl MtgAenda 150930bk
BAP Mollusk Committee Agenda
BAP mollusk technical committee-1

Original:

Office visit: internal documents
Technical committee and SOC membership selections.
SOC Meeting minutes Oct 2014

# A.3 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 06 04 DECISION MAKING PROCESS

#### GSSI SUPPLEMENTARY COMPONENT

Where the Scheme Owner limits decision-making to members, it ensures that membership criteria and application procedures are transparent and non-discriminatory.

*Rationale: Supports transparency and non-discrimination over who can participate.*

#### GUIDANCE

For membership organization where decision making is limited to members, the application process and selection criteria are easily available and ensure balanced participation of stakeholders. These criteria could be "Not Applicable" if the Scheme Owner is not a member based organization.

Examples of evidence for scheme alignment:

- application procedure, forms, completed applications and any reasons for declining.

#### CONCLUSION

This GSSI Component is not applicable to the scheme GAA because decisions about standard setting and maintenance are not restricted to GAA members.

#### REFERENCES

Not applicable

# A.3 *Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 06 05 DECISION MAKING PROCESS

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes public any decisions on the content of the standard as well as a summary of deliberations in arriving at the decision.

*Rationale: Supports transparency in how decisions are made.*

#### GUIDANCE

The standard owner has a process in place to document decisions made on standard content, as well as a summary of deliberations in arriving at the decision. Records are made public, such as online.

Example of evidence of alignment:

- standards development or revision process description,
- template for comments and response,
- review of past development or revision documents.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because comments on the standards and BAP responses are publicly available on the website under "Comments On Standards" Minutes of the standards meetings are available upon request, they are not publicly available. The meeting minutes document the discussions showing how decisions were reached.

#### REFERENCES

Standards review schedule

A.3.04 Website screenshot – Showing link to 'VIEW THE LATEST BAP STANSARDS REVIEW SCHEDULE'.docx

A.3.04 StandardWork Program_Issue_1.1_14-February-2019.pdf

A.1.06 Screenshot of the Webpage re public comment process and Standards Oversight Committee.docx

https://www.bapcertification.org/Standards

# B

# EVIDENCE OF ALIGNMENT WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS** FOR OPERATIONAL MANAGEMENT OF SEAFOOD CERTIFICATION SCHEMES

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 01 ISO-17011 COMPLIANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner has a contractual, enforceable arrangement or formal understanding that requires accreditation bodies to be compliant with the requirements
of ISO/IEC 17011:2004.

#### GUIDANCE

The Scheme Owner has a contract, memorandum of understanding or enforceable arrangement with a certification body or accreditation body that require the accreditation bodies to be accredited to ISO/IEC 17011:2004.

Examples of evidence for scheme alignment:

- contracts,
- memorandums of understanding and/or memorandum of agreements between scheme and accreditation bodies or certification bodies that specify accreditation bodies to be compliant with ISO/IEC 17011:2004.
- accreditation bodies' certificate of accreditation (on website).

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because any CB wishing to carry out assessments against any BAP standard must ensure in registering/applying for BAP recognition in CB Requirements 3.3.1:
"The CB's Accreditation Body shall be a member of the IAF (International Accreditation Forum) and a signatory to the IAF Multilateral Recognition Arrangement (MLA) As stated under 3.1, accreditation by a recognized AB to ISO/IEC 17065 is a pre-requisite for any CB to apply for recognition to BAP."

review of sample accreditation documents online

To strengthen this even further, GAA put in place formal MOU's with relevant ABs, such as NABCB India and BoA Vietnam.

GAA does not form a specific contract/arrangement with ISO Accreditation Body (ies). Refer to ISO 17011/IAF.

#### REFERENCES

https://www.ansi.org/Accreditation/product-certification/AllDirectoryDetails?&prgID=227&OrgId=2182&statusID=4

GAA/BAP website - Prospective CB Information:
A.1.02 New CB_Approval_Procedure_Issue3.2_19-April-2018.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/BAP%20-%20Policy%20-%20New%20Certification%20Body%20Approval%20Procedure%20-%20Issue%203.2%20-%2019-April-2018.pdf

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Registration form for Certification Bodies (Version 1, October 2012)
B.1.01 cb-registration-form-12_2012.pdf

https://www.bapcertification.org/Downloadables/pdf/cb-reg-form-12_2012.pdf

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 02 NON-DISCRIMINATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that accreditation services are available to certifying bodies irrespective of their country of residence, size, and of the existing number of already accredited bodies, within the scope of the scheme.

#### GUIDANCE

The Scheme Owner ensures that access to accreditation is open to qualified certification bodies without consideration of size, country or number of existing accredited certification bodies. This could be through contracts/agreements, in referenced policies or certification requirements/methodologies.

Examples of evidence for scheme alignment:

- application process/forms,
- review list of accredited certification bodies

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because  any because availability of accreditation services is prerequisite of IAF ISO Accreditation. A requirement of ISO accreditation body ISO 17011: The accreditation body"s policies and procedures shall be non-discriminatory and shall be administered in a non-discriminatory way. The accreditation body shall make its services accessible to all applicants whose requests for accreditation fall within the activities (see 4.6.1) and the limitations as defined within its policies and rules.

Access shall not be conditional upon the size of the applicant CAB or membership of any association or group, nor shall accreditation be conditional upon the number of CABs already accredited.

No evidence that CB's have been denied access to AB's and list of AB's received and global coverage available.

#### REFERENCES

https://www.ansi.org/Accreditation/product-certification/AllDirectoryDetails?&prgID=227&OrgId=2182&statusID=4

GAA/BAP website - Prospective CB Information:
A.1.02 New CB_Approval_Procedure_Issue3.2_19-April-2018.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/BAP%20-%20Policy%20-%20New%20Certification%20Body%20Approval%20Procedure%20-%20Issue%203.2%20-%2019-April-2018.pdf

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Registration form for Certification Bodies (Version 1, October 2012)

B.1.01 cb-registration-form-12_2012.pdf

https://www.bapcertification.org/Downloadables/pdf/cb-reg-form-12_2012.pdf

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 03 SPECIFIED REQUIREMENTS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner specifies the requirements for certification bodies that the accreditation body is required to verify.

#### GUIDANCE

The Scheme Owner defines requirements for certification bodies to ensure accurate and consistent implementation. These are verified as part of the accreditation process by the accreditation body.

Examples of evidence for scheme alignment:

- requirements are specified in certification requirements/methodologies or a separate certification body and/or accreditation manual.
- reference to requirements in contracts or formal agreements with certification bodies or accreditation bodies.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because section 3.-3.12 of the CB Requirements document clearly and comprehensively outlines the CB requirements that have to be verified by the accreditation body.

Memorandums of Understanding (MoUs) with ABs include the requirement: "3.5 AB NAME will incorporate The Global Aquaculture Alliance specific requirements, as specified and communicated by The Global Aquaculture Alliance into its assessment process.

#### REFERENCES

CB Requirements Document, Section 3, Certification Body (CB) Requirements p9-14

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

B.1.03 CB Accreditation Status - Issue 2.2.xlsx

B.1.03 AGMT - 2018 ANSI BAP MOU SIGNED (2).pdf

B.1.03 MoU Fully executed GAA and NABCB (1).pdf

B.1.03 MOU GAA and BOA (1).pdf

B.1.03 BVC - Validity extension of ISO 17065 (1).jpg

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 04 TRANSITION PERIOD

#### GSSI ESSENTIAL COMPONENT

Subsequent to any changes in the requirements for assessing certification bodies, the Scheme Owner ensures certification bodies are given a defined time period within which to conform to the changes.

Special considerations should be given to accredited bodies in developing countries and countries in transition.

#### GUIDANCE

The Scheme Owner specifies transition periods for any changes to certification requirements (B.1.03) for certification bodies to come into compliance with changes. For certification bodies in developing countries consideration is given that may include a longer transition period, capacity building or other measures.

Examples of evidence for scheme alignment:

- see B.1.03 reference to transition period and/or special consideration for developing country certification bodies.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because because the CB Requirements Document states that as changes are made to the BAP Program, applicants and Certification Bodies will be given sufficient time to make necessary changes and adaptations. The time allocated will be decided by the BAP Management on a case by case basis. GAA has defined document control procedure "BAP Division of the GAA Document Management and Control Procedure Issue 3.0 10-October-2016" describes the method by which the controlled copies of the BAP Standards and Program Management and Control documents are created, changed, approved, issued and maintained.

3.2 Issue Notification 1. The BAP Integrity Manager shall be responsible for ensuring that Certification Bodies and Accreditation Bodies are informed and directed to the current issue of relevant Standards, Program Management System Procedures and any guidance notes relative to the Program."

Review of actual change process, email notifications and meeting notes verified system

#### REFERENCES

CB Requirements Document - Section 1.3 Objective of the GAA BAP Standards p5

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

B.1.04 Document Management and Control Procedure - Issue 3.1 -11-January-2017 (1).pdf

B.1.04 GAA Stakeholder Update SENA 2019.docx

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 05 ACCREDITATION BODY COMPETENCIES

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner only works with accreditation bodies that have personnel with the necessary education, training, technical knowledge and experience for performing accreditation functions in fisheries and aquaculture operations.

#### GUIDANCE

The Scheme Owner ensures personnel competency through contracts or enforceable arrangements with accreditation bodies. Personnel competency incudes education, training on the standard, technical knowledge and experience and can be defined by the Scheme Owner.

Examples of objective evidence:

- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.
- contract/agreement between the Scheme Owner and the accreditation body if applicable, certification/accreditation manuals.
- review of CVs of accreditation body staff.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because they require CBs have accreditation by IAF ISO members to ensure that the Scheme is in conformance with this requirement. Refer to IAF ISO Accreditation requirements against 17000 series and for ISO Conformity Assessment. IAF members undergo peer review by other IAF members to ensure quality and consistency of approach across the whole membership. The membership of the ABs (ANSI, BoA Vietnam, INAB and NABCB India) can be verified on the IAF website.

#### REFERENCES

CB Requirements Document - Section 3.1 p 9 CB Recognition by Best Aquaculture Practices

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

International Accreditation Forum (IAF) website - IAF members and MLA signatories by name:
http://www.iaf.nu/articles/Accreditation_Body_Members_by_Name/52

review of websites for AB's - for example:
https://www.ansi.org/Accreditation/product-certification/DirectoryListingAccredited?menuID=1&prgID=227

http://nabcb.qci.org.in/accreditation/prdt/prdt007.php

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 06 EXTERNAL REVIEW

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner ensures that external audits are carried out on the accreditation body to assess performance.

**GUIDANCE**

The Scheme Owner ensures accreditation bodies undergo external/independent performance assessments.

Examples of evidence for scheme alignment:

- assessment process and requirements of IAF, ISEAL or other membership organization.
- Scheme Owner accreditation manual or requirements, contracts or agreements, assessment reports.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because they specify only IAF ISO accreditation in order to ensure that this requirement is a prerequisite.

External/independent performance assessment is a standard component of IAF membership, all ABs undergo peer review by other IAF members to ensure quality and consistency of approach across the whole membership. The membership of the ABs (ANSI, BoA Vietnam, INAB and NABCB India) can be verified on the IAF website.

**REFERENCES**

International Accreditation Forum (IAF) website - IAF members and MLA signatories by name:
http://www.iaf.nu/articles/Accreditation_Body_Members_by_Name/52

IAF website - Policy Documents:
http://www.iaf.nu/articles/Policy_Documents/40

review of websites for AB's - for example:
https://www.ansi.org/Accreditation/product-certification/DirectoryListingAccredited?menuID=1&prgID=227

http://nabcb.qci.org.in/accreditation/prdt/prdt007.php

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 07 ORGANIZATIONAL TRANSPARENCY

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation body is transparent about its organizational structure and the financial and other kinds of support it receives from public or private entities.

#### GUIDANCE

Scheme owner ensures accreditation body transparency
regarding organizational structure and financial support.
The Scheme Owner requires disclosure of this information directly from the accreditation body.

Examples of evidence for scheme alignment:

- accreditation body website with information, certification/accreditation manuals, contracts and/or agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065;
- annual or periodic reports.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because any CB wishing to carry out assessments against any BAP standard must be accredited to ISO 17065 by a recognized Accreditation Body (AB) that is a member of IAF and a signatory of the IAF Multi-Lateral Agreement (MLA).

IAF requires accreditation bodies "to have the technical and financial capacity to undertake accreditation tasks, and perform these tasks in a neutral, non-discriminatory and independent manner." The IAF membership of the ABs (ANSI, BoA Vietnam, INAB and NABCB India) can be verified on the IAF website.

#### REFERENCES

International Accreditation Forum (IAF) website - IAF members and MLA signatories by name:
http://www.iaf.nu/articles/Accreditation_Body_Members_by_Name/52

IAF website - Policy Documents:
http://www.iaf.nu/articles/Policy_Documents/40

review of websites for AB's - for example:
https://www.ansi.org/Accreditation/product-certification/DirectoryListingAccredited?menuID=1&prgID=227

http://nabcb.qci.org.in/accreditation/prdt/prdt007.php

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 08 OFFICE AUDIT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation process includes an on-site audit of the certification body.

#### GUIDANCE

The Scheme Owner specifies that accreditation includes an on-site audit of the certification body.

Examples of evidence for scheme alignment:

- accreditation/certification requirements/methodologies, accreditation body office audit reports, audit schedule.
- specified in accreditation body or certification body contracts/agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because any CB wishing to carry out assessments against any BAP standard must be accredited to ISO 17065 by a recognized Accreditation Body (AB) that is a member of IAF and a signatory of the IAF Multi-Lateral Agreement (MLA).

IAF membership includes performance review encompassing office audits. The membership of the ABs (ANSI, BoA Vietnam, INAB and NABCB India) can be verified on the IAF website. BAP CB Office audit reports were reviewed during the office audit.

#### REFERENCES

BAP CB and AB Requirements Document - section 3.3, p12

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

IAF members and MLA signatories by name:
http://www.iaf.nu/articles/Accreditation_Body_Members_by_Name/52

IAF Policy Documents http://www.iaf.nu/articles/Policy_Documents/40

B.1.08 BAP CB Onsite Audit Checklist Feb 2019 (1).doc

# B.1 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## ACCREDITATION

### B.1 09 FIELD AUDIT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation process includes a review of the performance of certification bodies and auditors in the field.

#### GUIDANCE

The Scheme Owner specifies that accreditation includes a performance review of certification bodies and auditors.

Examples of evidence for scheme alignment:

- accreditation/certification requirements/methodologies, accreditation body audit reports, audit schedule, specified in accreditation body or certification body contracts/agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because any CB wishing to carry out assessments against any BAP standard must be accredited to ISO 17065 by a recognized Accreditation Body (AB) that is a member of IAF and a signatory of the IAF Multi-Lateral Agreement (MLA) that includes performance review requirements, including witness audits.

The membership of the ABs (ANSI, BoA Vietnam, INAB and NABCB India) can be verified on the IAF website.
ISO 17065 accreditation requires CBs to accept regular witnessed audits of assessors in the field.

#### REFERENCES

BAP CB and AB Requirements Document - section 3.1, p9

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

IAF members and MLA signatories by name:
http://www.iaf.nu/articles/Accreditation_Body_Members_by_Name/52

IAF Policy Documents http://www.iaf.nu/articles/Policy_Documents/40

B.1.03 AGMT - 2018 ANSI BAP MOU SIGNED (2).pdf

B.1.03 MoU Fully executed GAA and NABCB (1).pdf

B.1.03 MOU GAA and BOA (1).pdf

B.1.03 BVC - Validity extension of ISO 17065 (1).jpg

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### ▶ CERTIFICATION PROCESS

### B.2 01 ISO-17065 COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that certification bodies operating in the scheme are accredited to ISO/IEC 17065:2012 for the scope of the respective standard of the scheme.

**GUIDANCE**

The Scheme Owner has a contract, memorandum of understanding or enforceable arrangement with certification body that require ISO/IEC 17065:2012 for the scope of the respective standard of the scheme.

Examples of evidence for scheme alignment:

- contracts, memorandums of understanding and/or memorandum of agreements between Scheme and accreditation bodies or certification bodies that specify certification bodies be accredited with ISO 17065:2012;
- accreditation manual or certification requirements/methodologies; certification bodies certificate of accreditation.

**CONCLUSION**

The GAA BAP Certification Scheme is in alignment because the BAP CB requirements specify that any CB wishing to carry out assessments against any BAP standard must be accredited to ISO 17065.

**REFERENCES**

BAP CB and AB Requirements Document - section 3.1, p9

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

CB Approval Accreditation Status (Feb 2018) and examples of accreditation certificates therein.

B.1.03 CB Accreditation Status - Issue 2.2.xlsx
B.2.14 BAP auditing and certification agreement Dec 2105.pdf

https://www.ansi.org/accreditation/product-certification/AllDirectoryDetails.aspx?&prgID=227&OrgId=2222&statusID=4

https://www.inab.ie/FileUpload/Product-Certification/Global-TRUST-Certification-Ltd-6002.pdf

http://nabcb.qci.org.in/accreditation/reg_bod_pcb.php

http://www.acreditacion.gob.ec/wp-content/uploads/2018/07/2018_07_16-Control-Uni%C3%B3n-Per%C3%BA.pdf

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 02 FEE STRUCTURE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to maintain a written fee structure that is available on request and is adequate to support accurate and truthful assessments commensurate with the scale, size and complexity of the fishery, fish farm or chain of custody. The fee structure is non-discriminatory and takes into account the special circumstances and requirements of developing countries and countries in transition.

#### GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with the accreditation body and/or certification body.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies.
- possibly also review accreditation body audit reports that this requirement is verified, and for compliance of certification bodies on this requirement.
- policy or procedure which outlines how fee structures of certification bodies could address special requirements of developing and in transition countries in a non-discriminatory manner; certification body fee structure and policy (online or request).

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because the BAP Management sets the minimum audit duration for each type of facility in the CB Requirements Document. Duration and therefore cost depends on the size and complexity of the operation. BAP Management fixes the minimum and maximum allowable audit charges based upon duration. Fee structure documents were reviewed during the office visit and it was verified that all CBs charge the same rate in line with GAA's approach.

In addition, small-medium holders have the opportunity to apply for BAP certification as a group with the IOM (Integrated Operating Module Farms) program. All farms in an IOM Farm Unit are registered under a single application and pay a single application fee, reducing the costs for each applicant. In addition, CBs often use in-country auditors in order to reduce costs.

#### REFERENCES

CB Requirements Document - Section 4.3 p 30 Duration of evaluations

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.1.09 Website Screenshot - iBAP.docx

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 03 CERTIFICATION CYCLE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the validity of a certification cycle does not exceed 5 years in the case of fishery or 3 years in the case of aquaculture certification and 3 years in the case of chain of custody certification.

#### GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with the accreditation body and/or certification body.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies. Issued certificates with validity (online database or on request)

#### CONCLUSION

The GAA BAP Certification Scheme is in alignment because The GAA BAP Program is in alignment because the CB Requirement Document specifies that "it is the responsibility of the Applicant to maintain valid certification. Evaluation frequency consists of initial evaluation and, typically, annual audits thereafter for recertification. (Except in cases where seasonality prevents this)."

In addition, Section 4.11 states that the validity and duration of the issued certificate will be specified within each GAA BAP Standard or within documents issued to support these Standards and may vary between the individual GAA BAP Standards. (For example, for farms growing species with a long grow-out period prior to harvest, such as 18-24 months, certificate validity may be extended to cover the entire cycle.
Indicators of Facility Status used on the BAP Website Listing to understand why some certificates appear but are fallow or in process:

'Fallow' signifies the status a farm, typically a cage-based operation, that has passed the expiry date of its certificate, but cannot be recertified on the usual annual cycle because it no longer contains any animals, due to harvest followed by a period of fallowing. The farm will typically reapply for an audit and recertification once it is restocked. If successful, a new certificate will be issued. 'Fallow' is typically applied to salmon farms that have a regular fallowing and restocking cycles. If the farm has no intention to recertify it is removed from the BAP website listing.
2. Renewal in Process

When a 'Fallow' farm reapplies for certification it is designated "Renewal in Progress". Additionally, if, for reasons other than regular fallowing, a farm does not contain animals and consequently it can't be recertified on the usual annual cycle, it is classified as 'Renewal in Process'. 'Renewal in Process' signifies that the farm is actively engaged with GAA for the scheduling of its next audit, which, if successful will lead to recertification. If the farm has no intention to restock and recertify it is removed from the BAP website.

#### REFERENCES

CB Requirements Document - Section 4.2 p30 Evaluation Frequency

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.2.05 BAP CB Certificate Template Issue 2 February 2013.pdf

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 04 SURVEILLANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies carry out periodic surveillance and monitoring at sufficiently close intervals to verify that certified operations continue to comply with the certification requirements. For aquaculture operations, this should be on an annual basis.

#### GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with accreditation body and/or certification body. Scheme owner risk assessment system should identify "*sufficient close intervals*".

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies.
- Scheme Owner internal risk assessment system with assessment reports.
- Audit reports, schedules and issued certificates.

#### CONCLUSION

The GAA BAP Program is in alignment because the CB Requirement Document stipulates that the evaluation frequency consists of initial evaluation and, typically, annual audits thereafter for recertification. (Except in cases where seasonality prevents this)." The GAA BAP CB Certificate Template also specifies that recertification has to occur annually. Operations that are fallow or in process are listed separately on the certified facilities page (accessible through log in which is open to anyone).

#### REFERENCES

CB Requirements Document - Section 4.2 p30 Evaluation Frequency

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.2.05 BAP CB Certificate Template Issue 2 February 2013.pdf

Lists of Certified facilities - including those currently fallow or in process
https://www.bapcertification.org/CertifiedFacilities

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 05 ASSESSMENT METHODOLOGY

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that certification bodies apply a consistent methodology to assess compliance with the standard.

#### GUIDANCE

The Scheme Owner defines the methodology to assess compliance with the standard. An internal assessment (updated regularly) with clear outcomes, identifies if the methodology is consistent between certification bodies or if the methodology needs revising.

Examples of evidence for scheme alignment:

- certification requirements/methodologies,
- contracts and agreements with the certification body,
- guidance interpretation documents,
- Scheme Owner internal assessment system with assessment reports,
- training and calibration records.

RELATED SUPPLEMENTARY COMPONENTS

B.2 05 01 B.2 05 02

#### CONCLUSION

The GAA BAP Program is in alignment because the BAP CB Requirements Document states that BAP monitors the performance of Certification Bodies (as per the CB Review Procedure) and their auditors to ensure that the Standards are being applied consistently, auditor and CB personnel competence are properly ensured, and that reports and certification decisions are completed accurately and timely. The amount or frequency of these monitoring steps, including CB office audits, auditor witness assessments, other listed CB and auditor competency assessments, and facility audits are applied by the BAP scheme based upon risk assessments.
Each standard contains explanations and interpretations to help ensure consistency (see Finfish and Crustacean Farms standard & Salmon Farms standard). BAP also reviews audit reports for accuracy, consistency and correct interpretation. Reviews are carried out to ensure that a consistent methodology is applied.

#### REFERENCES

CB Requirements Document - Section 5.2 p37 Best Aquaculture Practices Performance Monitoring

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 06 TERMINATION, SUSPENSION, WITHDRAWAL

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that accredited certification bodies have consistent documented procedure(s) that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.

#### GUIDANCE

For accurate and consistent implementation of the standard, the Scheme Owner ensures that certification bodies have documented procedures that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body; accreditation manual, certification requirements/methodologies,
- audit reports,
- guidance documents specifying the conditions under which certification may be suspended or withdrawn.

#### CONCLUSION

The GAA BAP Program is in alignment because these details are covered in section 3.1.1 (CB Quality Management System) of the CB Requirements document, which requires a fully documented Quality Management System that includes: "Procedures in relation to the use of the certificate, rules for granting, suspending or withdrawing a certificate, and the actions taken by the Certification Body should a suspension or withdrawal take place." Further, section 4.8 states that the audit report, test result and corrective action evidence must be considered by a Certification Manager or Committee of the CB. Audit results must undergo a technical review prior to granting, suspending, withdrawing or renewing certification. Evidence of implementation and withdrawn certification was reviewed during the office audit.

#### REFERENCES

BAP CB-Requirements Document - Sections 3.1.1 p10 and 4.8 p 34

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Office review:
Review of certification suspension example Finfish.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 07 MULTI-SITE CERTIFICATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that accredited certification bodies have certification procedures and guidance for multi-site certifications, if allowed under the scheme.

#### GUIDANCE

If the Scheme Owner explicitly does not allow multi-site certification (prohibits, not that it is not yet developed or exists) requirement is "*Not applicable*". Otherwise, the Scheme Owner requires certification body to have documented certification procedures and guidance for multi-site certification.

Examples of evidence for scheme alignment:

- memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body;
- certification requirements/methodologies specifying multi-site procedures;
- guidance specifying certification procedures for multi-site certifications, in order to support consistency between certification bodies;
- audit reports.

#### CONCLUSION

The GAA BAP Program is in alignment because these details are covered in their Farm Group Program procedural document which outlines Eligibility requirements (Section 1), Quality Management System (Section 2), Group Internal Control system (section 3) and detailed in Section 4: External Certification Body (CB) Audits and CB Procedures
Review of Group Salmon certificate shows extensive review by auditor of all of these requirements. The multi site program is still evolving, hence the use of supplemental guidance used in conjunction with the current Farm Group Program (FGP) document. Only offered for salmon farms at the moment. It was noted that Group certificates for salmon last 2 years but CB audits remain annual (and include interim surveillance/maintenance audits) as required by GSSI

#### REFERENCES

Desk review:
Internal document:
GAA Best Aquaculture Practices (BAP)
Farm Group Program
Issue 4, Rev September 2015.

Internal review:
Kelly Cove Salmon / Cooke Aqua audit report BAP 10411. 12th - 19th July 2016.

BAP Salmon Group Surveillance Audit Guidance Document
Version 1.0 Rev 2, Jan-17
BAP Group Management Supplemental Guide for Salmon Producers V1.0 Beta. NO DATE
BAP Salmon Group Surveillance Audit Guidance Document
Version 1.0 Rev 2, Jan-17
Global Aquaculture Alliance
Best Aquaculture Practices
SEAFOOD PROCESSING
PLANT STANDARDS
(Issue 4, Revision 2, December 2015)
Internal documents: audit reports

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 08 AUDIT REPORTS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires CBs to ensure consistency in audit report formats and in how the reports are completed.

#### GUIDANCE

The Scheme Owner defines this requirement for certification bodies and has some system for quality control.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies;
- guidance specifying formats for audit reports and reporting, mandatory audit templates;
- review online audit reports for consistency of report format and reporting, Scheme Owner quality management system for review of audit reports.

#### CONCLUSION

The GAA BAP Program is in alignment because consistent reporting is required by the scheme as described in Section 4.6 of the CB Requirements Document. As stated in the BAP auditing and certification agreement, each audit shall be prepared in accordance with the format provided by the BAP and shall be performed in strict compliance with the BAP standards developed by GAA (and/or any other standards that BAP provides to the CB). In addition, it is mandatory for all auditors to complete and pass a BAP training course before they gain auditor approval. The consistency of report format of audit reports for the Finfish&Crustecean Farms standard and and the Salmon Farms standard was verified during the office audit.

#### REFERENCES

BAP CB-Requirements Document - Section 4.6 p 33

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

B.2.14 BAP auditing and certification agreement Dec 2105.pdf

B.2.08 Audit Checklist - Finfish and Crustacean Farm Issue 2.4 - Rev. 2 - 23-May-2017 - Pt. 1 (1).xlsx

Office review and internal documents:
BAP Finfish Crustacea Farm Standard Audit Template Parts 1 and 2-
BAP auditing and certification agreement (Dec 2105)
Audit reports for Finfish&Crustecean and Salmon Farms

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 09 STAKEHOLDER INPUT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies have in place consistent procedures for stakeholders to provide input during the certification process.

#### GUIDANCE

The Scheme Owner defines this requirement for certification bodies to have a documented procedure to enable input from all stakeholders during the certification process.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirements for mechanism for stakeholder input during certification process.
- guidance specifying procedures.
- review certification body process for input:
- publicly available information for stakeholder input, public announcements, audit work plans, requests for input.
- audit reports with stakeholder input.

RELATED SUPPLEMENTARY COMPONENTS

B.2 09 01 B.2 09 02

#### CONCLUSION

The GAA BAP Program is in alignment because requirements for stakeholder consultation are detailed in the BAP standards.In addition, the implementation guidelines for Section 2.0 (Community Relations) in the Finfish&Crustacean Farms Standard and the Salmon Farms Standard specify: "During facility inspection, the auditor shall verify compliance with this standard through examination of maps that define public and private zones; inspection of fences, canals and other barriers; and interviews with local people and farm workers. The auditor shall select the individuals for interview."
Requirements for stakeholder consultation are detailed in the standards themselves so that information is recorded in audit reports.
2.3: The applicant shall demonstrate interaction with the local community to avoid or resolve conflicts through meetings performed annually or more often, committees, correspondence, service projects or other activities.
2.4: The applicant shall record, review and respond helpfully to requests for information received from the public, including sharing of non-proprietary farm data, and to reasonable complaints that are specific to the applicant's operation and provide details in writing of the alleged failing.
2.5: Where applicable, the applicant shall demonstrate dialogue with local native peoples and a process for conflict resolution with them under the laws governing their rights.
Implementation was veried by reviewing audit reports (Finfish and Crustacean Farms standard and Salmon Farms standard)

#### REFERENCES

Finfish and Crustacean Farms standard - Section 2. Community Relations, p5:

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 2. Community Relations (Issue 2, Revision 3 October 2016, page 3):

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf
Mollusk Farm Std - Section 2. Community Relations, p4
C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf
Office review: internal audit report

- F10648 Vinh Hoan Corporation - Tan Khanh Tring Farm. Vietnam. Panagasius. Certification expiry date 3-2-17. CB- BV.
- F10426 King Reef Seafoods. Australia. Baramundi. Certification expiry date 15-8-16. CB - GT- SAI.
- F10633 Elysian Farms- Southfresh aquaculture. USA. Catfish. Certification expiry date 3-9-17. CB - NSF.
- F10617. M/S Kader Exports (P) Ltd. IOM D Ramesh. India. Shrimp. Certification expiry date 1-4-17. CB - SGS India.
- F10608 PT MITRA TAMBAK SEJATI. Indonesia. Shrimp. Certification expiry date 2-12-17. CB - NSF.
- F10573 Data J Aqua farm Simbaluca site. Philippines. Shrimp. Certification expiry date 2-12-17. CB - NSF.
- F10561 Guangdong Yangxi Shunxing sea fishery. China. Tilapia. 25-9-16 First assessment. CB - NSF.
- F10531 Liang Weitao aquaculture. China. Tilapia. 31-7-16 First assessment. CB - NSF.
- F10493 Paraiso Springs aquaculture Guatemala V Cia Ltd. Tilapia. Certification expiry date 3-10-17. CB - GT -SAI.
- F10452 Good Luck IOM farm group 2 Suwan farm 1. Thailand. Shrimp. Certification expiry date 4-4-16. CB - NSF.
- F10293 Guangxi Nanning Baiyang breeding Co. Ltd (Jianguang farm). China. Talapia. Certification expiry date 20-7-16. CB - NSF. and XXXXX audits to Salmon standard

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 10 NON-COMPLIANCES

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies use a consistent procedure for determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances.

#### GUIDANCE

For accurate and consistent implementation of the standard, the Scheme Owner ensures that certification bodies have documented procedures determining all of the following: non-compliances, verifying corrective actions arising from non-compliances, and allowing for appeals of non-compliances.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body.
- accreditation manual, certification requirements/methodologies.
- guidance documents, determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances, in order to support consistency between certification bodies.
- audit reports.

#### CONCLUSION

The GAA BAP Program is in alignment because non-conformity procedures are specified in the BAP CB Requirements Document (Section 4.5).
Any Non?Conformances raised during the evaluation will be recorded by the auditor
as either: critical, major or minor. All non?conformities for all facilities, standards and audit formats shall have facility corrective action responses and objective evidence submitted of effective correction and implementation.
The CB shall submit a response to the deficiencies along with a corrective action plan to BAP describing steps taken or to be taken, and the time frames. The response and plan shall be provided within 15 working days of receipt of notification of BAP of the deficiency.
The CBs are required to have a written Appeals and Complaints process to allow the facility to appeal any CB decision (Section 4.9). Further, GAA/BAP outlines the procedure for Complaints, Appeals and Disputes on the website.

Audit reports and corresponding non conformance closure records, and appeals were reviewed to verify that there is a consistent procedure for determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances.

#### REFERENCES

BAP CB-Requirements Document - Sections 4.5 and 4.9 p 32 & 35

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.3.07 Complaints, Appeals and Disputes - Issue 2.2 - 17-October-2017.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20Complaints,%20Appeals%20and%20Disputes%20-%20Issue%202.2%20-%2017-October-2017.pdf

Office visit:
Internal documents:
Review of audit reports and corresponding non conformance closure records.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 11 SITE AUDIT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the scope of the (re-)certification audit includes a visit to locations pertinent to the scope of the certification.

#### GUIDANCE

The Scheme Owner requires that the scope of the audit (initial, annual or re-assessment) includes on-site assessment of premises covered by the scope of the standards and which one or more key activities are performed

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body,
- accreditation manual, certification requirements/methodologies,
- guidance documents specifying procedures for determining site visits including sampling,
- review audit reports.

RELATED SUPPLEMENTARY COMPONENTS

B.2 11 01

#### CONCLUSION

The GAA BAP Program is in alignment because the CB Requirements document (section 4.4 Evaluation Format), states that the evaluation format is one of systems/documentary/records review and physical inspection of the site and manufacturing process. All sections of the standard shall be covered by reviewing the applicant's documents, records and related procedures, together with an inspection of the production facilities.
Implementation of this component was verified through the review of audit reports of the Finfish&Crustacean Farms standard and the Salmon Farms standard.

#### REFERENCES

BAP CB Requirements Document - section 4.4 Evaluation Format p 31

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 12 TRANSPARENCY ON CERTIFIED ENTITIES

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that a list of certified enterprises is made publicly available.

**GUIDANCE**

The Scheme Owner makes publically available a list of certified entities either directly or requires of certification bodies/ accreditation bodies.

Examples of evidence for scheme alignment:

- system to show the certification status of enterprises is publicly available online (e.g. database or online certificate list). If this system is outsourced to the accreditation bodies or certification bodies, this is required and the system described in the contract/agreement between the Scheme Owner and the accreditation body/certification body, in a separate accreditation manual or certification requirements/methodologies.

**CONCLUSION**

The GAA BAP Program is in alignment because all certified farms are listed online and can also be viewed on a geographic map. The list also specifies until which date a facility is certified.

**REFERENCES**

GAA/BAP website - listing of BAP Facilities:

https://www.bapcertification.org/CertifiedFacilities

B.2.12 Website Screenshot - Geographic Map of BAP Certified Facilities BAP Certified Facilities.docx

Desktop review:
GAA/BAP website - listing of BAP Facilities:
http://bap.gaalliance.org/find-certified-facilities/

GAA/BAP website - Geographic Map of BAP-Certified Facilities:
https://www.bapcertification.org/find-certified-facilities/

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 13 TRANSPARENCY ON AUDIT REPORTS

**GSSI ESSENTIAL COMPONENT**

For fisheries, the Scheme Owner requires certification bodies to make full audit reports available on request after certification has been granted, while excluding commercially sensitive information.

**GUIDANCE**

Applicable only to fisheries, for Aquaculture "*Not Applicable*". The Scheme Owner defines this requirement for certification bodies to make full audit reports, after certification has been granted, available online or upon request. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with certification body and certified entity with this requirement,
- certification requirements/methodologies specifying requirement,
- guidance specifying that making reports available to stakeholders happens in a timely manner,
- review certification body website for posted reports or process for responding to requests.

**CONCLUSION**

This Component is not applicable to Scheme GAA as this is not applicable for Aquaculture.

**REFERENCES**

N/A

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 14 TRANSPARENCY ON AUDIT REPORTS

#### GSSI ESSENTIAL COMPONENT

For aquaculture, the Scheme Owner requires certification bodies to make summary audit reports publicly available (excluding commercially sensitive material) after certification has been granted.

#### GUIDANCE

Applicable only to Aquaculture. For Fisheries "*Not Applicable*".
The Scheme Owner defines this requirement for certification bodies to make summary audit reports, after certification has been granted, publicly available. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with certification body and certified entity with this requirement.
- certification requirements/methodologies specifying requirement.
- guidance specifying that making reports available to stakeholders happens in a timely manner.
- certification body website for posted reports.

RELATED SUPPLEMENTARY COMPONENTS

B.2 14 01 B.2 14 02

#### CONCLUSION

The GAA BAP Program is in alignment because as stated in the CB agreement,"CERTIFICATION BODY, as required by the GSSI, shall make summary audit reports for farms available to BAP once certification has been granted, to be made publicly available on the BAP website, upon request." This was verified by reviewing BAP auditing and certification agreements.

#### REFERENCES

https://www.bapcertification.org/ProgramIntegrity

B.2.14 BAP auditing and certification agreement Dec 2105.pdf

internal document: BAP CB Audit and Cert Agreement Template Dec 2015

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 15 NOTIFICATION OF CHANGES

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner notifies accreditation bodies, certification bodies and certified enterprises of any change in management procedures which affects scheme rules and procedures for accreditation or certification.

#### GUIDANCE

The Scheme Owner has a system to ensure that accreditation bodies, certification bodies and certified entities are notified in a timely manner of any substantive change in management procedures. This is defined as changes which affect scheme rules and procedures for accreditation and/or certification. Where the scheme outsources responsibility of notification to accreditation bodies or certification bodies, there is a requirement for certification bodies to have a procedure for this notification and guidance on how this should take place (timeframe, manner, channel, etc.).

Examples of evidence for scheme alignment:

- contracts/agreements with accreditation bodies and certification bodies regarding notification of changes, internal procedure/quality handbook for change management, ring information flow.

#### CONCLUSION

The GAA BAP Program is in alignment because the CB requirements specify that new or revised CB requirements, standard or other documents related to operating the standard will be made and BAP " shall make the CB's aware of these changes and the CB shall ensure these are communicated to applicants and the appropriate staff, auditors and subcontract auditors within their organization. The latest Issue of each Standard will be on the GAA BAP website."

AB MoUs specifiy: 4.3 The Global Aquaculture Alliance will notify AB NAME in a timely manner of new or changed standards and requirements.

Certified enterprises are notified of changes via the sending of any modified standard, press releases, and website postings as previously described. GAA has established a Document Control Procedure and established and annual CB forum and review process.

#### REFERENCES

BAP CB Requirements Document - Section 2.2 Update to Standards, Protocols and Procedures

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

B.1.03 AGMT - 2018 ANSI BAP MOU SIGNED (2).pdf
B.1.03 MoU Fully executed GAA and NABCB (1).pdf
B.1.03 MOU GAA and BOA (1).pdf
B.1.03 BVC - Validity extension of ISO 17065 (1).jpg
B.2.14 BAP CB Audiing & Certification Service Agreement dec 2015

Internal documents: MoUs from ABs - ANSI, Bureau of Accreditation Vietnam, India AB
Review of email notification with document changes with review 2016.
overall program updates in formal communication "Accreditation Body Update for the Best Aquaculture Practice (BAP) Program
Date: March 20th 2017
To: ANSI, BoA, INAB, NABCB
CC: SAIG, NSF, SGS, Acoura, BV..."
Internal review of corrective actions.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 16 TIMELINE FOR CORRECTIVE ACTION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner clearly defines the criteria relating to the classification of non-conformities. Where the Scheme Owner allows for certification of an entity with non-compliances, the Scheme Owner requires that:

- only non-conformities on minor, non-critical issues are allowed;
- a timeline for closing out corrective actions must be defined;
- a system to verify that corrective actions have been closed out is in place.

#### GUIDANCE

The Scheme Owner defines the criteria related to rating the severity of non-conformities for certification bodies. If Scheme allows for certified entities with non-compliances, these can only be (All must be met): minor/non-critical, with a defined timeline for closing out and a mechanism defined to verify resolution.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying classifications of non-conformities and conditions for allowing certification with non-compliances.
- guidance specifying procedures and process for classifying non-conformities and conditions for issuing certification, audit reports.

#### CONCLUSION

The GAA BAP Program is in alignment because the criteria for critical, major and minor are clearly defined in the CB Requirements document. All evidence of corrective action must be returned, completed and verified by the Certification Body within a timescale defined by BAP before certification can be awarded. All non conformities are closed out prior to certification/ recertification.
Logged on trackers updated by CB and kept by GAA. Checks carried out to ensure all NC's are closed out.
The implementation of time frames for closure and the definition of the closure process have been verified by reviewing audit reports of Finfish&Crustacean.

#### REFERENCES

BAP CB Requirements Document - Section 4.5, p 32 Non Conformance Categories, Reporting, and Closure Time Frames

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Office Review: Internal
Review of audit reports across CBs, countries and scope for Finfish&Crustacean to make sure that the major non-conformities have been closed out.
Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard across CBs and geographies

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### ▶ AUDITOR COMPETENCE

### B.2 17 REQUIREMENTS FOR TECHNICAL KNOWLEDGE

**GSSI ESSENTIAL COMPONENT**

The Scheme Owner has defined the qualifications and competence criteria required by auditors and audit teams, employed by certification bodies, and it makes this information publicly available.

**GUIDANCE**

The Scheme Owner defines the requirement for certification body auditor and audit teams qualifications and competency and these requirements are publically available. Competencies and qualifications include knowledge in the standard, education, experience and personal attributes.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/ certification requirements/methodologies specifying criteria for each function,
- auditor assessment and training records,
- auditor CVs.

**CONCLUSION**

The GAA BAP Program is in alignment because auditor competency and qualifications are extensively covered in various documents. The CB Requirements document defines CB Auditor Competence, CB Auditor Experience and requirements for Subcontracted Auditors (sections 3.6 - 3.8). The BAP Auditor Competency and Course Approval document outlines the minimum auditor competency requirements.
Both documents are publicly available on the GAA/BAP website under "Program Integrity" - "prospective CB Information".
Implementation of these specifications was verified during the office audit by reviewing the auditor training/retraining tracker document across all BAP standards.

**REFERENCES**

BAP CB Requirements Document Sections 3.6-3.8 p16-24

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

BAP Auditor Competency and Course Approval Requirements

B.2.17 Auditor Competency and Course Approval Requirements - Issue 11 - 19-March-2018.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20Auditor%20Competency%20and%20Course%20Approval%20Requirements%20-%20%20Issue%2011%20-%2019-March-2018.pdf

Office review: (internal documents)
Auditor training / retraining tracker (previously called master blaster document) reviewed together with audit reports.
Reviewed records across all BAP standards.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 18 TECHNICAL KNOWLEDGE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification body auditors to have successfully completed training in the scheme to the satisfaction of the Scheme Owner.

#### GUIDANCE

The Scheme Owner defines the requirement for certification body auditor training in the standard including initial and ongoing development.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/ certification requirements/methodologies specifying criteria for each function.
- auditor assessment and training records.

#### CONCLUSION

The GAA BAP Program is in alignment because the CB Requirements document outlines the training requirements and states that every auditor candidate meeting the requirements has to be vetted by the CB and scheme owner and attend and pass a BAP training course. BAP approved auditors shall attend a BAP auditor course for refresher training in the categories they are approved for at minimum, every 3 years. Auditor training attendance lists from selected audits were reviewed during the office visit.
Master list of auditors which tracks competencies and training was reviewed. On top of the GAA Records as Program Managers, CB's maintain their own Competency and Training Files for All Auditors. This is subject to continuous and scheduled review by both the relevant AB and the GAA Annual Review.

#### REFERENCES

BAP CB Requirements Document Sections 3.6-3.7 p16-23

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

BAP Auditor Competency and Course Approval Requirements

B.2.17 Auditor Competency and Course Approval Requirements - Issue 11 - 19-March-2018.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20Auditor%20Competency%20and%20Course%20Approval%20Requirements%20-%20%20Issue%2011%20-%2019-March-2018.pdf

Office review (internal documents):
Review of auditor training / retraining tracker (previously called master blaster document) reviewed together with audit reports.
Reviewed records across all BAP standards.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 19 GENERAL AUDITING SKILLS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body auditors successfully complete auditor training based on ISO 19011. This does not include technical experts seconded to audit teams.

#### GUIDANCE

The Scheme Owner defines the requirement for certification body auditors to have successfully completed (passed) training based on ISO 19011 (Guidelines for auditing management systems) and that the audit team includes at least one auditor. Technical experts supplement auditor expertise, but are not formally auditors and do not count as an auditor.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/ certification requirements/methodologies specifying criteria for each function.
- auditor assessment and training records.
- auditor CVs.
- audit Reports.

#### CONCLUSION

The GAA BAP Program is in alignment because CB auditors selection, pre requisites, training and retraining are in line with ISO 19011. Auditor training requirements are described in detail and are consistent with ISO 19011: CB Requirements Document Sections 3.6,3.7.3.9,3.10.
Recognized Auditor Course: Candidates must have successfully completed a recognized course in audit techniques. Examples of recognized courses include: ISO 9000, ISO 9001, ISO 22000, BRC, SQF, IFS, ASQ, Certified Quality Auditor, ASQ Certified HACCP Auditor.
Review of auditor training / retraining tracker (previously called master blaster document) against CB requirements document, together with audit reports.
On top of the GAA Records as Program Managers, CB's maintain their own Competency and Training Files for All Auditors. This is subject to continuous and scheduled review by both the relevant AB and the GAA Annual Review.

#### REFERENCES

BAP CB Requirements Document Sections 3.6-3.8 p16-24:

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

BAP Auditor Competency and Course Approval Requirements:

B.2.17 Auditor Competency and Course Approval Requirements - Issue 11 - 19-March-2018.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20Auditor%20Competency%20and%20Course%20Approval%20Requirements%20-%20%20Issue%2011%20-%2019-March-2018.pdf

Office review: Internal document
Review of auditor training / retraining tracker (previously called master blaster document) against CB requirements document, together with audit reports.

Records were reviewed across all BAP standards.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 20 SCHEME SPECIFIC KNOWLEDGE ASSESSMENT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies include the following in their competence assessment of auditors:

- an assessment of knowledge and skills for each fundamental area the auditor will be expected to be working,
- an assessment of knowledge of pertinent fishery and /or aquaculture Programs and the ability to access and be able to apply relevant laws and regulations,
- an assessment of the personal attributes of the auditor, to ensure they conduct themselves in a professional manner,
- a period of supervision to cover the assessment fishery and/or aquaculture principles, specific audit techniques and specific category knowledge,
- a documented sign off by the certification body of the satisfactory completion of assessment requirements.

#### GUIDANCE

The Scheme Owner defines the requirement for certification bodies to include in the management of personnel competence (ISO 17065 clause 6.1.2) all of the elements in the *Essential Component*.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying requirement,
- guidance outlining the system and criteria for competencies, training, etc. (see B.2.17-B.2.19, 21-22),
- auditor assessment and training records,
- auditor CVs,
- accreditation body reports.

#### CONCLUSION

The GAA BAP Program is in alignment because it requires CBs to include the following in their competence assessment of auditors:
- an assessment of knowledge and skills for each fundamental area the auditor will be expected to be working (Section 3.6.6) ,
- an assessment of knowledge of pertinent fishery and /or aquaculture Programs and the ability to access and be able to apply relevant laws and regulations (Section 3.7.4),
- an assessment of the personal attributes of the auditor, to ensure they conduct themselves in a professional manner (Section 3.7.5),
- a period of supervision to cover the assessment fishery and/or aquaculture principles, specific audit techniques and specific category knowledge (Section 3.7.1),
- a documented sign off by the certification body of the satisfactory completion of assessment requirements (Section 3.7.2).

These requirements are listed in detail in section 3.6.6, 3.7.1, 3.7.2, 3.7.4 and 3.7.5 of the BAP CB Requirements document. Master list of auditors which tracks competencies and training was reviewed. On top of the GAA Records as Program Managers, CB's maintain their own Competency and Training Files for All Auditors. This is subject to continuous and scheduled review by both the relevant AB and the GAA Annual Review.

#### REFERENCES

BAP CB Requirements Document Sections 3.6-3.7 p16-23

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Office review: internal document
Review of auditor training / retraining tracker (previously called master blaster document) against CB requirements document, together with audit reports.
review of specific knowledge of auditors with audit report.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 21 SCHEME SPECIFIC KNOWLEDGE MAINTENANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body lead auditors maintain category and scheme knowledge.

#### GUIDANCE

The Scheme Owner defines the requirement for certification body lead auditors to have and maintain the necessary training, technical knowledge and experience to ensure consistent and accurate audits.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying requirement,
- guidance outlining the system and criteria for lead auditors,
- lead auditor assessment and training records,
- lead auditor CVs,
- accreditation body reports.

#### CONCLUSION

The GAA BAP Program is in alignment because GAA requires the CBs to have an annual program in place to maintain auditor experience in the relevant GAA BAP standard(s). Auditors of Seafood Procesing plants have to conduct at least 5 audits annually and auditors for farms/hatcheries have to complete at least two BAP audits for each competency category the auditor is approved for. Section 3.7.4 of the CB Requirements document states that all BAP approved auditors shall attend a BAP auditor course for refresher training in the categories they are approved for at a minimum, every 3 years. This shall be more often where the CB determines, during performance monitoring and calibration, that the auditor needs refresher training sooner. Auditors shall undergo additional training by the CB whenever a new version of the GAA BAP Standard(s), checklist, policies, guidance documents, etc. are issued.
Master list of auditors which tracks competencies and training was reviewed. On top of the GAA Records as Program Managers, CB's maintain their own Competency and Training Files for All Auditors. This is subject to continuous and scheduled review by both the relevant AB and the GAA Annual Review.

#### REFERENCES

BAP CB Requirements Document Sections 3.7.3 and 3.7.4, p21-22:

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Office review: internal documents
Auditor training / retraining tracker (previously called master blaster document) reviewed against CB requirements document, together with audit reports.
Records were reviewed across all BAP standards.

# B.2 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 22 KNOWLEDGE MAINTENANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies have a continuing professional development program in place that provides auditors with current best practice for fishery and/or aquaculture.

#### GUIDANCE

The Scheme Owner defines the requirement for certification body auditor ongoing professional development to maintain current best practice in sector.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/ certification requirements/methodologies specifying criteria for continuous professional development,
- auditor training, assessment and training records.

#### CONCLUSION

The GAA BAP Program is in alignment because CB auditors training and re-training is defined in detail in the CB Requirements. "3.7.4 Continuing Training, Refresher Training, and Competency Monitoring. BAP approved auditors shall attend a BAP auditor course for refresher training in the categories they are approved for at a minimum, every 3 years....The auditor must be kept up to date with category best practice, and have access to and be able to, apply relevant laws and regulations. Auditors shall undergo additional training by the CB whenever a new version of the GAA BAP Standard(s), checklist, policies, guidance documents, etc. are issued. "

#### REFERENCES

BAP CB Requirements Document Sections 3.7.3 and 3.7.4, p21-22:

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

BAP Auditor Competency and Course Approval Requirements:

B.2.17 Auditor Competency and Course Approval Requirements - Issue 11 - 19-March-2018.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20Auditor%20Competency%20and%20Course%20Approval%20Requirements%20-%20%20Issue%2011%20-%2019-March-2018.pdf

Office review:internal documents
Auditor training / retraining tracker across all standards (previously called master blaster document) reviewed against CB requirements document, together with audit reports.
Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 01 SEGREGATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that all certified products are identified and segregated from non-certified products at all stages of the supply chain.

#### GUIDANCE

The Scheme Owner requires clear identification and separation of certified from non-certified product at all stages of the supply chain.

Examples of evidence for scheme alignment:

- Chain of Custody standards, audit checklists, certification requirements/methodologies specifying requirement.
- Chain of Custody audit reports.

#### CONCLUSION

The GAA BAP Program is in alignment because requirements for identification and segregation of BAP products are included in the traceability section of each standard and thus compliance is audited annually. The BAP program recognizes product from associated or integrated facilities with a "star-based" ranking system (1-4 stars). GSSI is benchmarking 2-star products, which are products produced by a BAP-certified processing plant and BAP-certified farm(s) only. Thus, apart from reviewing the traceability criteria in the Finfish&Crustacean Farms and Salmon Farms standard, they also need to be veriefied in the Seafood Processing Standard. Section 7. Traceability Management of the BAP Seafood Processing Standard describes the requirement to develop and maintain appropriate traceability procedures and the clear separation and identification of certified and non-certified products. These are the same requirements for all BAP standards at each step in the production chain.
Audit reports from all three standards were reviewed to to verify traceability identification and segregation requirements are audited against.

#### REFERENCES

BAP Management of the Seafood Processing Standard Section 9. Traceability, page 38:

B.3.01 SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf

BAP Finfish&Crustacean Farms Standard - Section 15 Traceability, p24:

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 12. Traceability p21:

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

Mollusk Farm Std - Section 13. Traceability, p23

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard.
3 Processing plant CoC audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 02 ENTERPRISES TO BE AUDITED

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires all enterprises that are physically handling the certified product to undergo a Chain of Custody audit by an accredited certification body if the product can be destined for retail sale as a certified, labelled product.

Exceptions: No audit is required for storage and distribution of tamper-proof, packaged products.

#### GUIDANCE

The Scheme Owner requires all entities in a supply chain that physically handle the product and where there is the possibility of mixing undergo a Chain of Custody audit if the product will be claimed as certified or carry a label. Entities in the supply chain which do not take physical control or only handle storage and distribution in tamper proof packaging need to be identified, but do not require a Chain of Custody audit.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, certified entity, certification requirements/methodologies defining types of operations and activities that require auditing according to these requirements,
- Chain of Custody reports.

#### CONCLUSION

The GAA BAP Program is in alignment because BAP certificates are issued to BAP compliant facilities and this is apparent on each certificate. BAP compliant facilities are annually audited against traceability requirements and 'Product Identity Preservation' standards. Product Identity Preservation assures the integrity of the Best Aquaculture Practices "star" system, traceability controls must be in place that allow verification of all facilities that contribute to the claim of multiple-star BAP-certified status. These requirments were verified in the audit reports for Finfish and Salmon.
Only tamper-proof, packaged products can bear the BAP logo. Acceptable uses for the BAP logo and associated claims are defined in the 'Acceptable Uses' section of BAP_Logo Usage Brand Identity Retail Foodservice document.

#### REFERENCES

Seafood Processing Standard Section 9. Traceability, page 38:
B.3.01 SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf

BAP Finfish&Crustacean Farms Standard - Section 15 Traceability, p24:
A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 12. Traceability p21:
A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

Mollusk Farm Std - Section 13. Traceability, p23
C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard.
3 Processing plant CoC audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 03 RECORDS FOR TRACEABILITY

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to verify that all enterprises within the chain maintain accurate and accessible records that allow any certified product or batch of products to be traceable from the point of sale to the buyer.

#### GUIDANCE

The Scheme Owner defines the requirement for certification bodies that all entities within the supply chain, including those which may not undergo a Chain of Custody audit (see B.3.02), maintain up to date, complete and accessible records that allow for full traceability of the product along the entire supply chain.

Examples of evidence for scheme alignment:

- Chain of Custody standard.
- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying criteria for document control and maintenance.
- auditor checklists.

#### CONCLUSION

The GAA BAP Program is in alignment because the requirements for record keeping are included in the traceability section of each standard and thus compliance is audited annually. The Traceability Record-Keeping Requirement connects the links in the production chain and allows tracing of each processed lot back to the culture unit and inputs of origin. The clauses 1-10 in each standard specifies that each facility shall operate an effective record-keeping system that provides timely, organized, accurate entries, performed and overseen by a designated trained person or team responsible for collecting the data, ensuring it is complete and accurate, and that traceability requirements are met. Implementation of this component was verified by reviewing the audit reports across Finfish&Crustacean, Salmon and processing l standards to ensure traceabilty is in place.

#### REFERENCES

Seafood Processing Standard Section 9. Traceability, page 38:
B.3.01 SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf

BAP Finfish&Crustacean Farms Standard - Section 15 Traceability, p24:
A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 12. Traceability p21:
A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

Mollusk Farm Std - Section 13. Traceability, p23
C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard.
3 Processing plant CoC audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 04 SUB-CONTRACTORS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that enterprises are able to demonstrate that these Chain of Custody requirements are met by the enterprise's subcontractors.

#### GUIDANCE

The Scheme Owner ensures that certified entity takes full responsibility that all subcontractors fully meet Chain of Custody requirements and has a system to demonstrate this.

Examples of evidence for scheme alignment:

- sub-contract agreements, internal audits. If the Scheme Owner does not allow sub-contracting then this is aligned (as opposed to Not Applicable)

#### CONCLUSION

The GAA BAP Program is in alignment because all BAP compliant facilities are required to ensure any outsourcing are subject to verifiable controls in the Seafood Processing Standard: 2.9 Outsourcing & Specifications - Processes and Services and 7.3.6.1 Referring to clause 2.9 "Outsourcing" - Where the facility outsources any part of the production process for BAP products (including ...) - the facility shall have specific, verifiable, robust traceability procedures and documents in place that clearly demonstrate control is being exercised by the facility over the outsourced entity....These controls shall ensure the proper separation and maintenance of traceability of BAP 1, 2, 3, and/or 4 star products. This shall include procedures to ensure BAP products were not compromised through mixing or substitution with non-BAP products, or through mixing of product of different BAP star categories. The procedures and records shall clearly show controls and traceability at ALL steps"

#### REFERENCES

Seafood Processing Standard Section 9. Traceability, page 38:
B.3.01 SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf

BAP Finfish&Crustacean Farms Standard - Section 15 Traceability, p24:
A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 12. Traceability p21:
A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

Mollusk Farm Std - Section 13. Traceability, p23
C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard.
3 Processing plant CoC audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 05 AUDITING METHODS AND FREQUENCY

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner has or requires certification bodies to have documented procedures for auditing methods and frequency of audits that meet the following requirements:

- certificate validity does not exceed 3 years;
- periodicity depends on risk factors
- changes to an enterprise's traceability system that are deemed to affect the integrity of the Chain of Custody result in a re-audit (onsite).

#### GUIDANCE

The Scheme Owner has or ensures certification bodies have documented Chain of Custody audit methodologies including: validity of certificate cannot exceed 3 years, frequency of audits takes into consideration risk factors and an onsite audit is required when substantive changes to the certified entities traceability system take place. These are instances where the integrity of the Chain of Custody could be affected such as company mergers, major new markets.

Examples of evidence for scheme alignment:

- requirements in the contract/agreement between the Scheme Owner and the certification body, in a separate accreditation manual or for example in certification requirements/methodologies.
- guidance interpretation specifying frequency, auditing methods and risk factors, in order to support consistency between certification bodies.

#### CONCLUSION

The GAA BAP Program is in alignment because of Section B. The Certification Process of the Seafood Processing Standard covers the procedural requirements. The frequency of assessment to maintain certification is set by the GAA. This will be based on the producer's demonstrated ability to consistently comply with the requirements of the standard. Normally the frequency of assessment will be once per annum. Re-audits, short notice, or unannounced audits shall also be conducted at BAP and CB discretion where facility compliance concerns arise. The certification status of BAP certified farms and facilities can also be viewed on the GAA/BAP website.

CB Rules and Regulations Document, Clause 6.1 and in the Certified Facility Agreement, 5.1.2 and 5.1.3
CB Requirements Document
6.1 The CB must agree to immediately notify Best Aquaculture Practices and, where applicable, to supply a copy of the relevant report when:
- A certificate of an applicant is revoked;
- A certificate of an applicant is suspended;
- An applicant who has previously gained Certification to a Standard, fails to regain certified status after an audit and certification review;
- There are any changes that could affect the safety of products;
- There are significant changes in the management or ownership of the certified facility;
- There is a change in the management or ownership of the CB

#### REFERENCES

BAP Management of the GAA Seafood Processing Standard - Section C The Certification Process, page 10:
B.3.01 SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI-Standard-SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf

GAA/BAP website -Search & Sort for BAP-Certified Facilities:
https://www.bapcertification.org/CertifiedFacilities

CB Rules and Regulations Document, Clause 6.1, Information Management, p40:
A.1.02 BAP CB Requirements Document - Issue 14.5.pdf
https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

A.2.03 BAP - Agreement - Facility Agreement; Signature - Issue 1.6 - 3-April-2019 (1).docx
Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard.
3 Processing plant CoC audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 06 NON-CONFORMITY/CORRECTIVE ACTIONS

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires the certification body to record all identified breaches of the chain of custody, including:

- an explanation of the factors that allowed the breach to occur;
- an explanation of the corrective actions required to ensure that a similar breach does not re-occur;
- the time frames for the corrective actions to be completed; and
- the date of closing out of the corrective actions and how the problem was solved.

#### GUIDANCE

The Scheme Owner requires of certification bodies to document all breaches of Chain of Custody with explanation of contextual factors, corrective actions, and timeframes for corrective actions, date of closing and resolution.

Examples of evidence for scheme alignment:

- certification requirements/methodologies defining requirements of reports, contract or agreement specifying requirements, mandatory template reports.
- Chain of Custody audit report.

#### CONCLUSION

The GAA BAP Program is in alignment because the criteria for critical, major and minor non-conformities are clearly defined in the CB Requirements document and also in each standard. All evidence of corrective action must be returned, completed and verified by the Certification Body within a timescale defined by BAP before certification can be awarded. This evidence shall also address root cause and future prevention. All non conformities are closed out prior to certification/ recertification. The implementation of time frames for closure and the definition of the closure process have been verified by reviewing audit reports of processing facilities.

#### REFERENCES

BAP CB Requirements Document - Sections 4.5 Non Conformance Categories, Reporting, and Closure Time Frames, p 32:

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Internal review: Audit reports for the Seafood Processing Standard.

Document review (audit report, email notification) of evidence for one processor that had breached chain of custody with consequences of removal (april 2015)

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 07 AUDIT REPORT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body audit reports include:

- the date of the inspection/audit;
- the name(s) of the person(s) responsible for the audit and report;
- the names and addresses of the sites inspected/audited;
- the scope of the inspection/audit;
- the non-conformities identified;
- the result of at least one mass balance assessment for each product covered by the Chain of Custody audit; and
- a conclusion on the conformity of the client with the Chain of Custody requirements.

#### GUIDANCE

The Scheme Owner requires of certification bodies that all Chain of Custody audit reports include all of the elements in the *Essential Component*.

Examples of evidence for scheme alignment:

- certification requirements/methodologies defining requirements of reports, mandatory template reports.
- Chain of Custody audit report.

#### CONCLUSION

The GAA BAP Program is in alignment because all BAP audit reports include:
- the date of the inspection/audit;
- the name(s) of the person(s) responsible for the audit and report;
- the names and addresses of the sites inspected/audited;
- the scope of the inspection/audit;
- the non-conformities identified;
- the result of at least one mass balance assessment for each product covered by the Chain of Custody audit;
- a conclusion on the conformity of the client with the Chain of Custody requirements.

#### REFERENCES

Desktop review:
Internal Review
Review of 11 audit reports across CB's / countries / scope for Finfish
Internal review: 9 random sample audit reports to Salmon standard.
3 Processing plant CoC audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 08 AUDIT REPORT

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to file reports at their office and to make these reports available to relevant parties upon request.

#### GUIDANCE

Certification bodies are required to maintain files of Chain of Custody audit reports (paper or electronic) and make these available upon request to relevant parties, within contractual arrangements with certified entities.

Examples of evidence for scheme alignment:

- contracts, agreements, certification requirements specify Chain of Custody reports are filed and process for making them available.

#### CONCLUSION

The GAA BAP Program is in alignment because Section 4.12 (Document Control and Document Registry) of the CB Requirements document states that all records and documentation related to GAA BAP Standard's evaluations shall be retained by the CB for a minimum of five years. CBs shall ensure that their agreements with Applicants dictate that all documents in relation to the Evaluation shall be made available to Best Aquaculture Practices upon request. The Certification Body shall have in place a document control procedure that ensure all documents and records related to the CB's GAA BAP certification process and to the GAA BAP Standards and procedures are up to date and that only current versions are in use and/or distributed to facilities, personnel, auditors, and Best Aquaculture Practices.
on website: "If you require a facility's summary audit report, please contact the certification body directly or program integrity for referral."

#### REFERENCES

BAP CB Requirements Document - Sections 4.12, p36:

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 09 RECORD KEEPING

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that an enterprise keeps records that demonstrate conformity with the Chain of Custody requirements for a period that:

- exceeds the shelf life of the certified product; and
- exceeds the periodicity between audits

#### GUIDANCE

Certified entity must keep records documenting compliance with Chain of Custody standard requirements at a minimum time that is longer than a. the shelf life of the product and b. time between audits.

Examples of evidence for scheme alignment:

- Chain of Custody standard, guidance interpretation and audit checklist that specify document retention policy.

#### CONCLUSION

The GAA BAP Program is in alignment because the traceability section of each standard defines the traceability record-keeping requirements in detail. All records specified shall be retained for a period that exceeds both 12 months and the expected shelf life of the aquaculture products and part of the CB requirments that is reviewed by AB.

#### REFERENCES

Seafood Processing Standard Section 9. Traceability, page 38:
B.3.01 SeafoodProcessingStandard-Issue5.0-1-February-2019.pdf

BAP Finfish&Crustacean Farms Standard - Section 15 Traceability, p24:
A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 12. Traceability p21:
A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 10 MULTI-SITE CHAIN OF CUSTODY AUDIT

#### GSSI ESSENTIAL COMPONENT

Where a scheme allows for Chain of Custody certification of multiple sites managed under the control of a single entity, the Scheme Owner defines specific audit procedures that ensure all sites comply with the Chain of Custody certification requirements.

Control can include direct ownership, franchises, or where the entity has a signed agreement or contract with each site.

#### GUIDANCE

If the Scheme Owner does not allow Chain of Custody of multi-sites (prohibits not that it is not yet developed or exists)- requirement is “Not applicable”. Otherwise, the Scheme Owner defines audit procedure for multi-sites (under control of one entity) and requirements for internal control management system.

Examples of evidence for scheme alignment:

- Chain of Custody standard, guidance or checklist specifying procedure and internal control system.

#### CONCLUSION

The GAA BAP Program is in alignment because traceability is managed by the certified facilities in accordance with the traceability requirements detailed in the site specific standards (e.g. for farms and processing plants), which are the same for individual farm certification and for group farm certification. The difference being that in the Group certification a sub-sample of farms/sites is inspected in each audit rather than every individual farm/site. Processing plants that receive product from certified groups manage their traceability as per the requirements in the BAP Seafood Processing Standard.

#### REFERENCES

A.1.09 Farm and Hatchery Group Program Policy and Control Document Issue 1.0 - 13-December-2018 (1).docx

Desktop review
Farm Group document GAA Best Aquaculture Practices (BAP)
Farm Group Program
Issue 4, Rev September 2015.

BAP Group Management Supplemental Guide for Salmon Producers V1.0 Beta
BAP Salmon Group Surveillance Audit Guidance Document
Version 1.0 Rev 2, Jan-17
Global Aquaculture Alliance
Best Aquaculture Practices
SEAFOOD PROCESSING
PLANT STANDARDS
(Issue 4, Revision 2, December 2015)
Internal documents: audit reports

# B.3 *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

### B.3 11 MULTI-SITE CHAIN OF INTERNAL VERIFICATION

#### GSSI ESSENTIAL COMPONENT

Where the Scheme Owner allows for multi-site certification, they require that all sites are assessed as part of the internal audit during the period of validity of the certificate.

#### GUIDANCE

The Scheme Owner does not allow Chain of Custody of multi-site-requirement is “Not applicable”. Otherwise, the Chain of custody standard requires all sites are assessed as part of the internal audit during the validity period of the certificate.

Examples of evidence for scheme alignment:

- standard, guidance interpretation and audit checklist.

#### CONCLUSION

The GAA BAP Program is in alignment because traceability is managed by the certified facilities in accordance with the traceability requirements detailed in the site specific standards (e.g. for farms and processing plants), which are the same for individual farm certification and for group farm certification. The difference being that in the Group certification a sub-sample of farms/sites is inspected in each audit rather than every individual farm/site. Processing plants that receive product from certified groups manage their traceability as per the requirements in the BAP Seafood Processing Standard. The Farm Group Program requires at least annual audits 3.3 Internal Member Site Audits 3.3.1 There shall be an annual plan and schedule for internal audits of all member sites in the group.

#### REFERENCES

A.1.09 Farm and Hatchery Group Program Policy and Control Document Issue 1.0 - 13-December-2018 (1).docx

Desktop review
Farm Group document GAA Best Aquaculture Practices (BAP)
Farm Group Program
Issue 4, Rev September 2015. 3.3

BAP Group Management Supplemental Guide for Salmon Producers V1.0 Beta
BAP Salmon Group Surveillance Audit Guidance Document
Version 1.0 Rev 2, Jan-17
Global Aquaculture Alliance
Best Aquaculture Practices

# B

# EVIDENCE OF ALIGNMENT WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS** FOR OPERATIONAL MANAGEMENT OF SEAFOOD CERTIFICATION SCHEMES

# B.2 *Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### ▶ CERTIFICATION PROCESS

### B.2 05 01 ASSESSMENT METHODOLOGY

**GSSI SUPPLEMENTARY COMPONENT**

The Scheme Owner has a publicly available methodology for calculating minimum audit duration.

*Rationale: Provides a tool to avoid poor audit quality by ensuring a level of consistency in how audit duration is calculated.*

**GUIDANCE**

A methodology for calculating minimum audit duration is publicly available. Certification bodies implement this methodology.

Examples of evidence for scheme alignment:

- online methodology, audit schedules, audit reports defined in certification requirements/ methodologies.

**CONCLUSION**

The GAA BAP Program is in alignment because minimum audit durations are specified in the publicly available CB Requirements document ( Section 4.3). This Section states "Although audit duration will vary according to risk assessment, audit duration shall be at a MINIMUM, as follows: Seafood Processing Plants (Primary processors or secondary reprocessors/repackers) = 2 days, Feed Mills = 2 days, Stand Alone/medium to large Farms = 1 day, IOM/Small Farms = ½ day each, Hatcheries = ½ day. (Note: the minimum audit duration can be all on site, or a combination of remote document review and on site, as circumstances warrants. Where the facility does not send documents in advance, the ENTIRE duration shall be all on site)."
verified in FinFish and Salmon audit reports.

**REFERENCES**

CB Requirements Document - Section 4.3 p 30 Duration of evaluations

A.1.02 BAP CB Requirements Document - Issue 14.5.pdf

https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.5.pdf

Review of sample audit reports for Finfish & Crustacean Farms and Salmon Farms

# B.2 *Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 05 02 ASSESSMENT METHODOLOGY

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has defined requirements for sampling methodology and frequency that certification bodies are required to follow during the audit.

*Rationale: Provides guidance to certification bodies and auditors about what issues to focus on during the audit and how frequently to carry out audits.*

#### GUIDANCE

The Scheme Owner defines the requirements for certification bodies for sampling methodology and frequency of audits.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body.
- accreditation manual, certification requirements/ methodologies
- audit reports
- guidance specifying sampling methodology (including what issues to focus on) and sampling frequency, in order to support consistency between certification bodies.

#### CONCLUSION

The GAA BAP Program is in alignment because the sampling requirements and methodological details are specified in the standards and their accompanying implementation guidelines.
For example, in the Finfish and Crustacean Farms Standard in Section 5 (Effluent Management) the implementation guidelines explain how where and what to sample and the sampling frequencies are indicated in Appendix A.
Finfish&Crustacean and Salmon audit reports were reviewed to verify that defined requirements for sampling methodology and frequency are implemented.

In alignment for finfish and Salmon in review of audit report that defined requirements for sampling methodology and frequency are implemented.

#### REFERENCES

A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Review of sample Finfish&Crustacean and Salmon audit reports across CBs and geographies.

# B.2 *Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 09 01 STAKEHOLDER INPUT

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner requires that the certification body solicits stakeholder input during the audit process.

*Rationale: Proactive soliciting of stakeholder input encourages and increases scrutiny and transparency in the certification process, adding to the overall credibility.*

#### GUIDANCE

The Scheme Owner defines this requirement for certification bodies to solicit input from all stakeholders during the certification process.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirement for mechanism for stakeholder input during certification process,
- guidance specifying procedures,
- review certification body process for input: publically available information for stakeholder input, public announcements, audit work plans, requests for input,
- audit reports with documented stakeholder input.

#### CONCLUSION

The GAA BAP Program is in alignment because requirements for stakeholder consultation are detailed in the BAP standards. The implementation guidelines for Section 2.0 (Community Relations) in the Finfish&Crustacean Farms Standard and the Salmon Farms Standard specify: "During facility inspection, the auditor shall verify compliance with this standard through examination of maps that define public and private zones; inspection of fences, canals and other barriers; and interviews with local people and farm workers. The auditor shall select the individuals for interview." The process of auditing to BAP standards also represents a consistent procedure for direct stakeholders (employees, facility owners, managers and technicians) to provide input throughout the entire audit process. Implementation was veried by reviewing audit reports (Finfish and Crustacean Farms standard and Salmon Farms standard) during the office audit.

#### REFERENCES

Finfish and Crustacean Farms standard - Section 2. Community Relations, p5:
A.1.07 Finfish and Crustacean Farms – Issue 2.4 – 23-May-2017.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20–%20Issue%202.4%20–%2023-May-2017.pdf

Salmon Farms standard - Section 2. Community Relations (Issue 2, Revision 3 October 2016, page 3):
A.1.07 Salmon Farms - Issue 2.3 - 13-October-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%2013-October-2016.pdf

Mollusk Farm Std - Section 2. Community Relations, p4
C.1.01 BAP Standard - Mollusk Farms - Issue 1.0 - 01-May-2016.pdf
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Mollusk%20Farms%20-%20Issue%201.0%20-%2001-May-2016.pdf

Review of 11 audit reports across CB's / countries / scope for Finfish

# B.2 *Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 09 02 STAKEHOLDER INPUT

#### GSSI SUPPLEMENTARY COMPONENT

For fisheries, the Scheme Owner requires certification bodies to make publicly available for comment a draft of the full audit report prior to the certification decision (excluding commercially sensitive information), with sufficient time for interested parties to submit comments. The Scheme Owner requires certification bodies to respond to all comments received.

*Rationale: Strengthens audit reports by inviting stakeholder input before they are finalized. Supports accountability by requiring certification bodies to respond to comments.*

#### GUIDANCE

Applicable only to fisheries. For Aquaculture "Not Applicable". The Scheme Owner defines this requirement for certification bodies to solicit input before a certification decision is made and to respond to all comments. Format and "sufficient" time should be defined that takes into consideration the risk, scope, size and type of stakeholders.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirement
- guidance specifying procedures for determining channel and time
- review certification body process for input: publically available information for stakeholder input, public announcements, audit work plans, requests for input,
- audit reports with documented stakeholder input,
- system for tracking comments and responses.

#### CONCLUSION

This Component is not applicable to Scheme GAA as this is Not applicable for Aquaculture.

#### REFERENCES

N/A

# C

# EVIDENCE OF ALIGNMENT WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS** FOR AQUACULTURE CERTIFICATION STANDARDS

## **FINFISH AND CRUSTACEAN FARMS**

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 01 ANTIMICROBIAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires that the decision to treat with antimicrobials is made according to the guidance of the OIE Aquatic Animal Health Code (i.e., by the aquatic animal health professional or other relevant competent authority and in response to a diagnosed disease; see Article 6.2.7 of the 2015 Aquatic Animal Health Code).

#### GUIDANCE

The standard is expected to prohibit prophylactic usage for growth promotion and require that all antimicrobials are used in response to a diagnosed disease (i.e., by the aquatic animal health professional or other relevant competent authority) and the audit is expected to include a review of suitable evidence (e.g., records of disease testing etc. prescriptions for treatments).

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 15.2: If used, drug treatments shall be based on recommendations and authorizations overseen by a fish health specialist only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.

BAP 15.10: Antibiotics, antimicrobials or hormones shall not be used as growth promoters.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 15.2 and 15.10
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 02 ANTIMICROBIAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires that the application of antimicrobial agents is consistent with the guidelines outlined in Principles for Responsible and Prudent Use of Antimicrobial Agents in Aquatic Animals of the OIE Aquatic Animal Health Code (Articles 6.2.7 and 6.2.8 of the 2015 Code).

#### GUIDANCE

The audit is expected to include a review of evidence (such as written records or through interviews) to ensure consistency with OIE guidelines (2015) Article 6.2.7 “The veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines should indicate precisely to the aquatic animal producer the treatment regime, including the dose, the treatment intervals, the duration of the treatment, the withdrawal period and the amount of antimicrobial agents to be delivered, depending on the dosage and the number of aquatic animals to be treated. The use of antimicrobial agents extra-label/off-label may be permitted in appropriate circumstances in conformity with the relevant legislation” and Article 6.2.8 “Aquatic animal producers should use antimicrobial agents only on the prescription of a veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines, and follow directions on the dosage, method of application, and withdrawal period.”

RELATED SUPPLEMENTARY COMPONENTS

C.1 02 01 C.1 02 02

#### CONCLUSION

The BAP scheme is in alignment because audits cover all relevant principles in the OIE Aquatic Animal Health Code as detailed in the OIE Code, Article 6.2.8 Responsibilities of aquatic animal producers OIE 6.2.8: Aquatic animal producers should implement health programmes on their farms in order to promote aquatic animal health and food safety. This can be done through adequate planning of culture strategies to maintain aquatic animal health through biosecurity programmes, husbandry, nutrition, vaccination, maintenance of good water quality, etc.
Section 14 of the BAP standard addresses animal welfare: "Producers shall demonstrate that all operations on farms are designed and operated with animal welfare in mind, and maximum survival shall be sought. Employees shall be trained to provide appropriate levels of husbandry."
BAP 14.1: The applicant’s facility shall apply a maximum biomass limit based on performance measures for aquatic animal health and survival records, and any applicable national regulations.
BAP Section 17 address biosecurity: "Biosecurity controls shall be in place to prevent the introduction and/or spread of disease agents and disease on the farm. These include regular disease surveillance, sanitation of equipment and personnel, quarantine of diseased animals and controlled movement of personnel and equipment. Farm staff and visitors shall be trained in and apply biosecurity measures."
17.1: The applicant shall have in place biosecurity controls that seek to prevent the introduction and spread of disease agents and disease on the farm, including the sanitization of equipment and personnel when disease is suspected or confirmed at the farm site, and these shall be detailed in a biosecurity plan as described in the Implementation guidelines above.
17.2: Farm staff shall be trained in biosecurity procedures and shall, along with all visitors, comply with them.
BAP Section 6 addresses water quality control: "Aquaculture facilities with cages or net pens shall monitor water quality to confirm compliance with BAP water quality criteria."
6.1: The water quality of the water body, including its discharge point if applicable, shall meet the BAP effluent water quality criteria, with sampling conducted following the implementation guidelines above.
BAP Section 7 addresses the environment:
7.3: For newly established farms or farms that have expanded and do not yet have enough monitoring data, the applicant shall provide an independent study that characterizes the hydrographic and benthic characteristics of the area and provides a consultant’s opinion (without liability) that the farm can meet or exceed sediment and water quality criteria if operated correctly.
OIE 6.2.8: Aquatic animal producers should use antimicrobial agents only on the prescription of a veterinarian or other aquatic animal health professional authorised to prescribe veterinary medicines, and follow directions on the dosage, method of application, and withdrawal period.
BAP 15.2: If used, drug treatments shall be based on recommendations and authorizations overseen by a fish health specialist only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.
OIE 6.2.8 Aquatic animal producers should ensure that antimicrobial agents are properly stored, handled, and disposed.
BAP Section 13 addresses chemical storage:
13.1: Fuel, lubricants, feed and agricultural chemicals shall be labeled, stored, used and disposed of in a safe and responsible manner.
13.2: Fuel, lubricants and agricultural chemicals shall not be stored near feed, in employee housing or kitchen areas, or near harvest equipment and supplies.
13.3: Fuel, lubricant and chemical storage areas shall be marked with warning signs.
OIE 6.2.8 Aquatic animal producers should keep adequate records of antimicrobial agents used, bacteriological and susceptibility tests, and make such records available to the veterinarian or other aquatic animal health professional. Aquatic animal producers should inform the veterinarian or other aquatic animal health professional of recurrent disease problems and lack of efficacy of antimicrobial agent treatment regimes
BAP 15.3: Records shall be maintained for every application of drugs and other chemicals that include the date, compound used, reason(s) for use, dose and harvest date for treated production lots. See the Traceability requirement. Periodic verification testing of the effectiveness of the withdrawal period shall be conducted.

#### REFERENCES

C.1.02 OIE Aquatic Animal Health Code, Article 6.2.8.
BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 14, Clause 14.1; Section 17, Clauses 17.1, 17.2; and Section 6, Clause 6.1, and Section 7, Clause 7.3 Clause 15.2, Section 13, Clauses 13.1, 13.2, 13.3; and Clause 15.3.

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 03 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that workers employed in husbandry activities have been adequately trained and are aware of their responsibilities in aquatic animal health management practices.

#### GUIDANCE

The audit is expected include a review of evidence that relevant workers have been appropriately trained and aware of their responsibilities. Examples of suitable evidence could include suitable training or appropriate qualifications, and interviews with staff. The training of workers may be a component in a broader management system e.g., a health management plan.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes sections on disease control (Section 17), animal health (Section 14) and food safety (Section 16). It also includes the following clauses:

BAP 17.2: Farm staff shall be trained in biosecurity procedures and shall, along with all visitors, comply with them.
Section 14 states that "Employees shall be trained to provide appropriate levels of husbandry.

BAP 16.10: Workers shall be trained in good hygienic practices to ensure they are aware of their roles and responsibilities for protecting aquaculture products from food safety risks such as contamination and deterioration.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 17, Clause 17.2; Section 14; Section 16, Clause 16.10.

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 04 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that aquatic animals are kept under farming conditions suitable for the species being raised.

#### GUIDANCE

The objective of this requirement is to verify that the species is being farmed in the proper environment to maintain its health. Due to the very broad nature of this Essential Component, specific guidance cannot be provided. Expected evidence could include requirements for farm siting (including permitting for the farm site and species), aquatic health plan maintenance, assurance or monitoring aquatic animal health, on-farm water quality and temperature monitoring, etc.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 contains sections (Sections 5 and 6) that address water quality for ponds and cage farms. Water quality criteria, including dissolved oxygen levels, are provided in Appendix A for ponds and for cages minimum oxygen levels are set in BAP 6.4: Water quality-monitoring records shall be applied in the management of feeding rates when dissolved oxygen levels are consistently below 5 mg/L in the early morning.

Section 14 covers this from the animal health and welfare perspective: "Farms shall provide well-designed facilities for holding and rearing crustaceans and fish with adequate space and shade. The temperature and chemical composition of culture water should be appropriately maintained, and changes in water quality should be made slowly so the species being cultivated can adjust to the changes. Adequate levels of dissolved oxygen shall be maintained."
BAP 14.4: Facility staff shall make regular inspections of the culture facility, water quality, and behavior and condition of crustaceans or fish.

BAP 14.8: Health management procedures shall be defined in a health management plan or operating manual that includes procedures to avoid the introduction of diseases, protocols for water quality management, health monitoring and disease diagnosis techniques.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 5; Section 6, Clause 6.4; Section 14, Clauses 14.4 and 14.8.

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 05 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures to respond to disease outbreaks, which includes the ability to quarantine the aquatic animal where feasible.

#### GUIDANCE

It is expected that disease response procedures would be a component of the aquatic animal health management system. Feasibility of quarantine depends on a combination of species, culture system and production environment. In cases where quarantine is applicable, a review of suitable evidence is expected to demonstrate and verify the ability to contain diseased aquatic animals.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 contains the following clauses:

BAP 14.4: Facility staff shall make regular inspections of the culture facility, water quality, and behavior and condition of crustaceans or fish.
BAP 14.5: Disease outbreaks shall be managed through rapid diagnosis and treatment, and when necessary, humane slaughter.
BAP 14.8: Health management procedures shall be defined in a health management plan or operating manual that includes procedures to avoid the introduction of diseases, protocols for water quality management, health monitoring and disease diagnosis techniques.
In addition, Section 17 covers biosecurity and includes quarantine procedures.
BAP 17.1: The applicant shall have in place biosecurity controls that seek to prevent the introduction and spread of disease agents and disease on the farm, including the sanitization of equipment and personnel when disease is suspected or confirmed at the farm site, and these shall be detailed in a biosecurity plan as described in the Implementation guidelines above.
The implementation Guidelines specify the requirements for a detailed, written biosecurity plan that "establishes quarantine protocols for diseased animals, where possible."

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 14, Clauses 14.4, 14.5, and 14.8; Section 17, Clause 17.1.

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 06 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems for the early detection of aquatic animal health issues, which include routine monitoring of stocks and the environment.

#### GUIDANCE

Appropriate procedures are expected to include general health/behavioral inspections or testing for specific diseases with suitable monitoring (e.g., regular and including a suitable range of parameters, and of sufficient sample size to identify or anticipate disease outbreaks expediently, as well as increased surveillance when potential issues are identified.) Environmental monitoring is expected to include detection of unfavorable environmental quality factors that could adversely affect the health of the aquatic animal (e.g., water temperature and quality).

Verification is expected and could include reviews of written records and monitoring results to ensure procedures and/or systems are operational is also expected. This could also be captured in an aquatic health management plan.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP Section 14 covers animal health and welfare: "Farm staff shall regularly inspect the culture facility, noting water quality as well as the appearance (e.g., fin condition) and behavior (e.g., loss of appetite) of the animals in their charge."

BAP 14.8: Health management procedures shall be defined in a health management plan or operating manual that includes procedures to avoid the introduction of diseases, protocols for water quality management, health monitoring and disease diagnosis techniques.

BAP 14.4: Facility staff shall make regular inspections of the culture facility, water quality, and behavior and condition of crustaceans or fish.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 14, Clauses 14.4 and 14.8
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 07 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that mortalities and moribund aquatic animals are routinely collected, where collection is a feasible practice.

#### GUIDANCE

GSSI expects this Essential Component to be applied where collection is a feasible function of good management practice (e.g., finfish grow out). Examples where this is not suitable could include where aquatic animals may be too small to effectively collect (e.g., shrimp farming). Record keeping on the numbers of, and reason for, mortalities is expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following statements (BAP Section 14): "Accessible, dead animals shall be removed from ponds or cages at least daily and disposed of properly." "Farm staff shall regularly inspect the culture facility, noting water quality as well as the appearance (e.g. fin condition) and behavior (e.g. loss of appetite) of the animals in their charge." Additionally, the standard includes the following clause:

BAP 17.3: A plan for prompt and responsible disposal of excessive mortalities of culture animals by incineration, burial, composting or removal by a competent contractor shall be available for inspection and applied.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 14, Clause 17.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 08 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility has operational fish health management practices, specifically favoring effective biosecurity and available vaccines, including introductions and transfers of farmed animals where relevant, which is overseen by an aquatic animal health professional.

#### GUIDANCE

It is expected that the standard will contain sufficient elements and/or audit of culture practices for an operational program relative to the scale, species, and production systems covered by the standard's scope, including a focus on disease prevention (e.g. the use of vaccines). The content of the measures are expected to be overseen (but not necessarily full time employment) of an aquatic animal health professional.

RELATED SUPPLEMENTARY COMPONENTS

C.1 08 01 C.1 08 02 C.1 08 03 C.1 08 04 C.1 08 05 C.1 08 06 C.1 08 07 C.1 08 08

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 requires a written, detailed biosecurity plan with a focus on preventative controls. This plan must link to the Health Management Plan (BAP Section 14). The standard also contains the following clause:

BAP 17.1: The applicant shall have in place biosecurity controls that seek to prevent the introduction and spread of disease agents and disease on the farm, including the sanitization of equipment and personnel when disease is suspected or confirmed at the farm site, and these shall be detailed in a biosecurity plan as described in the Implementation guidelines:
• Identifies the likely disease risks for the culture species within its culture region.
• Links the biosecurity plan to the overall farm animal health and welfare plan.
• Requires routine disease surveillance and characterization of the health status of the farm.
• Identifies critical control points such as movement of animals and equipment, and farm access by visitors.
• Establishes active control measures to reduce the risk of introduction and/or spread of disease agents past these control points.
• Establishes hygiene and sanitization protocols and standards for equipment and personnel.
• Establishes quarantine protocols for diseased animals, where possible.
• Prevents the movement of personnel and equipment from diseased areas both within the applicant farm and from neighboring farms.
• Establishes protocols that allow the tracking of animal and equipment movements.
• Establishes a visitor and delivery log.
• Establishes a method of tracking actions taken to reduce the risk of disease and/or control disease if it occurs.
Furthermore, requirements for a health management plan are covered by the following clause:
BAP 14.8: Health management procedures shall be defined in a health management plan or operating manual, reviewed and approved by a fish health specialist, that includes procedures to avoid the introduction of diseases, protocols for water quality management, health monitoring and disease diagnosis techniques.

#### REFERENCES

BBAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 14, Clauses 17.1 and 14.8.
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 09 OFF-FARM DISEASE TRANSMISSION

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish and implement procedures for the disposal of mortalities using appropriate methods that prevent the spread of disease.

#### GUIDANCE

Given the nature of this requirement, the standard may appear as a general requirement; however verification that practices are employed is expected. Relevant examples can be found in Articles 4.7.7 and 4.7.8 of the Aquatic Animal Health Code 2015 (see *www.oie.int/index.php?id=171&L=0&htmfile=chapitre_aquatic_animal_waste.htm).*

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 17.3: A plan for prompt and responsible disposal of excessive mortalities of culture animals by incineration, burial, composting or removal by a competent contractor shall be available for inspection and applied.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 17.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 10 OFF-FARM DISEASE TRANSMISSION

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems to reduce the likelihood of disease and parasite transmission within and between the aquaculture facility and natural aquatic fauna.

#### GUIDANCE

Appropriate procedures or systems are expected to address both on farm disease and parasite transfer (such as the ability to quarantine diseased stocks, separating equipment) as well as between the facility and natural fauna (such as disinfection of effluents for diseased stocks, fallowing). The approach taken would be expected to be relevant to the species, production system, scale of production, and legal requirements. Can be “not applicable” with suitable justification provided by the scheme.

Where pathogens or parasites are a known concern (for example, sea lice on farmed salmon); Appropriate procedures or systems are expected to include specific requirements or actions defined in the standard or specified by the aquaculture facility through a suitable risk assessment or other evidence such as local or national regulations. Appropriate management measures in these cases could include treatment trigger levels of parasite numbers on the farm-facility or siting requirements that require that the aquaculture facility is located at suitable distances from wild populations.

Verification that the management measures are suitable and employed is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.1 10 01

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 covers the requirements for the biosecurity plan in BAP Section 17, which addresses the spread of disease within and beyond the farm and, specifically:

• Identifies the likely disease risks for the culture species within its culture region.
• Links the biosecurity plan to the overall farm animal health and welfare plan.
• Requires routine disease surveillance and characterization of the health status of the farm.
• Identifies critical control points such as movement of animals and equipment, and farm access by visitors.
• Establishes active control measures to reduce the risk of introduction and/or spread of disease agents past these control points.
• Establishes hygiene and sanitization protocols and standards for equipment and personnel.
• Establishes quarantine protocols for diseased animals, where possible.
• Prevents the movement of personnel and equipment from diseased areas both within the applicant farm and from neighboring farms.
• Establishes protocols that allow the tracking of animal and equipment movements.
• Establishes a visitor and delivery log.
• Establishes a method of tracking actions taken to reduce the risk of disease and/or control disease if it occurs."

The BAP standard also includes the following clauses that require coordinated fallowing with neighbours:
BAP 7.8: Production cycles and fallowing shall be coordinated with other neighboring BAP applicants or BAPcertified farms, or with members of an established Area Management Agreement.
BAP 7.9: Where an AMA has not been established, applicants shall nevertheless demonstrate cooperation on matters of stocking, fallowing, animal health and biosecurity with BAP-certified farms within an area twice the regulatory minimum separation distance to an upper limit of a 5-km radius.
Furthermore, BAP Section 14 specifies "Good health management focuses on the prevention of disease rather than disease treatment with chemical compounds. The best ways of controlling disease are to avoid stocking diseased fish, adopt fallowing and 'all in, all out' stocking procedures at cage and net pen sites, and avoid environmental stress by maintaining good water quality in culture systems. In pond culture, limiting water exchange lessens the risk of disease spreading from one farm to another."

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 17, Clauses 7.8 and 7.9, Section 14

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 11 RECORD KEEPING

**GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility maintain records on veterinary drug and chemical usage and the rationale for their use.

**GUIDANCE**

Verification that suitable records are maintained is expected. Suitable records are expected to include type, concentration, and dosage, method of administration and withdrawal times of chemicals and veterinary drugs and the rationale for their use.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 15.3: Records shall be maintained for every application of drugs and other chemicals that include the date, compound used, reason(s) for use, dose and harvest date for treated production lots. See the Traceability requirement. Periodic verification testing of the effectiveness of the withdrawal period shall be conducted.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 15.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.2 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 01 CHEMICAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate system for the application of chemicals and veterinary drugs.

#### GUIDANCE

An appropriate system could conform to the relevant sections of Article 6.2.7 and 6.2.8 of the Aquatic Animal Health Code (2015) *(www.oie.int/index.php?id=171&L=0&htmfile=chapitre_antibio_resp_prudent_use.htm)* or other suitable reference. The system is expected to ensure that the application of the product follows the instructions of the manufacturer or other competent authority. Verification that the system is operational is also expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 15.2: If used, drug treatments shall be based on recommendations and authorizations overseen by a fish health specialist only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.

BAP 15.3: Records shall be maintained for every application of drugs and other chemicals that include the date, compound used, reason(s) for use, dose and harvest date for treated production lots. See the Traceability requirement. Periodic verification testing of the effectiveness of the withdrawal period shall be conducted.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 15.2 and 15.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pd

# C.2 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 02 CHEMICAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires appropriate controls for all chemicals, incl. veterinary drugs, that enter the environment (whether already covered by GSSI Essential Components or not) in order to minimize adverse impacts on environmental quality.

#### GUIDANCE

It is expected that the standard will require all chemicals used by the aquaculture facility and that will enter the environment are at least used according to the manufacturer's guidance (such as on label requirements or Safety Data Sheets (SDS) or, in the case of veterinary drugs, the guidance of the aquatic animal health professional.

In addition, for chemicals that pose a high risk of adverse impacts to environmental quality -- these could be specifically defined by the standard (e.g., copper-based anti-foulant treatments in marine cage aquaculture) or identified through a risk based self-assessment by the farmer (e.g., an environmental risk assessment)-- it is expected that the standard or the risk-assessment will define any necessary additional requirements to minimize the impacts (e.g., EQS limits for copper residues in the benthic environment).

RELATED SUPPLEMENTARY COMPONENTS

C.2 02 01 C.2 02 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 because Section 13 covers the disposal of farm wastes and controls contamination risks, specifying that: "Chemicals such as insecticides, herbicides, algicides, sodium metabisulfite used in shrimp, and detergents shall be stored in locked, well-ventilated water-tight buildings. The buildings' concrete floors should slope to a center basin for containing spills. Warning signs shall be posted."

The following clauses also apply:

BAP 13.1: Fuel, lubricants, feed and agricultural chemicals shall be labeled, stored, used and disposed of in a safe and responsible
manner.
BAP 13.10: Secondary fuel containment shall conform to BAP guidelines for fuel storage.
Section 15 specifies that: "Cage farms making use of antifoulants shall obtain all necessary authorizations for their use."
BAP 15.4: Any use of antifouling agents must involve recognized applications of approved materials in a manner that can be monitored for potential contamination of the aquacultured animals.
BAP 19.3 (shrimp specific standard): Sulfite solutions shall be deactivated or neutralized, for example by 48-hour retention, prior to release into natural water bodies.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 13, Clauses 13.1 and 13.10; Section 15, Clause 15.4; Clause 19.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.2 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 03 LEGAL COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility operates in compliance with relevant national and local laws with regard to the application of chemicals and veterinary drugs.

**GUIDANCE**

Verification is expected to include a review evidence to support compliance with relevant laws.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 15.2: If used, drug treatments shall be based on recommendations and authorizations overseen by a fish health specialist only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.
BAP 15.6: Antibiotics or chemicals that are proactively prohibited in the producing or importing country shall not be used in feeds, pond additives or any other treatment.

BAP Section 1 covers Regulatory Compliance and requires "adherence to veterinary and animal health regulations." BAP Section 15 specifies "During inspections, auditors shall have access to full records as described above for all applications of drugs, antibiotics and hormones. A sample Traceability Form for use at the pond, tank or cage level is provided in Appendix F."

BAP 15.9: Feed, nutritional supplements or pond additives used, manufactured or prepared on the farm shall include procedures to ensure these substances do not contain unsafe levels of contaminants and contain only substances permitted by the appropriate national authorities.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Sections 1 and 15, Clauses 15.2 and 15.6
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.3 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 01 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility and its daily operations ensure that good culture and hygienic conditions are maintained.

#### GUIDANCE

This is a general Essential Component that covers a range of potential issues depending on the type of production system, species being cultured, and the local environment, and as such there is a need for flexibility in how consistency is achieved. It is expected that the following issues would be addressed and the systems verified to be operational:

- Appropriate storage of chemicals and fuel (e.g., stored in a lockable, labeled facility, limited access by personnel, leakage prevention - all based on Safety Data Sheets (SDS) (see figure 4.14 of the A Guide to The Globally Harmonized System of Classification and Labeling of Chemicals (GHS), available at: *www.osha.gov/dsg/hazcom/ghsguideoct05.pdf)*
- Appropriate storage of feed (e.g., stored separately from sources of contamination, accurately labeled, keeping medicated and non-medicated feed separated.)
- Appropriate pest control (e.g., prevent contamination of feed, chemicals by rodents or insects etc.)
- Domestic sewage control/disposal to avoid local contamination
- General farm waste (e.g., empty feed bags, household rubbish, food containers etc.).

RELATED SUPPLEMENTARY COMPONENTS

C.3 01 01 C.3 01 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 13 states that: "Feed shall be properly stored off the floor and away from walls, and protected from moisture, pests and other contaminants." Section 13 also contains the following clause:

BAP 13.1: Fuel, lubricants, feed and agricultural chemicals shall be labeled, stored, used and disposed of in a safe and responsible manner.
BAP Section 13 also covers the storage of chemicals and states: "Chemicals such as insecticides, herbicides, algicides, sodium metabisulfite used in shrimp, and detergents shall be stored in locked, well-ventilated water-tight buildings." "Fuel, lubricants and agricultural chemicals shall be labeled and safely stored. Used chemicals shall be disposed of in a responsible manner." Section 13 also contains the following relevant clauses:
BAP 13.1: Fuel, lubricants, feed and agricultural chemicals shall be labeled, stored, used and disposed of in a safe and responsible manner.
BAP 13.2: Fuel, lubricants and agricultural chemicals shall not be stored near feed, in employee housing or kitchen areas, or near harvest equipment and supplies.
BAP 13.3: Fuel, lubricant and chemical storage areas shall be marked with warning signs.
BAP 13.4: Precautions shall be taken to prevent spills, fires and explosions, and procedures and supplies shall be readily available to manage chemical and fuel spills or leaks. Designated staff shall be trained to manage such spills and leaks.
BAP Section 13 states: "Trash, garbage and other farm waste, including discarded farm machinery and equipment, shall not be dumped in mangrove areas, wetlands or vacant land, or allowed to accumulate on farm property. Such waste shall be disposed of responsibly."
BAP 13.6: Garbage and other solid waste, including fouling organisms, shall be disposed of to comply with local regulations and avoid environmental contamination and odor problems (e.g., recycling, burning, composting or placing in a legal landfill).
BAP Section 16 covers domestic sewage.
BAP 16.1: Domestic sewage shall be treated and properly disposed of to avoid contamination of surrounding areas (e.g., sewer system, septic system, portable toilet or outhouse).

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 13, Clauses 13.1, 13.2, 13.3, 13.4, 13.6; Section 16, Clause 16.1
Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.3 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 02 GENERAL ENVIRONMENTAL MANAGEMENT

#### GSSI ESSENTIAL COMPONENT

The standard requires that aquaculture facility infrastructure is appropriately maintained in order to prevent pollution, whether from construction, operation or decommissioning (e.g., including the following requirement:

- A requirement for derelict or damaged gear to be collected and disposed of responsibly.)

#### GUIDANCE

Given the wide variety of production systems in aquaculture specific guidance cannot be provided and flexibility by the evaluator is required using a risk-based approach. Examples could include the requirement for derelict or damaged gear in shellfish or cage aquaculture to be collected and disposed of responsibly, or for that waste from pond construction is not placed in mangrove forests in shrimp farming. It is expected that specific requirements or risk-based management systems would be required where appropriate, along with suitable verification. These requirements may also be included in other Standards, such as sensitive habitat protection or escape prevention.

RELATED SUPPLEMENTARY COMPONENTS

C.3 02 01 C.3 02 02

#### CONCLUSION

The BAP scheme is in alignment because major sections of the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 are aimed at controlling pollution:

Section 4. Environment: Mangrove and Wetland Conservation Ponds and other land-based systems only
Section 5. Environment: Effluent Management
Section 6. Environment: Water Quality Control
Section 7. Environment: Sediment Control
Section 8. Environment: Soil and Water Conservation, Pond Sludge Management
In addition, BAP Section 13 states: "Trash, garbage and other farm waste, including discarded farm machinery and equipment, shall not be dumped in mangrove areas, wetlands or vacant land, or allowed to accumulate on farm property. Such waste shall be disposed of responsibly."
BAP 13.6: Garbage and other solid waste, including fouling organisms, shall be disposed of to comply with local regulations and avoid environmental contamination and odor problems (e.g., recycling, burning, composting or placing in a legal landfill).

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Sections 4, 5, 6, 7, 8 and 13, Clause 13.6
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 01 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacturer that can trace fish meal and fish oil (>1% inclusion) to the species and, at least, to the country of origin.

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 9.6: The applicant shall obtain feed from a BAP-certified feed mill or a feed mill that declares and documents compliance with standards 3.1 and 3.3 of the BAP feed mill standards.

The referenced BAP Feed Mill Standards are:

FM 3.1: The applicant shall obtain declarations from suppliers on the species and fishery origins of each batch of fishmeal and fish oil.
FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 9.6
C.4.01 BAP Feed Mills Standard, Clauses 3.1 and 3.2

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdfay-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 02 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacture that prohibits fishmeal and fish oil from endangered species.

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

Endangered species are expected to be defined in the Standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See *www.iucnredlist.org* and *www.cities.org* for more information.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following statement in Section 9:

"To promote the responsible sourcing of marine ingredients, the applicant shall obtain feed from a BAP-certified feed mill or a feed mill that declares and documents compliance with BAP feed mill standards 3.1 and 3.3. These standards address sourcing policies on marine ingredients, covering traceability for species and origin, and the exclusion of any species designated on the IUCN Redlist as endangered or critically endangered."

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 9
C.4.01 BAP Feed Mills Standard, Clauses 3.1 and 3.3

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 03 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacture that prohibits the use of fishmeal and fish oil from illegal, unreported, and unregulated fishing (I.U.U.).

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 because BAP 9.6 requires compliance with BAP Feed Mill Standard, FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil from responsibly managed fisheries. The plans of action must address how to avoid:

• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as “subject to overfishing,” “overfished,” “harvested unsustainably,” “fishery closed,” “stock overexploited,” “no fishing recommended,” “stock critical,” “endangered” or “critically endangered.”
• Any products of the same genus as the species for which the feed is intended.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 9.6
C.4.01 BAP Feed Mills Standard, Clause 3.3

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility sources feed from a manufacturer that has a written policy which includes assessment of source fishery status and identification of improvement needs and work plan to deliver improvements.
The policy must include a commitment and timeline to source aquaculture and fishery products from responsible/best practice sources, such as those certified a standard benchmarked at minimum consistent with relevant FAO's ecolabelling guidelines or by identified independent risk assessment.

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).
The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

RELATED SUPPLEMENTARY COMPONENTS

C.4 04 01 C.4 04 02 C.4 04 03 C.4 04 04 C.4 04 05 C.4 04 06 C.4 04 07

#### CONCLUSION

The BAP scheme is in alignment because BAP 9.6 requires compliance with BAP Feed Mill Standard, FM 3.3: This standard requires development of a plan to avoid unsustainable sources and transition to certified sources as they become available. BAP 9.6 Facilities shall create and implement clear, written plans of action that define policies for sourcing all fishmeal and fish oil from responsibly managed fisheries. The plans of action must address how to avoid:

• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as "subject to overfishing," "overfished," "harvested unsustainably," "fishery closed," "stock overexploited," "no fishing recommended," "stock critical," "endangered" or "critically endangered."
• Any products of the same genus as the species for which the feed is intended.
Aquafeed producers shall actively favor marine oils and proteins derived from fisheries that are classified by reputable international third parties such as the FAO and ICES as sustainably fished, fully fished or underexploited. One example of an appropriate tool for developing a responsible sourcing plan is the FishSource data bank created by the Sustainable Fisheries Partnership (http://www.fishsource.com).

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 9.6
C.4.01 BAP Feed Mills Standard, Clause 3.3

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 05 FEED BIOSECURITY

**GSSI ESSENTIAL COMPONENT**

The standard prohibits the use of whole fish as a direct feed source in grow-out.

**GUIDANCE**

Verification is expected to include a suitable review of evidence, such as feed use records, visual observation, and financial records in aquaculture industries where this is common practice.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 16.4: Uncooked organisms and their by-products shall not be used as feed in grow-out ponds.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 16.4
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 06 FEED BIOSECURITY

**GSSI ESSENTIAL COMPONENT**

The standards prohibit aquatic feed protein from the same species and genus as the species being farmed.

**GUIDANCE**

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, clause BAP 9.6 requires compliance with BAP Feed Mill Standard, FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil from responsibly managed fisheries. The plans of action must address how to avoid:

• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as “subject to overfishing,” “overfished,” “harvested unsustainably,” “fishery closed,” “stock overexploited,” “no fishing recommended,” “stock critical,” “endangered” or “critically endangered.”
• Any products of the same genus as the species for which the feed is intended.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 9.6, C.4.01 BAP Feed Mills Standard, Clause 3.3.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 07 FEEDING EFFICIENCY

#### GSSI ESSENTIAL COMPONENT

Where applicable, the standard requires that the aquaculture facility has suitable measures in place to ensure that feed is used efficiently at the individual production unit level.

#### GUIDANCE

Suitable measures are expected to be part of a wider feed management system, such as the use of feed trays, cameras, pellet sensors, documented records of visual feed response, staff training. Verification that the measures are operational and fit for purpose is also expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish and CrustaceanFarm Standard - Issue 2 - September 2014 states in Section 14 that: "Feed appropriate for the culture species should be offered at regular intervals."

BAP 14.2: Feeding shall be managed to avoid stress caused by under- or overfeeding.

BAP Section 9 states: "certified farms should maintain or lower feed conversion in the years following their initial certification."

BAP 18.6: The facility shall maintain complete and accurate records of the sources and numbers of postlarvae or fingerlings stocked, stocking dates and all feeds used for each culture unit.

BAP 9.3: The facility shall calculate and record a yearly feed-conversion ratio for completed crops.

BAP Section 6 states "For waters less than 30 m deep, a diver should periodically go beneath cages to determine if uneaten feed is accumulating on the bottom."

BAP Section 5 states "Production Practices for Ponds - Compliance with the effluent management standard usually requires farms to improve their production practices in some areas. These areas can include practices for erosion control, feed management."

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 14, Clause 14.2; Section 9, Clause 9.3; Clause 18.6; Section 6; Section 5

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 08 LEGAL COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The standard requires that feed, feed additives, feed ingredients, and fertilizers used are compliant with relevant national and local laws

**GUIDANCE**

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 15 states: "Any use of approved food additives must involve monitoring the amount and method of application to prevent illegal residues in the edible portion of the products and assure product labeling to designate prior usage."

In addition, the BAP standard includes the following clauses:

BAP 15.5: Any use of food additives shall involve approved materials and be monitored for time and method of application.
BAP 15.6: Antibiotics or chemicals that are proactively prohibited in the producing or importing country shall not be used in feeds, pond additives or any other treatment.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 15, Clauses 15.5 and 15.6

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 09 RECORD KEEPING

**GSSI ESSENTIAL COMPONENT**

The standard requires that appropriate records are kept on all feed use.

**GUIDANCE**

Appropriate records are expected to include feed source, feed Batch/Lot/ID number, date of purchase, feed conversion ratio (FCR), and, where appropriate, feed inclusion percentages of fishmeal and fish oil or a fish in: fish out ratio. Appropriate records are expected to be kept for each individual production unit. Verification of appropriate record keeping and suitable documentation from feed manufacturers is also expected.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 18.5: Complete and accurate records regarding manufacturer and lot numbers for each feed used shall be maintained.

BAP 18.6: The facility shall maintain complete and accurate records of the sources and numbers of postlarvae or fingerlings stocked, stocking dates and all feeds used for each culture unit.

BAP 9.2: The facility shall record the characteristics of all feeds used, the total amounts of each feed used each year and the total annual crustacean or fish production.

BAP 9.3: The facility shall calculate and record a yearly feed-conversion ratio for completed crops.

BAP 9.4: The facility shall calculate and record a final yearly fish in:fish out ratio for completed crops.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 15, Clauses 18.5, 18.6, 9.2, 9.3, and 9.4

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 01 BENTHIC HABITATS

#### GSSI ESSENTIAL COMPONENT

For cage production systems, the standard requires appropriate management measures for preventing excessive impacts of aquaculture facility waste on benthic environments.

#### GUIDANCE

Appropriate measures for marine cage production systems are expected to consider biological, chemical and physical impacts and additional chemical residues resulting from culture practices. Where relevant, they should conform to ISO 16665. The use of systems combining suitable allowable zones of effect and environmental quality standards of effect are expected. Verification that the measures are operational and fit for purpose is expected. Evidence of the prevention of adverse impacts could include comparisons with baseline conditions, reference locations, or standardized limits with a suitable justification for their use. Where adverse impacts are detected it is expected that appropriate mitigation measures/ remedial action for the identified adverse impacts on the surrounding natural ecosystem are applied.

While generally recognized as a marine cage issue, benthic impacts can also occur in freshwater cage systems. The degree of management measures should reflect the degree of potential impacts relative to the environment, production system, species, and size of production.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish and Crustacean Farm Standard – Issue 2, Revision 3 – November 2016 includes the following clause for cages in freshwater environments:

BAP 6.8: For cages in water less than 30 m deep where sediments are (in the absence of cages) usually aerobic, divers or cameras shall periodically, at least once per production cycle, inspect for accumulation of feces and uneaten feed and where necessary sites shall restore aerobic benthic conditions by fallowing or other means.

For cages in marine environments, the BAP scheme is in alignment because the BAP Finfish and Crustacean Farm Standard - Issue 2, Revision 3 – November 2016 includes the following clauses:

BAP 7.1: The applicant shall provide documents that describe local standards for benthic impacts under cage farms, which shall include the benthic indicator "trigger level" above which the farm would not be in full compliance with the local standard, where this is clearly defined, or with its intent where it is not clearly defined.

BAP 7.2: For established farms, the applicant shall provide three years of monitoring data to show that the farm meets or exceeds sediment quality criteria specified in its operating permits and/or its own monitoring plan at current operating levels.

BAP 7.3: For newly established farms or farms that have expanded and do not yet have enough monitoring data, the applicant shall provide an independent study that characterizes the hydrographic and benthic characteristics of the area and provides a consultant's opinion (without liability) that the farm can meet or exceed sediment and water quality criteria if operated correctly. This opinion shall be verified by reference to sampling results at the next audit.

BAP 7.4: Monitoring of sediment conditions shall be undertaken at the time of peak feeding during the production cycle and shall be conducted according to the requirements of the farm's operating permits or its own plan in countries or regions where sediment monitoring is not required, and as specified in the implementation requirements.

BAP 7.5: Sediment sampling and analysis performed as part of the monitoring program shall apply generally accepted international methods and be adapted to the local hydrographic or benthic conditions.

BAP 7.6: The results of sediment monitoring shall be reported to and reviewed and accepted by the appropriate regulators. Where regulatory approval is conditional upon implementing a program of remedial action, this shall have been implemented and completed.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 6.8, 7.1, 7.2, 7.3, 7.4, 7.5, 7.6.

List of Certified Farms, GAA Statement
Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 02 PREDATOR CONTROL

#### GSSI ESSENTIAL COMPONENT

The standard prohibits the use of any lethal predator control techniques on endangered species. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

#### GUIDANCE

Verification of the predator controls used, appropriate record keeping, and details of the endangered species in the region of the aquaculture facility are expected. Examples of supporting evidence of non-use could include interview, appropriate signage, and mortality records. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

Endangered species are expected to be defined in the standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See *www.iucnredlist.org* and *www.cities.org* for more information.

RELATED SUPPLEMENTARY COMPONENTS

C.5 02 01 C.5 02 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 12.1: The facility shall use humane methods of predator deterrents and actively favor non-lethal methods. Where applicable, government permits for predator control shall be made available for review. No controls, other than non-lethal exclusion, shall be applied to species that are listed as endangered or highly endangered on the IUCN Red List or that are protected by local or national laws.

BAP 12.2: The facility shall record, and report where required, the species and numbers of all avian, mammalian and reptilian mortalities.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 12.1 and 12.2

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 03 PREVENTING HABITAT IMPACTS

#### GSSI ESSENTIAL COMPONENT

The standard requires compliance with national and local laws on habitat and biodiversity, including an Environmental Impact Assessment (EIA) where required.

#### GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to demonstrate legal compliance.

RELATED SUPPLEMENTARY COMPONENTS

C.5 03 01 C.5 03 02 C.5 03 03

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 1 covers legal compliance and permits:

- water use permits
- protection of mangroves or other sensitive habitats
- effluent permits
- adherence to veterinary and animal health regulations
- therapeutics use
- permits related to non-native species
- predator control permits
- well operation permits
- landfill operation permits
- adherence to environmental regulations
- environmental impact assessments.

Section 1.3 states: "Current documents shall be available to prove compliance with applicable environmental regulations for construction and operation."
The following clauses from Section 12 also apply:
12.1: The facility shall use humane methods of predator deterrents and actively favor non-lethal methods. Where applicable, government permits for predator control shall be made available for review. No controls, other than non-lethal exclusion, shall be applied to species that are listed as endangered or highly endangered on the IUCN Red List or that are protected by local or national laws.
12.2: The facility shall record, and report where required, the species and numbers of all avian, mammalian and reptilian mortalities.
Cages
12.3: The applicant shall have a written Wildlife Interaction Plan consistent with the implementation requirements listed above and that complies with the procedural, performance and reporting requirements therein.
12.4: Farm employees shall be familiar with the provisions of the Wildlife Interaction Plan and trained in aspects of it that they may be called upon to implement.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 1, Clause 1.3; Clauses 12.1, 12.2, 12.3 and 12.4

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 04 SENSITIVE HABITAT AND BIODIVERSITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that in areas where damage of sensitive habitats has occurred previously and where restoration is possible and effective; restoration efforts will or have resulted in a meaningful amount of restored habitat; either through direct on-farm restoration or by an off-farm offsetting approach. Grandfathering of historical losses is allowed.

#### GUIDANCE

It is expected that the standard will define sensitive habitat in context with its scope and an appropriate date to be used prior to which legal impacts can be "grandfathered in" and provide supporting evidence for the date. Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether that the active restoration is suitable (i.e., will it be successful and restore a suitable area of sensitive habitat).

RELATED SUPPLEMENTARY COMPONENTS

C.5 04 01 C.5 04 02 C.5 04 03

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 4 covers Mangrove and Wetland Conservation and states:
"Aquaculture facilities shall not be located in mangrove or other wetland areas where they displace important natural habitats. Farm operations shall not damage wetlands except for allowable purposes, which shall be mitigated."

BAP 4.1: If net loss of wetland habitat (delineated by evaluation of hydrological conditions and the presence of wetland vegetation)occurred on facility property since 1999, the loss shall have been due to allowable purposes.
BAP 4.2: If net loss of wetland habitat occurred on facility property since 1999, the loss shall have been mitigated by restoring an area three times as large or by an equivalent donation to restoration projects.
BAP 4.3: Farm activities shall not alter the hydrological conditions of the surrounding watershed, and the normal flow of brackish water to mangroves or freshwater to wetlands shall not be altered, unless specific permits apply.
BAP 4.4: If wetland restoration has been conducted, the restored vegetation shall be maintained in a healthy state, viable and appropriately diverse.
BAP Section 12 covers biodiversity and wildlife protection:

BAP 12.1: The facility shall use humane methods of predator deterrents and actively favor non-lethal methods. Where applicable, government permits for predator control shall be made available for review. No controls, other than non-lethal exclusion, shall be applied to species that are listed as endangered or highly endangered on the IUCN Red List or that are protected by local or national laws.
BAP 12.2: The facility shall record, and report where required, the species and numbers of all avian, mammalian and reptilian mortalities.
BAP 12.3: The applicant shall have a written Wildlife Interaction Plan consistent with the implementation requirements listed above and that complies with the procedural, performance and reporting requirements therein.
BAP 12.4: Farm employees shall be familiar with the provisions of the WIP and trained in aspects of it that they may be called upon to implement.

The WIP shall include but not be limited to:
- A list of relevant local laws and specific conditions of the farm's operating permits that apply to wildlife management and protection.
- A list of local species classified as endangered or threatened under local laws and/or listed as "Critically Endangered" or "Endangered" on the IUCN Red List.
- At marine sites, a map that identifies officially designated "critical" and/or "sensitive" marine and coastal habitat in the region. If the farm is in an area so designated, a list of the classified or endangered sedentary species within a 2-km radius of the farm and of mobile coastal species within the region, updated where necessary to show wildlife established after the farm was started, shall also be included.
- Training for farm staff in recognizing endangered, threatened and protected species they may see from the farm and a system for recording and reporting such
observations to farm management and members of the public who have expressed interest.
- Designation of one member of staff to carry out lethal control measures, if needed, and for training of that individual in humane slaughter methods.
- Description of the farm's passive measures to deter the entry into cages of predatory birds or small mammals.
- At marine sites with carnivorous marine mammals, description of the farm's passive measures to protect cages from underwater attack.
- Procedures for the regular inspection of cages to check and report the integrity of the passive measures.
- Documentation to show that any active but non-lethal deterrent measures used are approved by regulators through a review of environmental impacts with specific reference to endangered, protected, threatened or cetacean species in the area. Such devices shall not be deployed if the review shows they can adversely affect these species.
- Reporting procedures in the event that control measures cause the accidental death of wildlife and for proposed action to prevent the same from happening again.
- Procedures that state lethal methods shall only be used after all non-lethal methods are attempted and must be legally approved.
- Procedures that make it clear that deliberate lethal controls on species classified as endangered or critically
endangered are not to be used except under exceptional circumstances, such as risk to human life, and then only after specific written authorization is obtained from regulators.
- Procedures for regulatory authorization, implementation and reporting of lethal control measures when these are deemed necessary.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 4, Clauses 4.1, 4.2, 4.3 and 4.4; Section 12, Clauses 12.1, 12.2, 12.3 and 12.4
Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 01 LEGAL COMPLIANCE

#### GSSI ESSENTIAL COMPONENT

The standard requires that all seed is sourced and used in compliance with relevant national and local legal requirements for both the source and destination law.

#### GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws. This could include international laws (e.g., CITES) and laws governing introductions and transfers of live aquatic animals.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 10.1: The facility shall maintain accurate records of the species farmed and, where relevant, any significant stock characteristics,including but not limited to non-native, specific pathogen-free, specific pathogen-resistant, hybrid, triploid, sex-reversed or genetically modified (GMO) status.
BAP 10.2: If government regulations control the use or importation of any of the species or stocks farmed, relevant permits shall be made available for inspection, even if imported fry were purchased from an intermediary.
BAP 10.3: The facility shall keep records of sources and purchases of stocking material, and record the number stocked in each culture unit for each crop.
BAP 10.4: Wild juveniles shall not be stocked, other than as incidental introductions when extensive ponds are first filled.
BAP 10.5: Where the species farmed is not native, not feral or not already farmed, further documents shall be provided to demonstrate that regulatory approval for farming is based on the 2005 ICES Code of Practice on Introductions and Transfers of Marine Organisms or, for freshwater species, the Codes of Practice and Manual of Procedures for Consideration of Introduction and Transfers of Marine and Freshwater Organisms, FAO 1988.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 10.1, 10.2, 10.3, 10.4 and 10.5
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 02 RECORD KEEPING

#### GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate record keeping system for all seed that is intentionally stocked.

#### GUIDANCE

An appropriate records system may include source of the seed, date of purchase, stocking density, vaccination record of the seed, and stocked seed batch identification.

Verification is expected to include a review of evidence that the system is operational and fit for purpose.

RELATED SUPPLEMENTARY COMPONENTS

C.6 02 01

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 18.1: The facility shall operate an effective record-keeping system that provides timely, organized, accurate entries, performed and overseen by a designated trained person or team responsible for collecting the data, ensuring it is complete and accurate, and that traceability requirements are met.
BAP 18.2: The facility shall keep complete and accurate records for each culture unit and production cycle, including the culture unit identification number, unit area and volume, species stocked and, if applicable, species specifications such as triploid or GMO.
BAP 14.8: Health management procedures shall be defined in a health management plan or operating manual that includes procedures to avoid the introduction of diseases, protocols for water quality management, health monitoring and disease diagnosis techniques.
BAP 10.1: The facility shall maintain accurate records of the species farmed and, where relevant, any significant stock characteristics, including but not limited to non-native, specific pathogen-free, specific pathogen-resistant, hybrid, triploid, sex-reversed or genetically modified (GMO) status.
BAP 10.3: The facility shall keep records of sources and purchases of stocking material, and record the number stocked in each culture unit for each crop.
BAP 18.6: The facility shall maintain complete and accurate records of the sources and numbers of postlarvae or fingerlings stocked, stocking dates and all feeds used for each culture unit.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 18.1, 18.2, 14.8, 10.1, 10.3, 10.6 and 18.6

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 03 WILD SEED

#### GSSI ESSENTIAL COMPONENT

The standard requires that where the deliberate use of wild seed is justifiable, it is collected in a manner that:

- Ensures controls are in place so that the collection of seed is not detrimental to the status of the wild target and non-target populations, nor the wider ecosystem.
- Avoids the use of environmentally damaging collection practices
- Source fishery is regulated by an appropriate authority

#### GUIDANCE

Expected examples of "justifiable use" include where there is a lack of commercially-available hatchery-raised seed, inability/lack of technology to hatchery-raised the farmed species, or passive collection of mollusks. Justification could be offered at the standard or aquaculture facility level.

i) Suitable controls are expected to include aspects such as a fishery management plan that limits take to maintain the wild populations (i.e., there is no measurable impact on recruitment levels or the stocks ability to increases (examples include stocks that are under or fully exploited) with appropriate safeguards against excessive bycatch, and prevention of damaging gear types.

ii) Examples of environmentally damaging collection practice are expected to include dynamite or poison fishing, habitat impacts.

Verification is expected to include the need to provide suitable evidence by the aquaculture facility (e.g., a summary report written by a credible 3rd party on the source fishery, a self-certification by the appropriate management authority, a 3rd party fishery certification that verifies suitable compliance).

RELATED SUPPLEMENTARY COMPONENTS

C.6 03 01

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 10.4: Wild juveniles shall not be stocked, other than as incidental introductions when extensive ponds are first filled.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 10.4
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 04 HATCHERY SEED

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility intentionally stocks hatchery-raised seed unless justification exists otherwise.

#### GUIDANCE

Examples of suitable justifiable exclusions are provided in C.6.03. Standards are expected to encourage the use of hatchery raised seed as they become available (e.g. by including a deadline for use to become required in the standard, or a certain percentage of seed needing to come from hatcheries to be met for certification, etc.). Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility. In case of production systems and species where only hatchery seed is used (e.g. Atlantic salmon) this GSSI Essential Component can be not applicable.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 10.4: Wild juveniles shall not be stocked, other than as incidental introductions when extensive ponds are first filled.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 10.4
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 05 HATCHERY SEED

#### GSSI ESSENTIAL COMPONENT

The standard requires that suitable measures are in place to ensure that hatchery-raised seed are free from relevant/important pathogens before stocking for grow-out.

#### GUIDANCE

Relevant/important pathogens are expected to include those identified by the aquatic health professional and sources such as the OIE/ transboundary disease lists (See Chapter 1.3 of the Aquatic Animal Health Code 2015 *http://www.oie.int/en/international-standard-setting/aquatic-code/access-online/*).

Verification of suitable measures is expected to include reviews of disease-testing methods, the disease tested for, and the results (including ISO 23893-1:2007), and the vaccination record of the seed. This could form part of the aquatic animal health management plan.

RELATED SUPPLEMENTARY COMPONENTS

C.6 05 01 C.6 05 02 C.6 05 03 C.6 05 04

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 BAP, Section 17 covers biosecurity and requires that: "The likely vectors for these risks shall be identified in a detailed written biosecurity plan that identifies specific farm staff responsible for its implementation, includes specific control measures and at a minimum:
• Identifies the likely disease risks for the culture species within its culture region.
• Links the biosecurity plan to the overall farm animal health and welfare plan.
• Requires routine disease surveillance and characterization of the health status of the farm.
• Identifies critical control points such as movement of animals and equipment, and farm access by visitors.
• Establishes active control measures to reduce the risk of introduction and/or spread of disease agents past these control points."

Additionally, the standard includes the following clauses:
BAP 17.1: The applicant shall have in place biosecurity controls that seek to prevent the introduction and spread of disease agents and disease on the farm, including the sanitization of equipment and personnel when disease is suspected or confirmed at the farm site, and these shall be detailed in a biosecurity plan as described in the Implementation guidelines above.
BAP 17.2: Farm staff shall be trained in biosecurity procedures and shall, along with all visitors, comply with them.
BAP 14.5: Disease outbreaks shall be managed through rapid diagnosis and treatment, and when necessary, humane slaughter.
BAP 14.7: When ill, deformed or unmarketable specimens are removed, they shall be documented and killed by humane techniques, with the carcasses disposed of responsibly in accordance with applicable local and state regulations.
BAP 14.8: Health management procedures shall be defined in a health management plan or operating manual that includes procedures to avoid the introduction of diseases, protocols for water quality management, health monitoring and disease diagnosis techniques.
BAP 10.1: The facility shall maintain accurate records of the species farmed and, where relevant, any significant stock characteristics,including but not limited to non-native, specific pathogen-free, specific pathogen-resistant, hybrid, triploid, sex-reversed orgenetically modified (GMO) status.
BAP 10.3: The facility shall keep records of sources and purchases of stocking material, and record the number stocked in each culture unit for each crop.
BAP 18.6: The facility shall maintain complete and accurate records of the sources and numbers of postlarvae or fingerlings stocked, stocking dates and all feeds used for each culture unit.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 17, Clauses 17.1, 17.2, 14.5, 14.7, 14.8, 10.1, 10.3, 18.6

# C.7 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

### C.7 01 ESCAPES

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system to minimize the unintentional release or escape of cultured species.

An appropriate system is expected to be based on an evaluation of the likelihood of events and the magnitude of impacts on surrounding environment (where risk assessments are used they met use a suitable scientific method and taking into consideration, siting, culture practices, local environmental conditions, including extreme events, and other relevant uncertainties) according to the precautionary approach and possible impacts on surrounding natural ecosystems, including fauna, flora, and habitat. Specific requirements stated in the standard are acceptable.

Verification is expected to include a review of evidence of an operational and fit for purpose system.

The system is expected to address the following; relative to the species being farmed and the production system (individual elements can be "Not Applicable" with these considerations).

i) Measures for escape detection
ii) Monitoring for and record keeping of escapes events
iii) Suitable training of employees
iv) Incident management and infrastructure, including response or recapture measures.
v) Regular monitoring and maintenance of the culture system
vi) Regular review and failure analysis
vii) containment infrastructure

RELATED SUPPLEMENTARY COMPONENTS

C.7 01 01 C.7 01 02 C.7 01 03

### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses that apply to all production systems:

BAP 20.5: In watersheds where Tilapia species are not indigenous and not established**, tilapia farms shall have at least two independent containment systems to prevent escapes. Additionally, they shall only stock monosex juveniles (minimum 99% phenotypically monosex).
BAP 11.1: All holding, transport and culture systems shall be designed, operated and maintained to minimize the release of eggs, larval forms, juveniles and adult animals.
BAP 11.2: Screens and nets sized to retain the smallest farmed animals present shall be installed on water outlet pumps, pipes or sluices. Screens, nets or other controls shall be installed on or near pump intakes to minimize the introduction of local aquatic fauna.
BAP 11.3: During harvesting and stock transfer operations, effective secondary containment measures shall be applied to control the escape of animals.
BAP 11.4: All incidents involving escapes of aquaculture animals shall be accurately documented.
Additionally for cage systems:
BAP 11.5: Cages, nets and pens shall be tagged and maintained in good condition, and records of repairs shall be kept. Periodic inspectionsof mooring lines shall be documented. Jump nets that extend above the water line should surround the perimeters of net cages.
BAP 11.6: Applicants shall adhere to any local cage design and construction standards approved by local producer associations.
BAP 11.7: The applicant shall demonstrate that the farm meets the BAP procedural, performance, documentation and reporting requirements for fish containment required by the Fish Containment Plan outlined in the implementation requirements.
BAP 11.8: The applicant shall provide documents to show that all staff members have received training in the Fish Containment Plan, which shall be verifiable by training certificates in employees' files and verified at audit by a subset of interviews.
BAP 11.9: If an escape is suspected or has occurred since the last audit, the applicant shall provide reports and farm records to show that the incident was dealt with in a manner consistent with the Fish Containment Plan.
The Fish Containment Plan requires:

- Documents shall show the farm's moorings were installed according to the manufacturer's and/or marine engineer's specifications.
- A site risk analysis updated at least annually shall identify the potential and actual causes of fish escapes, determine their relative likelihood of occurrence or recurrence at the farm site, and identify critical control points for effective escape risk monitoring, reduction and response by farm staff.
- Procedures based on the risk analysis shall include management protocols and actions designed to monitor escape risks, reduce them when identified and respond to escape events in a timely and effective manner. The efficacy of these measures shall be verified and documented through the year.
- Procedures shall require the main surface components of the system to be inspected at least annually and repaired or replaced as needed. The sub-surface components must be inspected and replaced as needed at least every two years or between each crop cycle, whichever is shorter. Equipment shall be replaced as needed.
- Net inventory management procedures shall track the ages of all nets on the farm or in storage, and provide strength tests on all nets between crops or every two years, whichever period is shorter. Nets shall be retired when their strength is below levels specified in local regulations or, where there are none, below the manufacturer's or supplier's recommendations.
- Cage inspection procedures shall ensure all operational nets are surface checked for holes at least weekly and checked sub-surface at least every four weeks. Nets and cage superstructure shall be checked for holes and other indications of structural damage after risk events such as storms or big tides.
- Predator deterrence procedures shall minimize the risk that predators can make holes in nets.
- Boat equipment shall include guards on propellers and staff training procedures that minimize the risk of contact between boats and farm nets.
- At marine sites, procedures and equipment consistent with local Coast Guard rules shall warn non-farm marine traffic of the farm's presence.
- Procedures for handling live fish shall prevent "spillage."
- As part of their initial training, all staff shall receive training on all procedures in the Fish Containment Plan.

### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 20.5, 11.1, 11.2, 11.3, 11.4, 11.5, 11.6, 11.7, 11.8, and 11.9.
Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.7 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

### C.7 02 GENETICALLY MODIFIED ORGANISMS

#### GSSI ESSENTIAL COMPONENT

In the case where the culture of GMO organisms is permitted, the standard requires a suitable evaluation of the risk of environmental impacts.

#### GUIDANCE

A suitable evaluation is expected to have been performed using an appropriate scientific method that assesses the likelihood of events and the magnitude of impacts, and take into account relevant uncertainties according to the precautionary approach. The evaluation should consider the possible impacts on genetic diversity, aquatic communities and ecosystems. Where ICES Code of Practice on the Introductions and Transfers of Marine Organisms 2005 is relevant, consistency with these requirements on genetically modified organisms (GMO) is also expected. Verification is expected to include a review of supporting evidence.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 10.1: The facility shall maintain accurate records of the species farmed and, where relevant, any significant stock characteristics, including but not limited to non-native, specific pathogen-free, specific pathogen-resistant, hybrid, triploid, sex-reversed or genetically modified (GMO) status.
BAP 10.2: If government regulations control the use or importation of any of the species or stocks farmed, relevant permits shall be made available for inspection, even if imported fry were purchased from an intermediary.
BAP 10.5: Where the species farmed is not native, not feral or not already farmed, further documents shall be provided to demonstrate that regulatory approval for farming is based on the 2005 ICES Code of Practice on Introductions and Transfers of Marine Organisms or, for freshwater species, the Codes of Practice and Manual of Procedures for Consideration of Introduction and Transfers of Marine and Freshwater Organisms, FAO 1988.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 10.1, 10.2, and 10.5

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.7 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

### C.7 03 EXOTIC SPECIES

**GSSI ESSENTIAL COMPONENT**

The standard requires that all species are farmed in compliance with relevant laws and regulations.

**GUIDANCE**

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

RELATED SUPPLEMENTARY COMPONENTS

C.7 03 01

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 1 covers legal compliance and lists:

- water use permits
- protection of mangroves or other sensitive habitats
- effluent permits
- adherence to veterinary and animal health regulations
- therapeutics use
- permits related to non-native species
- predator control permits
- well operation permits
- landfill operation permits
- adherence to environmental regulations
- environmental impact assessments.

Additionally the following clauses apply:

BAP 1.3: Current documents shall be available to prove compliance with applicable environmental regulations for construction and operation.
BAP 10.2: If government regulations control the use or importation of any of the species or stocks farmed, relevant permits shall be made available for inspection, even if imported fry were purchased from an intermediary.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 1, Clause 1.3; Clause 10.2

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 01 LEGAL COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The standard requires compliance with all relevant laws regarding water use, water quality, and waste discharge.

**GUIDANCE**

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 1 covers legal compliance and lists:

- water use permits
- protection of mangroves or other sensitive habitats
- effluent permits
- adherence to veterinary and animal health regulations
- therapeutics use
- permits related to non-native species
- predator control permits
- well operation permits
- landfill operation permits
- adherence to environmental regulations
- environmental impact assessments.

In addition, the following clause applies:
BAP 1.3: Current documents shall be available to prove compliance with applicable environmental regulations for construction
and operation.

**REFERENCES**

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 1, Clause 1.3

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 02 SALINIZATION

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system that addresses the impact of salinization of freshwater resources and the surrounding environment by the aquaculture facility.

#### GUIDANCE

An exemption for standards that do not cover land-based saline water systems is expected.

Appropriate measures are expected to be based on risk assessments or standardized requirements. Controls could include relevant monitoring of freshwater resources (e.g., groundwater resources, local water bodies, local soils) for salinity changes and measures such as pond-linings, limiting groundwater use and other control techniques. The standard is expected to prohibit the aquaculture facility to contributing to changing freshwater resources and the surrounding environment to saline conditions. Verification is expected to include a review of evidence that the system is operational and fit for purpose, such as a visual inspection of the site.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 8 addresses the risk of saline leaching from dredged sediments and from saltwater intrusion and the following clauses apply:

BAP 8.2: For inland brackish ponds, quarterly monitoring of neighboring well and surface water shall not show that chloride levels are increasing due to farm operations.

BAP 8.5: Farm operations shall not cause wetland vegetation at the facility perimeter to die off.

BAP 8.8: Removed sediment shall be properly contained and located to prevent the salinization of soil and groundwater and not cause other ecological nuisances.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 8, Clauses 8.2, 8.5 and 8.8
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 03 WATER USE

#### GSSI ESSENTIAL COMPONENT

Where appropriate (e.g. land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting) the standard requires that the aquaculture facility has appropriate management measures for efficient water use.

#### GUIDANCE

This requirement is based on Paragraph 47 of the Technical Guidelines on Aquaculture Certification state *"Measures should be adopted to promote efficient water management and use, as well as proper management of effluents to reduce impacts on surrounding land, and water resources should be adopted."* GSSI recognizes that standards for efficient water management and use are not common in many current aquaculture standards. Generally it is expected that this Essential Component will only apply to aquaculture facilities that use land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting. An exemption for all other production systems is expected. This can also be "not applicable" for standards that do not cover relevant production systems.

Management measures may include a general promotion or awareness of efficient water use or actions that may lead to more efficient use. Where groundwater is used the standard is expected to require that the aquaculture facility establish, implement and maintain an appropriate system to prevent aquifer drawdown and negative impacts on freshwater resources and the surrounding environment caused by the facilities operations. Verification that the system is operational and fit for purpose is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.8 03 01 C.8 03 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 8 states: "Farm construction and operations shall not cause soil and water salinization or deplete groundwater in surrounding areas." and "Avoid excessive pumping of groundwater from freshwater aquifers, and do not use freshwater from wells to dilute salinity in growout ponds." In addition, the following clauses apply:

BAP 8.3: If a farm is extracting groundwater, water levels in nearby wells shall be monitored at least annually during the dry season to establish that aquaculture is not lowering the water table.
BAP 8.4: Use of water from wells, lakes, streams, springs or other natuarl sources shall not cause ecological damage or subsidence in surrounding areas.
BAP 8.5: Farm operations shall not cause wetland vegetation at the facility perimeter to die off.
Also, in BAP Section 5 for pond farms:
BAP 5.7: The farm shall provide the auditor with an estimated annual water use during the last calendar year, as illustrated in Appendix
C, and the input data shall also be available for review.
Appendix C: "After the first year of effluent monitoring, water use and load indices shall be estimated using the following equations. Equation 5: Water use index (m3/kg fish or shrimp) = Annual effluent volume (m3) ÷ Annual fish production (kg)"

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 8, Clauses 8.3, 8.4, and 8.5; Section 5, Clause 5.7; Appendix C

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 04 WATER QUALITY

#### GSSI ESSENTIAL COMPONENT

The standard requires, where appropriate, management measures for effluents to reduce adverse impacts on water quality of water bodies receiving effluents.

#### GUIDANCE

Appropriate measures are expected to include.

1. Monitoring and recording of effluent or receiving water quality, and which may including key parameters that need to be addressed include, where applicable:
    i) Nutrients – Nitrate/Nitrogen (impacts on seawater)
    ii) Nutrients – Phosphate/Phosphorous (impacts on freshwater)
    iii) Dissolved oxygen
    iv) Salinity
    v) Suspended Solids
    vi) pH
2. Defined, aquaculture appropriate, maximum reference points (e.g., general concentration limits or aquaculture facility-specific limits) or mandatory systems (e.g., presence of a suitable filter) are defined to prevent pollution
3. Where reference points are exceeded, the scheme either refuses certification or that mitigation methods are employed and monitored to meet a time bound goal to come into compliance.

Verification is expected to include a review of evidence that the system is operational and fit for purpose, including visual inspection of the site. Where effluent concentration limits are used for compliance, independent verification of conformance is also expected.

"Where appropriate" is expected to include standards that cover production systems that release effluent that has the potential to impact water quality, e.g., fed/intensive aquaculture in ponds and raceways. An exception for marine cage aquaculture and on or off-bottom shellfish culture is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.8 04 01 C.8 04 02 C.8 04 03

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:
BAP 5.4: Records on intake water and effluent monitoring shall be maintained and available, as detailed in the Implementation Guidelines.
BAP 5.5: Effluent water quality concentrations shall comply with BAP water quality criteria or applicable regulations if they are equivalent or more rigorous, or if this is not possible because of high concentrations in the intake water, concentrations shall reflect no deterioration between intake and discharge.
BAP 5.6: Farms shall continue compliance with these criteria to maintain certification and comply with BAP's final criteria within five years.
BAP Section 5 specifies: "To confirm compliance with BAP water quality criteria at farms, the auditor will during the inspection process witness effluent sampling and preparation for analysis by an independent laboratory. Analysis of the samples collected by the auditor shall be done by a private or government laboratory following standard methods as published by the American Public Health Association, American Water Works Association and Water Environment Federation – http://www.standardmethods.org."
BAP Effluent Water Quality limits are set out in Appendix A and cover:
pH (standard pH units)
Total suspended solids (mg/L)
Soluble phosphorus (mg/L)
Total ammonia nitrogen (mg/L)
5-day biochemical oxygen demand (mg/L)
Dissolved oxygen (mg/L)
Chloride

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 5, Clauses 5.4 and 5.6; Appendix A
Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C

# EVIDENCE OF ALIGNMENT WITH APPLICABLE **GSSI SUPPLEMENTARY COMPONENTS** FOR AQUACULTURE CERTIFICATION STANDARDS

## FINFISH AND CRUSTACEAN FARMS

# C.1 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 08 03 BIOSECURITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility establishes, implements, and maintains a written Aquatic Animal Health Management Plan (AAHMP) which is overseen by an aquatic animal health professional, at a minimum, compliant with the following GSSI-requirements; C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, C.1.10, C.1.11.

*Rationale: The aquatic animal health actions defined in the Essential Components for this element may be undocumented or fragmented; at the Supplementary Component level all of the elements of must now be formalized and viewed as one defined and operational plan. By formalizing the plan, the effectiveness of the plan can be determined and the benefits for reducing the severity and frequency of disease outbreaks are likely to be increased.*

#### GUIDANCE

Verification that the farm has a written AAHMP, and that the content covers the necessary content and that it is fully in operation and frequently reviewed is expected. Evidence of oversight could include an interview with the health professional or a signature on the documents.

Aligned standards will also be considered in alignment with C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, and C.1.10.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 17.3: A plan for prompt and responsible disposal of excessive mortalities of culture animals by incineration, burial, composting or removal by a competent contractor shall be available for inspection and applied.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 17.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.1 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.2 02 01 BIOSECURITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility establishes, implements, and maintains a written Aquatic Animal Health Management Plan (AAHMP) which is overseen by an aquatic animal health professional, at a minimum, compliant with the following GSSI-requirements; C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, C.1.10, C.1.11.

*Rationale: The aquatic animal health actions defined in the Essential Components for this element may be undocumented or fragmented; at the Supplementary Component level all of the elements of must now be formalized and viewed as one defined and operational plan. By formalizing the plan, the effectiveness of the plan can be determined and the benefits for reducing the severity and frequency of disease outbreaks are likely to be increased.*

#### GUIDANCE

Verification that the farm has a written AAHMP, and that the content covers the necessary content and that it is fully in operation and frequently reviewed is expected. Evidence of oversight could include an interview with the health professional or a signature on the documents.

Aligned standards will also be considered in alignment with C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, and C.1.10.

#### CONCLUSION

The BAP shceme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:

BAP 15.9: Feed, nutritional supplements or pond additives used, manufactured or prepared on the farm shall include procedures to ensure these substances do not contain unsafe levels of contaminants and contain only substances permitted by the appropriate national authorities.
BAP 15.1: The facility shall conduct an assessment of the watershed surrounding the facility to identify any potential watershed contamination risks.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 15.9 and 15.1
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## FEED USE

### C.3 01 02 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the efficient use of fishmeal and fish oil relative to the production system and the species being farmed.

*Rationale: Aquatic resources are limited resources and have, for the most part, been fully exploited meaning that there is a finite limit of these for the aquaculture industry. Using these valuable resources efficiently is therefore an important environmental goal, by setting stringent metric limits to the amount of aquatic resources being used to produce the aquaculture product, the scheme promotes efficiency and thereby potentially increasing the amount of seafood that could be produced using aquatic resources.*

#### GUIDANCE

Suitable approaches are expected to include setting a suitable maximum Fish in: Fish Out Ratios, FFDRm (Forage Fish Dependency Ratio for Fish Meal) and FFDRo (Forage Fish Dependency Ratio for Fish Oil), or other calculations which reflect the importance of limited wild-harvested aquatic resources, this could include be species specific performance based metric limits. Consideration for extreme events (such as disease or escapes) is permissible. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill. Verification is expected to include compliance at the aquaculture facility level.

Where fishmeal and fish oil are used in feed, aligned standards will also be considered in alignment C.4.07

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 13 states: "Trash, garbage and other farm waste, including discarded farm machinery and equipment, shall not be dumped in mangrove areas, wetlands or vacant land, or allowed to accumulate on farm property. Such waste shall be disposed of responsibly." Furthermore, the following clause applies:
BAP 13.6: Garbage and other solid waste, including fouling organisms, shall be disposed of to comply with local regulations and avoid environmental contamination and odor problems (e.g., recycling, burning, composting or placing in a legal landfill).

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Sections 13, Clause 13.6
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.5 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.4 04 01 SENSITIVE HABITAT AND BIODIVERSITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard ensures no net loss of sensitive habitats on an area basis as a result of aquaculture facility construction and conversion and culture practices.

*Rationale: This Supplementary Component helps reduce aquaculture-related loss of sensitive habitats by requiring no net loss of sensitive habitat within a particular area, while allowing for grandfathering within proscribed time periods and off-setting restoration projects (restoration outside of the area); and by requiring that any required restoration projects (to ensure no net less) be monitored and demonstrate progress.*

#### GUIDANCE

It is expected that the Standard will define (with supporting evidence) sensitive habitat in context with its scope, the basis for a "no net loss" claim, and an appropriate date to be used prior to which legal impacts can be "grandfathered in" (the date must be before major period of significant historical habitat loss for the production system that the certification covers). Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether the active restoration is or is likely to be successful at restoring the sensitive habitat. Offsetting is allowed.

Aligned standards will also be considered in alignment with C.5.04

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 because BAP 9.6 requires compliance with BAP Feed Mill Standard, FM 3.3: This standard requires development of a plan to avoid unsustainable sources and transition to certified sources as they become available.
BAP 9.6 Facilities shall create and implement clear, written plans of action that define policies for sourcing all fishmeal and fish oil from responsibly managed fisheries. The plans of action must address how to avoid:
• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as "subject to overfishing," "overfished," "harvested unsustainably," "fishery closed," "stock overexploited," "no fishing recommended," "stock critical," "endangered" or "critically endangered."
• Any products of the same genus as the species for which the feed is intended.
Aquafeed producers shall actively favor marine oils and proteins derived from fisheries that are classified by reputable international third parties such as the FAO and ICES as sustainably fished, fully fished or underexploited. One example of an appropriate tool for developing a responsible sourcing plan is the FishSource data bank created by the Sustainable Fisheries Partnership (http://www.fishsource.com).

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 9.6
C.4.01 BAP Feed Mills Standard, Clause 3.3
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.4 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## FEED USE

### C.4 04 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the efficient use of fishmeal and fish oil relative to the production system and the species being farmed.

*Rationale: Aquatic resources are limited resources and have, for the most part, been fully exploited meaning that there is a finite limit of these for the aquaculture industry. Using these valuable resources efficiently is therefore an important environmental goal, by setting stringent metric limits to the amount of aquatic resources being used to produce the aquaculture product, the scheme promotes efficiency and thereby potentially increasing the amount of seafood that could be produced using aquatic resources.*

#### GUIDANCE

Suitable approaches are expected to include setting a suitable maximum Fish in: Fish Out Ratios, FFDRm (Forage Fish Dependency Ratio for Fish Meal) and FFDRo (Forage Fish Dependency Ratio for Fish Oil), or other calculations which reflect the importance of limited wild-harvested aquatic resources, this could include be species specific performance based metric limits. Consideration for extreme events (such as disease or escapes) is permissible. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill. Verification is expected to include compliance at the aquaculture facility level.

Where fishmeal and fish oil are used in feed, aligned standards will also be considered in alignment C.4.07

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clauses:
BAP 9.4: The facility shall calculate and record a final yearly fish in:fish out ratio for completed crops.
BAP 9.5: The fish in:fish out ratio shall not exceed the following values: Litopenaeus vannamei – 1.2, Penaeus monodon – 1.7, tilapia – 0.7, Pangasius – 0.5 Limits have not yet been fixed for other species, and will be added once adequate data has been accumulated. For other species the values shall be recorded as information only.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clauses 9.4 and 9.5
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.5 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 04 01 SENSITIVE HABITAT AND BIODIVERSITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard ensures no net loss of sensitive habitats on an area basis as a result of aquaculture facility construction and conversion and culture practices.

*Rationale: This Supplementary Component helps reduce aquaculture-related loss of sensitive habitats by requiring no net loss of sensitive habitat within a particular area, while allowing for grandfathering within proscribed time periods and off-setting restoration projects (restoration outside of the area); and by requiring that any required restoration projects (to ensure no net less) be monitored and demonstrate progress.*

#### GUIDANCE

It is expected that the Standard will define (with supporting evidence) sensitive habitat in context with its scope, the basis for a “no net loss” claim, and an appropriate date to be used prior to which legal impacts can be “grandfathered in” (the date must be before major period of significant historical habitat loss for the production system that the certification covers). Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether the active restoration is or is likely to be successful at restoring the sensitive habitat. Offsetting is allowed.

Aligned standards will also be considered in alignment with C.5.04

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017, Section 4 covers Mangrove and Wetland Conservation and states: "Aquaculture facilities shall not be located in mangrove or other wetland areas where they displace important natural habitats. Farm operations shall not damage wetlands except for allowable purposes, which shall be mitigated." In addition, the following clauses apply:

BAP 4.1: If net loss of wetland habitat (delineated by evaluation of hydrological conditions and the presence of wetland vegetation)occurred on facility property since 1999, the loss shall have been due to allowable purposes.
BAP 4.2: If net loss of wetland habitat occurred on facility property since 1999, the loss shall have been mitigated byrestoring an areathree times as large or by an equivalent donation to restoration projects.
BAP 4.3: Farm activities shall not alter the hydrological conditions of the surrounding watershed, and the normal flow of brackish waterto mangroves or freshwater to wetlands shall not be altered, unless specific permits apply.
BAP 4.4: If wetland restoration has been conducted, the restored vegetation shall be maintained in a healthy state, viable and appropriately diverse.
BAP Section 12 covers biodiversity and wildlife protection:
BAP 12.1: The facility shall use humane methods of predator deterrents and actively favor non-lethal methods. Where applicable, government permits for predator control shall be made available for review. No controls, other than non-lethal exclusion, shall be applied to species that are listed as endangered or highly endangered on the IUCN Red List or that are protected by local or national laws.
BAP 12.2: The facility shall record, and report where required, the species and numbers of all avian, mammalian and reptilian mortalities.
BAP 12.3: The applicant shall have a written Wildlife Interaction Plan consistent with the implementation requirements listed above and that complies with the procedural, performance and reporting requirements therein.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Section 4, Clauses 4.1, 4.2, 4.3, 4.4; Section 12, Clauses 12.1, 12.2, 12.3 and 12.4

Available Online at:
https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.8 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## SEED

### C.6 03 01 WILD SEED

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires that wild-caught seed are prohibited. 100% of intentionally stocked seed must be from a hatchery.

*Rationale: The collection of wild seed for aquaculture can negatively impact the target species by reducing recruitment, non-target species from bycatch, and ecosystems from environmentally damaging harvest methods. Prohibiting the use of wild seed precludes any such adverse impacts; helps ensure that the many benefits of hatchery production are utilized to the fullest extent; and provides additional incentives for the development of technologies to produce commercially-viable hatchery seed, where these do not presently exist.*

#### GUIDANCE

Verification is expected to include a review of evidence to support the claim (e.g., receipts from seed purchases). An exemption for accidentally stocked seed (such as seed unintentionally trapped when a pond is being filled) is acceptable. Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility.

Aligned standards will also be considered in alignment with C.6.04, while C.6.03 will not be applicable.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 includes the following clause:

BAP 10.4: Wild juveniles shall not be stocked, other than as incidental introductions when extensive ponds are first filled.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 10.4
Available Online at:

https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Finfish%20and%20Crustacean%20Farms%20%E2%80%93%20Issue%202.4%20%E2%80%93%2023-May-2017.pdf

# C.8 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## SEED

### C.8 03 01 WILD SEED

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires that wild-caught seed are prohibited. 100% of intentionally stocked seed must be from a hatchery.

*Rationale: The collection of wild seed for aquaculture can negatively impact the target species by reducing recruitment, non-target species from bycatch, and ecosystems from environmentally damaging harvest methods. Prohibiting the use of wild seed precludes any such adverse impacts; helps ensure that the many benefits of hatchery production are utilized to the fullest extent; and provides additional incentives for the development of technologies to produce commercially-viable hatchery seed, where these do not presently exist.*

#### GUIDANCE

Verification is expected to include a review of evidence to support the claim (e.g., receipts from seed purchases). An exemption for accidentally stocked seed (such as seed unintentionally trapped when a pond is being filled) is acceptable. Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility.

Aligned standards will also be considered in alignment with C.6.04, while C.6.03 will not be applicable.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017 adopt the metric adopted by BAP for allowance of lowering the water table in the the dry season = 0. BAP 8.3: If a farm is extracting groundwater, water levels in nearby wells shall be monitored at least annually during the dry season to establish that aquaculture is not lowering the water table.

#### REFERENCES

BAP Finfish & Crustacean Farm Standards - Issue 2.4 - 23 May 2017. Clause 8.3
Available Online at:

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# C

## EVIDENCE OF ALIGNMENT WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS** FOR AQUACULTURE CERTIFICATION STANDARDS

## SALMON FARMS

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 01 ANTIMICROBIAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires that the decision to treat with antimicrobials is made according to the guidance of the OIE Aquatic Animal Health Code (i.e., by the aquatic animal health professional or other relevant competent authority and in response to a diagnosed disease; see Article 6.2.7 of the 2015 Aquatic Animal Health Code).

#### GUIDANCE

The standard is expected to prohibit prophylactic usage for growth promotion and require that all antimicrobials are used in response to a diagnosed disease (i.e., by the aquatic animal health professional or other relevant competent authority) and the audit is expected to include a review of suitable evidence (e.g., records of disease testing etc. prescriptions for treatments).

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:
BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat
diagnosed diseases in accordance with instructions on product labels and national regulations.
BAP 11.5: Antibiotics shall only be used to treat diagnosed bacterial disease (see also Standard 10.9) and shall not be used as growth promoters.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 10.9 and 11.5

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 02 ANTIMICROBIAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires that the application of antimicrobial agents is consistent with the guidelines outlined in Principles for Responsible and Prudent Use of Antimicrobial Agents in Aquatic Animals of the OIE Aquatic Animal Health Code (Articles 6.2.7 and 6.2.8 of the 2015 Code).

#### GUIDANCE

The audit is expected to include a review of evidence (such as written records or through interviews) to ensure consistency with OIE guidelines (2015) Article 6.2.7 "The veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines should indicate precisely to the aquatic animal producer the treatment regime, including the dose, the treatment intervals, the duration of the treatment, the withdrawal period and the amount of antimicrobial agents to be delivered, depending on the dosage and the number of aquatic animals to be treated. The use of antimicrobial agents extra-label/off-label may be permitted in appropriate circumstances in conformity with the relevant legislation" and Article 6.2.8 "Aquatic animal producers should use antimicrobial agents only on the prescription of a veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines, and follow directions on the dosage, method of application, and withdrawal period."

RELATED SUPPLEMENTARY COMPONENTS

C.1 02 01 C.1 02 02

#### CONCLUSION

The BAP scheme is in alignment because audits cover all relevant principles in the OIE Aquatic Animal Health Code as detailed in the OIE Code, Article 6.2.8 Responsibilities of aquatic animal producers
OIE 6.2.8: Aquatic animal producers should implement health programmes on their farms in order to promote aquatic animal health and food safety. This can be done through adequate planning of culture strategies to maintain aquatic animal health through biosecurity programmes, husbandry, nutrition, vaccination, maintenance of good water quality, etc.
Section 9 of the BAP standard addresses animal health and welfare: "Producers shall demonstrate that all operations on farms that involve fish, including 'cleaner fish' if used, are conducted with animal welfare in mind. Employees shall be trained to provide appropriate levels of husbandry and care."
BAP 9.9: The applicant shall apply stocking density criteria based on local conditions, which shall normally be at or below an average 25 kilograms per cubic meter, but may rise higher than this for 5 percent of the production cycle if the fish show other good welfare indicators, and water quality is good.
BAP Section 10 address biosecurity: "Farms shall operate with the aim of preventing infectious disease outbreaks, but when diseases or parasites infect farmed fish, diagnosis and treatment shall be carried out promptly and judiciously under the supervision of a fish health professional in a manner that minimizes impacts on the environment."
BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
BAP 10.6 : The applicant shall adequately train farm staff in applying these biosecurity and health management procedures"
BAP Section 4 addresses water quality: "Farms shall be located and operated in such a way that they minimize negative impacts on sediment quality outside a defined sediment impact zone, or on water quality within the general vicinity of the farm."
BAP 4.2: For established farms, the applicant shall provide three years of monitoring data to show that the farm meets or exceeds sediment and water quality criteria specified in 4.1, its operating permits and/or its own monitoring plan at current operating levels.
BAP 4.3: For newly established farms, or farms that have expanded and do not yet have enough monitoring data, the applicant shall provide an independent study that characterizes the hydrographic and benthic characteristics of the area and provides a consultant's opinion (without liability) that the farm can meet or exceed sediment and water quality criteria if operated correctly. This opinion shall be verified by reference to sampling results at the next audit.
BAP Section 9 addresses health and welfare:
BAP 9.2: The farm shall be located in waters where salmon would be expected to thrive, and farm facilities shall be clean and orderly
OIE 6.2.8: Aquatic animal producers should use antimicrobial agents only on the prescription of a veterinarian or other aquatic animal health professional authorised to prescribe veterinary medicines, and follow directions on the dosage, method of application, and withdrawal period.
BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.
OIE 6.2.8 Aquatic animal producers should ensure that antimicrobial agents are properly stored, handled, and disposed.
BAP Section 8 addresses chemical storage:
BAP 8.6: Fuel, lubricants and chemicals shall be labeled, stored and disposed of in a safe and responsible manner and marked with warning signs.
OIE 6.2.8 Aquatic animal producers should keep adequate records of antimicrobial agents used, bacteriological and susceptibility tests, and make such records available to the veterinarian or other aquatic animal health professional. Aquatic animal producers should inform the veterinarian or other aquatic animal health professional of recurrent disease problems and lack of efficacy of antimicrobial agent treatment regimes
BAP 10.10: Records shall be maintained for every application of drugs and other chemicals that include the date, compound used, reason(s) for use, dose, withdrawal time and harvest date. (See the Traceability requirement.)
BAP 12.3: The facility shall keep complete and accurate records concerning any antibiotic, pesticide or other drug use at the farm.

#### REFERENCES

OIE Aquatic Animal Health Code, Article 6.2.8.
BAP Salmon Farm Standards. Section 9, Clause 9.9; Section 10, Clauses 10.3 and 10.6, Section 4, Clauses 4.2 and 4.3; Clauses 9.2, 10.9, 8.6, 10.10, 12.3.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 03 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that workers employed in husbandry activities have been adequately trained and are aware of their responsibilities in aquatic animal health management practices.

#### GUIDANCE

The audit is expected include a review of evidence that relevant workers have been appropriately trained and aware of their responsibilities. Examples of suitable evidence could include suitable training or appropriate qualifications, and interviews with staff. The training of workers may be a component in a broader management system e.g., a health management plan.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes includes the following clauses:

BAP 10.6: The applicant shall adequately train farm staff in applying these biosecurity and health management procedures.
BAP 9.8: The applicant shall be able to demonstrate compliance with a written Water Quality Management Plan described in the
implementation requirements above that includes provisions for water quality monitoring, staff training, mitigation measures
for poor quality and procedures for the monitoring and control of dissolved oxygen during fish transport.
BAP 8.2: Farm staff shall be familiar with the MSHWDP and trained in aspects of it they may be required to implement. This will betested at audit by interview.
BAP 9.4: Where weather conditions allow, trained staff shall make at least daily inspections and reports on the culture facility, water quality, and behavior and condition of fish.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 10.6, 9.8, 8.2 and 9.4.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 04 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that aquatic animals are kept under farming conditions suitable for the species being raised.

#### GUIDANCE

The objective of this requirement is to verify that the species is being farmed in the proper environment to maintain its health. Due to the very broad nature of this Essential Component, specific guidance cannot be provided. Expected evidence could include requirements for farm siting (including permitting for the farm site and species), aquatic health plan maintenance, assurance or monitoring aquatic animal health, on-farm water quality and temperature monitoring, etc.

#### CONCLUSION

The BAP scheme is in alignment because Section 9 of the BAP Salmon Farm Standards - Version 2 - May 2015 covers this from the perspective of animal health and welfare:

BAP 9.2: The farm shall be located in waters where salmon would be expected to thrive, and farm facilities shall be clean and orderly.
BAP 9.8: The applicant shall be able to demonstrate compliance with a written Water Quality Management Plan described in the
implementation requirements above that includes provisions for water quality monitoring, staff training, mitigation measures
for poor quality and procedures for the monitoring and control of dissolved oxygen during fish transport.
BAP Section 4 also addresses water quality management:
BAP 4.2: For established farms, the applicant shall provide three years of monitoring data to show that the farm meets or exceeds
sediment and water quality criteria specified in 4.1, its operating permits and/or its own monitoring plan at current operating
levels.
BAP 4.3: For newly established farms, or farms that have expanded and do not yet have enough monitoring data, the applicant shall

provide an independent study that characterizes the hydrographic and benthic characteristics of the area and provides a consultant's opinion (without liability) that the farm can meet or exceed sediment and water quality criteria if operated correctly. This opinion shall be verified by reference to sampling results at the next audit.

#### REFERENCES

BAP Salmon Farm Standards, Section 9, Clauses 9.2 and 9.8 Section 4, Clauses 4.2 and 4.3.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 05 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures to respond to disease outbreaks, which includes the ability to quarantine the aquatic animal where feasible.

#### GUIDANCE

It is expected that disease response procedures would be a component of the aquatic animal health management system. Feasibility of quarantine depends on a combination of species, culture system and production environment. In cases where quarantine is applicable, a review of suitable evidence is expected to demonstrate and verify the ability to contain diseased aquatic animals.

#### CONCLUSION

The BAP scheme is in alignment because Section 10 of the BAP Salmon Farm Standards - Version 2 - May 2015 covers biosecurity and disease management:
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.
BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
BAP 10.4: The fish health professional shall ensure compliance with all legal requirements for disease testing, fish movements (including zoosanitary regulations of inbound and outbound transports), treatments for fish diseases and reporting of notifiable diseases.
BAP 10.5: Written procedures for the diagnosis and treatment of disease in fish shall include monitoring for endemic parasitic, bacterial and viral infections.
BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations. (See also Section 11.)
Also, In Section 9:
BAP 9.4: Where weather conditions allow, trained staff shall make at least daily inspections and reports on the culture facility, water quality, and behavior and condition of fish.
BAP 9.5: Staff status reports on the facility, water quality and fish conditions shall be documented, investigated and addressed by the fish health professional and/or farm management.

#### REFERENCES

BAP Salmon Farm Standards - Section 10, Clauses 10.1, 10.3, 10.4, 10.5 and 10.9; Clauses 9.4 and 9.5.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 06 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems for the early detection of aquatic animal health issues, which include routine monitoring of stocks and the environment.

#### GUIDANCE

Appropriate procedures are expected to include general health/behavioral inspections or testing for specific diseases with suitable monitoring (e.g., regular and including a suitable range of parameters, and of sufficient sample size to identify or anticipate disease outbreaks expediently, as well as increased surveillance when potential issues are identified.) Environmental monitoring is expected to include detection of unfavorable environmental quality factors that could adversely affect the health of the aquatic animal (e.g., water temperature and quality).

Verification is expected and could include reviews of written records and monitoring results to ensure procedures and/or systems are operational is also expected. This could also be captured in an aquatic health management plan.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses in Section 9:

BAP 9.4: Where weather conditions allow, trained staff shall make at least daily inspections and reports on the culture facility, water quality, and behavior and condition of fish.
BAP 9.5: Staff status reports on the facility, water quality and fish conditions shall be documented, investigated and addressed by the fish health professional and/or farm management.
Section 10, covering biosecurity, disease management and animal health and welfare, requires wittten procedures for disease diagnosis in a Fish Health Management Plan: "Monitoring for endemic or locally identified parasitic, bacterial and viral infections, and recording of findings and actions taken, which may or may not be mandated by government; Guidelines on indicators for disease that direct farm staff as they tend fish or remove dead fish from the cages, and provide procedures for timely reporting if an indicator is observed; A written response plan to be followed by the fish health professional to ensure rapid diagnosis if disease is suspected, followed by prompt treatment."
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.
BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
BAP 10.4: The fish health professional shall ensure compliance with all legal requirements for disease testing, fish movements (including zoosanitary regulations of inbound and outbound transports), treatments for fish diseases and reporting of notifiable diseases.
BAP 10.5: Written procedures for the diagnosis and treatment of disease in fish shall include monitoring for endemic parasitic, bacterial and viral infections.

#### REFERENCES

BAP Salmon Farm Standards, Section 9, Clauses 9.4 and 9.5; Section 10, Clauses 10.1, 10.3, 10.4 and 10.5.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 07 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that mortalities and moribund aquatic animals are routinely collected, where collection is a feasible practice.

#### GUIDANCE

GSSI expects this Essential Component to be applied where collection is a feasible function of good management practice (e.g., finfish grow out). Examples where this is not suitable could include where aquatic animals may be too small to effectively collect (e.g., shrimp farming). Record keeping on the numbers of, and reason for, mortalities is expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:
BAP 9.6: When impaired fish and unwanted species are removed, their number, total weight and condition shall be recorded. They shall be killed by humane techniques, with the carcasses disposed of in a manner that ensures biosecurity and in accordance with applicable local and state regulations and/or the provisions of Section 8.
BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
BAP 10.8: Observations by farm staff of disease indicators and resulting actions concerning disease diagnosis and treatment shall be recorded.
The BAP standard requires a written, Fish Health Management Plan that includes: "A recovery and disposal plan for dead fish in the event of a mass kill, with available equipment in place and identified services that can be called on to help quickly."

#### REFERENCES

BAP Salmon Farm Standards, Clauses 9.6, 10.3 and 10.8.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 08 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility has operational fish health management practices, specifically favoring effective biosecurity and available vaccines, including introductions and transfers of farmed animals where relevant, which is overseen by an aquatic animal health professional.

#### GUIDANCE

It is expected that the standard will contain sufficient elements and/or audit of culture practices for an operational program relative to the scale, species, and production systems covered by the standard's scope, including a focus on disease prevention (e.g. the use of vaccines). The content of the measures are expected to be overseen (but not necessarily full time employment) of an aquatic animal health professional.

RELATED SUPPLEMENTARY COMPONENTS

C.1 08 01 C.1 08 02 C.1 08 03 C.1 08 04 C.1 08 05 C.1 08 06 C.1 08 07 C.1 08 08

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 requires a written, detailed biosecurity plan with a focus on preventative controls. This plan must link to the Health Management Plan (Section 10).
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.
BAP 10.2: The applicant shall show that the designated fish health professional has the required licenses and accreditations to act in the farming region.
BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
BAP 10.4: The fish health professional shall ensure compliance with all legal requirements for disease testing, fish movements (including zoosanitary regulations of inbound and outbound transports), treatments for fish diseases and reporting of notifiable diseases.
BAP 10.7: All smolts brought into the farm shall be free from diseases and parasites specified in applicable national health regulations, and shall be vaccinated against diseases for which effective vaccines are available prior to stocking.
The BAP standard requires a written, Fish Health Management Plan that includes:
• A plan for the cyclical production of fish that mandates a fallow period of at least eight weeks after the completion of harvesting and before restocking, and that is coordinated with neighboring BAP-certified farms and, where there is an established Area Management Agreement, with all farms in the AMA.
• Assurance that only smolts certified clinically healthy and free of diseases and parasites specified in applicable national fish health regulations are brought onto the farm.
• Vaccination of fish before they are brought onto a farm and revaccination, if needed, at the direction of the fish health professional.
• Cleaning and disinfection of all fish-handling equipment before it enters or leaves the farm.
• Management and/or limitation of "visiting" vessels from sites of higher or unknown risk, and a supplemental plan for increased oversight in the event of disease concerns.
• Disinfection or changes of footwear by all personnel entering or leaving the farm.
• Accurate recording of all fish movements and transfers to, from and within the farm.
• A requirement to move to the use of closed well boats when transporting fish, as methods and equipment become available.
• Procedures for the accurate and regular cage-by-cage recording, examination and sanitary disposal of dead fish recovered as "normal mortality" from cages.
• An alert status that defines extra precautions, checks on fish and increased vigilance if an occurrence of infectious disease is known or suspected in the region.
• A recovery and disposal plan for dead fish in the event of a mass kill, with available equipment in place and identified services that can be called on to help quickly.
• Monitoring for endemic or locally identified parasitic, bacterial and viral infections, and recording of findings and actions taken, which may or may not be mandated by government.
• Guidelines on indicators for disease that direct farm staff as they tend fish or remove dead fish from the cages, and provide procedures for timely reporting if an indicator is observed.
• A written response plan to be followed by the fish health professional to ensure rapid diagnosis if disease is suspected, followed by prompt treatment.
• Written procedures based on current guidelines for best professional veterinary practices on how medicinal treatments with drugs, vaccines or anesthetics, and any non-medicinal use of chemicals (i.e., for disinfection or water treatment) shall be selected and administered in order to minimize risks to human health and the environment.
• Written procedures for recording withdrawal times to minimize the risk of residues remaining in the fish.
• Where possible and where the welfare of the fish will not be compromised by delay in treatment, a procedure for antibiotic sensitivity or resistance testing prior to each subsequent course of treatment with the same antibiotic and for recording of trends.

#### REFERENCES

BAP Salmon Farm Standards, Section 10, Clauses 10.1, 10.2, 10.3, 10.4 and 10.7.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 09 OFF-FARM DISEASE TRANSMISSION

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish and implement procedures for the disposal of mortalities using appropriate methods that prevent the spread of disease.

#### GUIDANCE

Given the nature of this requirement, the standard may appear as a general requirement; however verification that practices are employed is expected. Relevant examples can be found in Articles 4.7.7 and 4.7.8 of the Aquatic Animal Health Code 2015 (see *www.oie.int/index.php?id=171&L=0&htmfile=chapitre_aquatic_animal_waste.htm).*

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clause:

BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
In addition, the Fish Health Management Plan must include: "A recovery and disposal plan for dead fish in the event of a mass kill, with available equipment in place and identified services that can be called on to help quickly."

#### REFERENCES

BAP Salmon Farm Standards, Clause 10.3.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 10 OFF-FARM DISEASE TRANSMISSION

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems to reduce the likelihood of disease and parasite transmission within and between the aquaculture facility and natural aquatic fauna.

#### GUIDANCE

Appropriate procedures or systems are expected to address both on farm disease and parasite transfer (such as the ability to quarantine diseased stocks, separating equipment) as well as between the facility and natural fauna (such as disinfection of effluents for diseased stocks, fallowing). The approach taken would be expected to be relevant to the species, production system, scale of production, and legal requirements. Can be "not applicable" with suitable justification provided by the scheme.

Where pathogens or parasites are a known concern (for example, sea lice on farmed salmon); Appropriate procedures or systems are expected to include specific requirements or actions defined in the standard or specified by the aquaculture facility through a suitable risk assessment or other evidence such as local or national regulations. Appropriate management measures in these cases could include treatment trigger levels of parasite numbers on the farm-facility or siting requirements that require that the aquaculture facility is located at suitable distances from wild populations.

Verification that the management measures are suitable and employed is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.1 10 01

#### CONCLUSION

The BAP scheme is in alignment because Section 10 of the BAP Salmon Farm Standards - Version 2 - May 2015 covers the requirements for biosecurity and addresses the spread of disease within and beyond the farm and requires:
• A plan for the cyclical production of fish that mandates a fallow period of at least eight weeks after the completion of harvesting and before restocking, and that is coordinated with neighboring BAP-certified farms and, where there is an established Area Management Agreement, with all farms in the AMA.
• Assurance that only smolts certified clinically healthy and free of diseases and parasites specified in applicable national fish health regulations are brought onto the farm.
• Vaccination of fish before they are brought onto a farm and revaccination, if needed, at the direction of the fish health professional.
• Cleaning and disinfection of all fish-handling equipment before it enters or leaves the farm.
• Management and/or limitation of "visiting" vessels from sites of higher or unknown risk, and a supplemental plan for increased oversight in the event of disease concerns.
• Disinfection or changes of footwear by all personnel entering or leaving the farm.
• Accurate recording of all fish movements and transfers to, from and within the farm.
• A requirement to move to the use of closed well boats when transporting fish, as methods and equipment become available.
• Procedures for the accurate and regular cage-by-cage recording, examination and sanitary disposal of dead fish recovered as "normal mortality" from cages.
• An alert status that defines extra precautions, checks on fish and increased vigilance if an occurrence of infectious disease is known or suspected in the region.
• A recovery and disposal plan for dead fish in the event of a mass kill, with available equipment in place and identified services that can be called on to help quickly.
The relevant clauses are:
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.
BAP 10.3: The applicant shall have written biosecurity and health management plans consistent with the implementation requirements, which shall include procedures for site fallowing, cleaning of farm equipment, visitor and vessel hygiene precautions, sanitary disposal of dead fish, increased vigilance if disease is suspected, sea lice management procedures and plans for disposal in the event of a mass fish kill, and shall be able to demonstrate compliance with them.
BAP 10.4: The fish health professional shall ensure compliance with all legal requirements for disease testing, fish movements (including zoosanitary regulations of inbound and outbound transports), treatments for fish diseases and reporting of notifiable diseases.
BAP 10.5: Written procedures for the diagnosis and treatment of disease in fish shall include monitoring for endemic parasitic, bacterial and viral infections.
BAP 10.6: The applicant shall adequately train farm staff in applying these biosecurity and health management procedures.
BAP 10.7: All smolts brought into the farm shall be free from diseases and parasites specified in applicable national health regulations, and shall be vaccinated against diseases for which effective vaccines are available prior to stocking.
BAP 10.8: Observations by farm staff of disease indicators and resulting actions concerning disease diagnosis and treatment shall be recorded.
BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations. (See also Section 11.)
BAP 10.12: If the applicant is a member of an Area Management Agreement (Section 2), the farm shall demonstrate compliance with the fish health management requirements of the AMA or, if an AMA is not yet in place, that it coordinates fish health management activities with other BAP-certified farms in an area twice the regulatory minimum separation distance to an upper limit of 5 kilometers.
BAP 10.13: The applicant shall demonstrate compliance with national or regional rules designed to minimize parasite reproduction and optimize control.
Also in Sections 2 and 4:
BAP 2.7: Where an AMA [Area Management Agreement] has not been established, applicants shall nevertheless demonstrate cooperation on matters of stocking, fallowing, fish health and biosecurity with BAP-certified farms within an area twice the regulatory minimum separation distance to an upper limit of a 5-kilometer radius.
BAP 4.9: Production cycles, fallowing and nutrient monitoring shall be coordinated with the other neighboring BAP applicants or certified farms, or with members of an established AMA.

#### REFERENCES

BAP Salmon Farm Standards, Section 10, Clauses 10.1, 10.3, 10.4, 10.5, 10.6, 10.7, 10.8, 10.9, 10.12 and 10.13; Clauses 2.7 and 4.9.

# C.1 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 11 RECORD KEEPING

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility maintain records on veterinary drug and chemical usage and the rationale for their use.

#### GUIDANCE

Verification that suitable records are maintained is expected. Suitable records are expected to include type, concentration, and dosage, method of administration and withdrawal times of chemicals and veterinary drugs and the rationale for their use.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.
BAP 10.10: Records shall be maintained for every application of drugs and other chemicals that include the date, compound used, reason(s) for use, dose, withdrawal time and harvest date.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 10.9 and 10.10

# C.2 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 01 CHEMICAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate system for the application of chemicals and veterinary drugs.

#### GUIDANCE

An appropriate system could conform to the relevant sections of Article 6.2.7 and 6.2.8 of the Aquatic Animal Health Code (2015) *(www.oie.int/index.php?id=171&L=0&htmfile=chapitre_antibio_resp_prudent_use.htm)* or other suitable reference. The system is expected to ensure that the application of the product follows the instructions of the manufacturer or other competent authority. Verification that the system is operational is also expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.
BAP 12.3: The facility shall keep complete and accurate records concerning any antibiotic, pesticide or other drug use at the farm.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 10.9, 10.1 and 12.3.

# C.2 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 02 CHEMICAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires appropriate controls for all chemicals, incl. veterinary drugs, that enter the environment (whether already covered by GSSI Essential Components or not) in order to minimize adverse impacts on environmental quality.

#### GUIDANCE

It is expected that the standard will require all chemicals used by the aquaculture facility and that will enter the environment are at least used according to the manufacturer's guidance (such as on label requirements or Safety Data Sheets (SDS) or, in the case of veterinary drugs, the guidance of the aquatic animal health professional.

In addition, for chemicals that pose a high risk of adverse impacts to environmental quality -- these could be specifically defined by the standard (e.g., copper-based anti-foulant treatments in marine cage aquaculture) or identified through a risk based self-assessment by the farmer (e.g., an environmental risk assessment)-- it is expected that the standard or the risk-assessment will define any necessary additional requirements to minimize the impacts (e.g., EQS limits for copper residues in the benthic environment).

RELATED SUPPLEMENTARY COMPONENTS

C.2 02 01 C.2 02 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 contains the followng clauses:
BAP 8.1: The applicant shall have a written Material Storage, Handling and Waste Disposal Plan that includes the BAP requirements for proper handling and disposal as outlined in the implementation requirements above and be able to demonstrate compliance with it.

BAP 8.2: Farm staff shall be familiar with the MSHWDP and trained in aspects of it they may be required to implement. This will be tested at audit by interview.
BAP 8.4: An inventory shall be kept of all hazardous materials or wastes (chemotherapeutants and materials that are hazardous to people) stored on or disposed of by the farm.
BAP 8.5: Material safety data sheets shall be available for all hazardous materials.
BAP 8.6: Fuel, lubricants and chemicals shall be labeled, stored and disposed of in a safe and responsible manner and marked with warning signs.
BAP 8.7: Precautions shall be taken to prevent spills, fires and explosions, and procedures and supplies shall be readily available to manage chemical and fuel spills or leaks.
BAP 8.9: Garbage and other solid waste shall be disposed of in compliance with local regulations and shall avoid environmental contamination.
BAP 8.10: If any farm nets are treated with copper or other toxicant-based antifouling materials, cleaning procedures shall collect, treat and dispose of wash water in compliance with national regulations regarding collection, treatment and disposal of such toxic wastes.
BAP 8.11: In farms that are shifting from the use of antifoulants to in situ net cleaning, copper-based antifoulant-treated nets may be cleaned in situ if the nets have first been cleaned ashore by approved methods (8.10) and not retreated before redeployment.
BAP 8.12: The applicant shall have a written waste reduction plan and be able to demonstrate compliance with it, including a program to test alternatives to the use of toxicant-based antifoulant paints on farm nets.
BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 8.1, 8.2, 8.4, 8.5, 8.6, 8.7, 8.9, 8.10, 8.11, 8.12 and 10.9.

# C.2 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 03 LEGAL COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility operates in compliance with relevant national and local laws with regard to the application of chemicals and veterinary drugs.

**GUIDANCE**

Verification is expected to include a review evidence to support compliance with relevant laws.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.
BAP 10.2: The applicant shall show that the designated fish health professional has the required licenses and accreditations to act in the farming region.
BAP 10.4: The fish health professional shall ensure compliance with all legal requirements for disease testing, fish movements (including zoosanitary regulations of inbound and outbound transports), treatments for fish diseases and reporting of notifiable diseases.
BAP 1.3: Current documents shall be available to prove compliance with applicable environmental and other regulations for construction and operation.
BAP 11.1: Antibiotics or chemicals that are proactively prohibited in the producing or importing country shall not be used in feeds or any treatment that could result in harmful residue in fish.
BAP 11.2: Documentation shall be available that states all fish in the farm have been grown from smolts reared without the use of proactively prohibited medicines such as malachite green or other substances prohibited in food animals.
BAP 11.3: Documents shall be available from feed manufacturers that state antibiotics or other drugs are not present in non-medicated feed, that provide details of drugs or antibiotics in medicated feeds and state that levels of heavy metals and PCBs/dioxins in feed are below limits for those compounds set by the countries in which the plants operate.

**REFERENCES**

BAP Salmon Farm Standards, Clauses 10.1, 10.2, 10.4, 1.3, 11.1, 11.2 and 11.3.

# C.3 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 01 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility and its daily operations ensure that good culture and hygienic conditions are maintained.

#### GUIDANCE

This is a general Essential Component that covers a range of potential issues depending on the type of production system, species being cultured, and the local environment, and as such there is a need for flexibility in how consistency is achieved. It is expected that the following issues would be addressed and the systems verified to be operational:

- Appropriate storage of chemicals and fuel (e.g., stored in a lockable, labeled facility, limited access by personnel, leakage prevention - all based on Safety Data Sheets (SDS) (see figure 4.14 of the A Guide to The Globally Harmonized System of Classification and Labeling of Chemicals (GHS), available at: *www.osha.gov/dsg/hazcom/ghsguideoct05.pdf)*
- Appropriate storage of feed (e.g., stored separately from sources of contamination, accurately labeled, keeping medicated and non-medicated feed separated.)
- Appropriate pest control (e.g., prevent contamination of feed, chemicals by rodents or insects etc.)
- Domestic sewage control/disposal to avoid local contamination
- General farm waste (e.g., empty feed bags, household rubbish, food containers etc.).

RELATED SUPPLEMENTARY COMPONENTS

C.3 01 01 C.3 01 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 contains the following clauses:

BAP 8.1: The applicant shall have a written Material Storage, Handling and Waste Disposal Plan that includes the BAP requirements for proper handling and disposal as outlined in the implementation requirements above and be able to demonstrate compliance with it.
BAP 8.2: Farm staff shall be familiar with the MSHWDP and trained in aspects of it they may be required to implement. This will be tested at audit by interview.
BAP 8.3: Feed shall be stored so that it is protected from spoilage or infestation by pests and vermin.
BAP 8.4: An inventory shall be kept of all hazardous materials or wastes (chemotherapeutants and materials that are hazardous to people) stored on or disposed of by the farm.
BAP 8.5: Material safety data sheets shall be available for all hazardous materials.
BAP 8.6: Fuel, lubricants and chemicals shall be labeled, stored and disposed of in a safe and responsible manner and marked with warning signs.
BAP 8.7: Precautions shall be taken to prevent spills, fires and explosions, and procedures and supplies shall be readily available to manage chemical and fuel spills or leaks.
BAP 8.8: Garbage from housing and food waste shall be retained in water-tight receptacles with covers to protect contents from insects, rodents and other animals.
BAP 8.9: Garbage and other solid waste shall be disposed of in compliance with local regulations and shall avoid environmental contamination.
BAP 11.6: Where there is a discharge of potential contaminants within 5 kilometers of a farm, the farm shall check for that contaminant in the flesh of exposed fish on at least an annual basis and verify that levels are below those required by the exporting and importing countries.
BAP 11.7: Equipment and containers used to harvest and transport fish shall be clean and free of lubricants, fuel, metal fragments and other foreign material.
BAP 11.8: Ice in which fish are placed following harvest shall be made from potable water or seawater that has been disinfected to an equivalent standard.

#### REFERENCES

BAP Salmon Farm Standard, Clauses 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 8.8, 8.9, 11.6, 11.7 and 11.8.

# C.3 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 02 GENERAL ENVIRONMENTAL MANAGEMENT

The standard requires that aquaculture facility infrastructure is appropriately maintained in order to prevent pollution, whether from construction, operation or decommissioning (e.g., including the following requirement:

- A requirement for derelict or damaged gear to be collected and disposed of responsibly.)

Given the wide variety of production systems in aquaculture specific guidance cannot be provided and flexibility by the evaluator is required using a risk-based approach. Examples could include the requirement for derelict or damaged gear in shellfish or cage aquaculture to be collected and disposed of responsibly, or for that waste from pond construction is not placed in mangrove forests in shrimp farming. It is expected that specific requirements or risk-based management systems would be required where appropriate, along with suitable verification. These requirements may also be included in other Standards, such as sensitive habitat protection or escape prevention.

RELATED SUPPLEMENTARY COMPONENTS

C.3 02 01 C.3 02 02

### CONCLUSION

The BAP scheme is in alignment because two sections of the BAP Salmon Farm Standards - Version 2 - May 2015 are aimed at controlling pollution:

Section 4. Sediment and Water Quality
Section 8. Storage and Disposal of Farm Supplies
In addition, the following specific clauses apply:
BAP 8.1: The applicant shall have a written Material Storage, Handling and Waste Disposal Plan that includes the BAP requirements for proper handling and disposal as outlined in the implementation requirements above and be able to demonstrate compliance with it.
The implementation requirements for BAP 8.1 specify:
• Procedures for the sanitary storage and handling of feed and its protection from vermin.
• A current inventory of all hazardous materials used and wastes stored and/or disposed of by the farm.
• Availability of material safety data sheets on site for all hazardous materials in the inventory.
• Procedures for the storage, transport, handling, labeling and use of fuel, oil, chemicals and other potentially toxic materials used on the farm that limit the risk of accidental spills and release into the environment. Secondary containment shall be provided for individual or multiple fuel storage tanks. The containment volume shall be equivalent to the total stored volume plus 10%.
• Refueling, maintenance and record-keeping procedures for all equipment that uses oil or fuel in order to prevent leaks or spills and ensure that used oil is sent to an approved handling facility.
• Procedures for the collection, storage and disposal of trash, garbage, refuse and other waste materials.
• Procedures and the necessary materials and equipment for emergency containment and cleanup of spilled materials.
• Procedures for washing nets treated with copper or other toxicant-based antifouling materials. Nets treated with antifoulant that is deemed toxic, such as cooper, shall be cleaned out of the water at a licensed off-farmnet-cleaning establishment, or on the farm if equipment and procedures are in place to treat the wash water and collect the solid waste before disposal. In all cases, methods of collection and treatment shall comply with national or regional regulations governing the disposal of toxic wastes.
• Procedures for the sanitary storage and disposal of human waste (black water).
• Procedures for recycling waste, where this is feasible.
• Procedures for the safe disposal of materials deemed surplus or out of date, including medicated feed.
• A written waste reduction plan for measuring and recording waste volumes and how such volumes will be reduced by recycling or other means over time.
• The waste reduction plan shall include a program to test alternatives to the use of toxicant-based antifoulant paints on farm nets with the goal of reducing release of toxicants to the environment, especially toxicant particles that can accumulate in marine sediments.

BAP 6.2: Local rules notwithstanding, the applicant shall demonstrate that the farm meets the BAP procedural, performance, documentation and reporting requirements for fish containment required by the Fish Containment Plan outlined under Implementation above, which shall include a classification of the farm site, an engineer's structural report, a mooring certification, an escape risk analysis, monitoring procedures that respond to the risk analysis, predator deterrence procedures, precautions related to the use of boats, fish handling procedures and inventory accounting procedures.
The specific implementation requirements for BAP 6.2 include:
• Net inventory management procedures that track the ages of all nets on the farm or in storage, and provide strength tests on all nets between crops or every two years, whichever period is shorter. Nets shall be retired when their strength is below levels specified in local regulations or, where there are none, below the manufacturer's or supplier's recommendations.
• Cage inspection procedures that ensure all operational nets are surface checked for holes at least weekly and checked sub-surface at least every four weeks. Nets and cage superstructure shall be checked for holes and other indications of structural damage after risk events such as storms or big tides.

### REFERENCES

BAP Salmon Farm Standards, Sections 4 and 8; Clauses 8.1 and 6.2.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 01 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacturer that can trace fish meal and fish oil (>1% inclusion) to the species and, at least, to the country of origin.

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 5.1: The applicant shall source feed from a BAP-certified feed mill or a feed mill that declares and documents compliance with the BAP feed mill standards criteria for fishmeal and fish oil conservation.
BAP 5.2: Documents from feed suppliers shall be available that assure the traceability to source of marine protein and lipid ingredients present in feed at levels of 1% and non-marine ingredients at levels of 10% or greater.
The relevant BAP Feed Mill Standards are:
FM 3.1: The applicant shall obtain declarations from suppliers on the species and fishery origins of each batch of fishmeal and fish oil.
FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 5.1 and 5.2.
BAP Feed Mills Standard, Clauses 3.1 and 3.3.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 02 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacture that prohibits fishmeal and fish oil from endangered species.

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

Endangered species are expected to be defined in the Standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See *www.iucnredlist.org* and *www.cities.org* for more information.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following statement in Section 5:

"To promote the responsible sourcing of marine ingredients, the applicant shall obtain feed from a BAP-certified feed mill or a feed mill that declares and documents compliance with BAP feed mill standards 3.1 and 3.3. These standards address sourcing policies on marine ingredients, covering traceability for species and origin, and the exclusion of any species designated on the IUCN Redlist as endangered or critically endangered."
The relevant BAP Feed Mill Standards are:

FM 3.1: The applicant shall obtain declarations from suppliers on the species and fishery origins of each batch of fishmeal and fish oil, and
FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil.

#### REFERENCES

BAP Salmon Farm Standards, Section 5
BAP Feed Mills Standard, Clauses 3.1 and 3.3.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 03 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacture that prohibits the use of fishmeal and fish oil from illegal, unreported, and unregulated fishing (I.U.U.).

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

#### CONCLUSION

The BAP scheme is in alignment because BAP 5.1 of the BAP Salmon Farm Standards - Version 2 - May 2015 requires compliance with BAP Feed Mill Standard, FM 3.3.

BAP 5.1: Facilities shall source feed from a BAP-certified feed mill or a feed mill that declares and documents compliance with the BAP feed mill standards criteria for fishmeal and fish oil conservation.
FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil from responsibly managed fisheries.
The plans of action (in FM 3.3) must address how to avoid:

• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as "subject to overfishing," "overfished," "harvested unsustainably," "fishery closed," "stock overexploited," "no fishing recommended," "stock critical," "endangered" or "critically endangered."
• Any products of the same genus as the species for which the feed is intended.

#### REFERENCES

BAP Salmon Farm Standards, Clause 5.1.
BAP Feed Mills Standard, Clause 3.3.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility sources feed from a manufacturer that has a written policy which includes assessment of source fishery status and identification of improvement needs and work plan to deliver improvements.
The policy must include a commitment and timeline to source aquaculture and fishery products from responsible/best practice sources, such as those certified a standard benchmarked at minimum consistent with relevant FAO's ecolabelling guidelines or by identified independent risk assessment.

#### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).
The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

RELATED SUPPLEMENTARY COMPONENTS

C.4 04 01 C.4 04 02 C.4 04 03 C.4 04 04 C.4 04 05 C.4 04 06 C.4 04 07

#### CONCLUSION

The BAP scheme is in alignment because BAP 5.1 of the BAP Salmon Farm Standards - Version 2 - May 2015 requires compliance with BAP Feed Mill Standard, FM 3.3, which requires the development of a plan to avoid unsustainable sources and transition to certified sources as they become available:

FM 3.3: The applicant shall create and implement clear, written plans of action that define policies for sourcing all fishmeal and fish oil from responsibly managed fisheries.

In Section 3 of the BAP Feed Mills Standard, the plans of action must address how to avoid:

• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as "subject to overfishing," "overfished," "harvested unsustainably," "fishery closed," "stock overexploited," "no fishing recommended," "stock critical," "endangered" or "critically endangered."
• Any products of the same genus as the species for which the feed is intended.
Aquafeed producers shall actively favor marine oils and proteins derived from fisheries that are classified by reputable international third parties such as the FAO and ICES as sustainably fished, fully fished or underexploited. One example of an appropriate tool for developing a responsible sourcing plan is the FishSource data bank created by the Sustainable Fisheries Partnership (http://www.fishsource.com).

#### REFERENCES

BAP Salmon Farm Standards, Clause 5.1.
BAP Feed Mills Standard, Clause 3.3.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 05 FEED BIOSECURITY

**GSSI ESSENTIAL COMPONENT**

The standard prohibits the use of whole fish as a direct feed source in grow-out.

**GUIDANCE**

Verification is expected to include a suitable review of evidence, such as feed use records, visual observation, and financial records in aquaculture industries where this is common practice.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 only allows the use of compound feeds from reputable feed mills and thus excludes feeding of whole fish.

BAP 9.3: Fish shall be fed feed made by a reputable feed company and subject to the requirements for documentation specified in Section 5.
BAP 5.1: The applicant shall source feed from a BAP-certified feed mill or a feed mill that declares and documents compliance with the BAP feed mill standards criteria for fishmeal and fish oil conservation.
BAP 12.4: Complete and accurate records regarding manufacturer and lot numbers for each feed used shall be maintained.
BAP 12.5: The facility shall maintain complete and accurate records of the sources and numbers of juvenile fish (smolts) stocked, stocking dates and all feeds used for each culture unit.

**REFERENCES**

BAP Salmon Farm Standards, Clauses 9.3, 5.1, 12.4 and 12.5.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 06 FEED BIOSECURITY

**GSSI ESSENTIAL COMPONENT**

The standards prohibit aquatic feed protein from the same species and genus as the species being farmed.

**GUIDANCE**

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

**CONCLUSION**

The BAP scheme is in alignment because BAP 5.1 of the BAP Salmon Farm Standards - Version 2 - May 2015 requires compliance with BAP Feed Mill Standard.
FM 3.3: The applicant shall develop and implement a clear, written plan of action defining policies for responsibly sourcing fishmeal and fish oil from responsibly managed fisheries.

The plans of action must address how to avoid:
• Use of fishmeal or fish oil sourced from illegal, unreported or unregulated fisheries, or by-products from such fisheries.
• Fishmeal or fish oil sourced from fish or fish byproducts from fisheries designated by the International Council for the Exploration of the Sea (ICES), Food and Agriculture Organization (FAO) of the United Nations, National Marine Fisheries Service of the United States, International Union for Conservation of Nature or Commission for the Conservation of Antarctic Marine Living Resources as "subject to overfishing," "overfished," "harvested unsustainably," "fishery closed," "stock overexploited," "no fishing recommended," "stock critical," "endangered" or "critically endangered."
• Any products of the same genus as the species for which the feed is intended.

**REFERENCES**

BAP Salmon Farm Standards, Clause 5.1.
BAP Feed Mills Standard, Clause 3.3.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 07 FEEDING EFFICIENCY

**GSSI ESSENTIAL COMPONENT**

Where applicable, the standard requires that the aquaculture facility has suitable measures in place to ensure that feed is used efficiently at the individual production unit level.

**GUIDANCE**

Suitable measures are expected to be part of a wider feed management system, such as the use of feed trays, cameras, pellet sensors, documented records of visual feed response, staff training. Verification that the measures are operational and fit for purpose is also expected.

**CONCLUSION**

The BAP scheme is in alignment because Section 9 of the BAP Salmon Farm Standards - Version 2 - May 2015 states that: "Farms shall provide facilities for holding and rearing fish that allow them to thrive. High-quality feed should be offered at regular intervals." In addition, the following clauses are applicable:

BAP 9.4: Where weather conditions allow, trained staff shall make at least daily inspections and reports on the culture facility, water quality, and behavior and condition of fish.
BAP 5.4: The facility shall calculate and record a feed-conversion ratio for each year class.
BAP 5.5: The facility shall calculate and achieve a final fish in:fish out ratio of 1.5 or less for each year class harvested.
BAP 12.5: The facility shall maintain complete and accurate records of the sources and numbers of juvenile fish (smolts) stocked, stocking dates and all feeds used for each culture unit.
BAP 4.8: Data that will enable the farm's feed-based carbon and nitrogen discharges to be calculated shall be collected and recorded, and may be required to be submitted to the BAP database for future use in BAP-sponsored research.

**REFERENCES**

BAP Salmon Farm Standards, Section 9, Clause 9.4; Clauses 5.4, 5.5, 12.5 and 4.8.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 08 LEGAL COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The standard requires that feed, feed additives, feed ingredients, and fertilizers used are compliant with relevant national and local laws

**GUIDANCE**

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

**CONCLUSION**

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 9.3: Fish shall be fed feed made by a reputable feed company and subject to the requirements for documentation specified in Section 5.
BAP 11.1: Antibiotics or chemicals that are proactively prohibited in the producing or importing country shall not be used in feeds or any treatment that could result in harmful residue in fish.
BAP 11.2: Documentation shall be available that states all fish in the farm have been grown from smolts reared without the use of proactively prohibited medicines such as malachite green or other substances prohibited in food animals.
BAP 11.3: Documents shall be available from feed manufacturers that state antibiotics or other drugs are not present in non-medicated feed, that provide details of drugs or antibiotics in medicated feeds and state that levels of heavy metals and PCBs/ dioxins in feed are below limits for those compounds set by the countries in which the plants operate.
BAP 10.9: If used, drug treatments shall be based on authorizations by the fish health professional, who shall be guided by the FHMP and principles of best practice for the veterinary profession. The health professional shall prescribe medicines only to treat diagnosed diseases in accordance with instructions on product labels and national regulations.

**REFERENCES**

BAP Salmon Farm Standards, Clauses 9.3, 11.1, 11.2, 11.3 and 10.9.

# C.4 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

### C.4 09 RECORD KEEPING

**GSSI ESSENTIAL COMPONENT**

The standard requires that appropriate records are kept on all feed use.

**GUIDANCE**

Appropriate records are expected to include feed source, feed Batch/Lot/ID number, date of purchase, feed conversion ratio (FCR), and, where appropriate, feed inclusion percentages of fishmeal and fish oil or a fish in: fish out ratio. Appropriate records are expected to be kept for each individual production unit. Verification of appropriate record keeping and suitable documentation from feed manufacturers is also expected.

**CONCLUSION**

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 12.4: Complete and accurate records regarding manufacturer and lot numbers for each feed used shall be maintained.
BAP 12.5: The facility shall maintain complete and accurate records of the sources and numbers of juvenile fish (smolts) stocked, stocking dates and all feeds used for each culture unit.

**REFERENCES**

BAP Salmon Farm Standards, Clauses 12.4 and 12.5.

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 01 BENTHIC HABITATS

#### GSSI ESSENTIAL COMPONENT

For cage production systems, the standard requires appropriate management measures for preventing excessive impacts of aquaculture facility waste on benthic environments.

#### GUIDANCE

Appropriate measures for marine cage production systems are expected to consider biological, chemical and physical impacts and additional chemical residues resulting from culture practices. Where relevant, they should conform to ISO 16665. The use of systems combining suitable allowable zones of effect and environmental quality standards of effect are expected. Verification that the measures are operational and fit for purpose is expected. Evidence of the prevention of adverse impacts could include comparisons with baseline conditions, reference locations, or standardized limits with a suitable justification for their use. Where adverse impacts are detected it is expected that appropriate mitigation measures/ remedial action for the identified adverse impacts on the surrounding natural ecosystem are applied.

While generally recognized as a marine cage issue, benthic impacts can also occur in freshwater cage systems. The degree of management measures should reflect the degree of potential impacts relative to the environment, production system, species, and size of production.

#### CONCLUSION

The BAP scheme is in alignment for cages in marine environments because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 4.1: The applicant shall provide documents that describe local standards for benthic impacts under salmon farms, which shall include the benthic indicator "trigger level" above which the farm would not be in full compliance with the local standard, where this is clearly defined, or with its intent where it is not clearly defined.
BAP 4.2: For established farms, the applicant shall provide three years of monitoring data to show that the farm meets or exceeds sediment and water quality criteria specified in 4.1, its operating permits and/or its own monitoring plan at current operating levels.
BAP 4.3: For newly established farms, or farms that have expanded and do not yet have enough monitoring data, the applicant shall provide an independent study that characterizes the hydrographic and benthic characteristics of the area and provides a consultant's opinion (without liability) that the farm can meet or exceed sediment and water quality criteria if operated correctly. This opinion shall be verified by reference to sampling results at the next audit.
BAP 4.4: For farms in countries where sediment monitoring is not required and/or a sediment impact zone is not defined as a condition of the farms' operating permits, the applicant shall write and implement a monitoring plan consistent with the provisions under Implementation above.
BAP 4.5: Monitoring of sediment conditions shall be undertaken at the time of peak feeding during the production cycle and shall be conducted according to the requirements of the farm's operating permits or its own plan in countries or regions where sediment monitoring is not required, and as specified in the implementation requirements.
BAP 4.6: Sediment sampling and analysis performed as part of the monitoring program shall be conducted according to methods generally accepted for such use in the region in which production is occurring.
BAP 4.7: The results of sediment monitoring shall be reported to and approved by the appropriate regulators. Where regulatory approval is conditional upon implementing a program of remedial action, this shall have been implemented and completed to show compliance with 4.1.
BAP 4.8: Data that will enable the farm's feed-based carbon and nitrogen discharges to be calculated shall be collected and recorded, and may be required to be submitted to the BAP database for future use in BAP-sponsored research.
BAP 4.9: Production cycles, fallowing and nutrient monitoring shall be coordinated with the other neighboring BAP applicants or certified farms, or with members of an established AMA.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 4.7, 4.8 and 4.9.

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 02 PREDATOR CONTROL

#### GSSI ESSENTIAL COMPONENT

The standard prohibits the use of any lethal predator control techniques on endangered species. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

#### GUIDANCE

Verification of the predator controls used, appropriate record keeping, and details of the endangered species in the region of the aquaculture facility are expected. Examples of supporting evidence of non-use could include interview, appropriate signage, and mortality records. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

Endangered species are expected to be defined in the standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See *www.iucnredlist.org* and *www.cities.org* for more information.

RELATED SUPPLEMENTARY COMPONENTS

C.5 02 01 C.5 02 02

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:

BAP 7.5: The applicant shall actively favor passive and/or non-lethal methods of predator control. No controls, other than non-lethal exclusion, shall be applied to species listed as "critically endangered" or "endangered" on the IUCN Red List or that are protected by local or national laws, unless specific written permission for such control is granted by the regulator.
BAP 7.7: The applicant shall record, and report when required, the species and numbers of all avian, mammalian and reptilian predator mortalities, including accidental mortalities.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 7.5 and 7.7.

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 03 PREVENTING HABITAT IMPACTS

#### GSSI ESSENTIAL COMPONENT

The standard requires compliance with national and local laws on habitat and biodiversity, including an Environmental Impact Assessment (EIA) where required.

#### GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to demonstrate legal compliance.

RELATED SUPPLEMENTARY COMPONENTS

C.5 03 01 C.5 03 02 C.5 03 03

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015, Section 1 covers legal compliance and permits:

- business licenses
- aquaculture licenses
- land deeds, leases or concession agreements
- land use taxes
- construction permits
- water use permits or leases
- protection of sensitive habitats
- therapeutics use
- predator control permits
- protection of the rights of native peoples
- environmental impact assessments or reporting on fish health
- compliance with zoning or area management programs, where these are in place.

BAP 1.3: Current documents shall be available to prove compliance with applicable environmental regulations for construction and operation.

#### REFERENCES

BAP Salmon Farm Standards, Section 1, Clause 1.3.

# C.5 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 04 SENSITIVE HABITAT AND BIODIVERSITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that in areas where damage of sensitive habitats has occurred previously and where restoration is possible and effective; restoration efforts will or have resulted in a meaningful amount of restored habitat; either through direct on-farm restoration or by an off-farm offsetting approach. Grandfathering of historical losses is allowed.

#### GUIDANCE

It is expected that the standard will define sensitive habitat in context with its scope and an appropriate date to be used prior to which legal impacts can be "grandfathered in" and provide supporting evidence for the date. Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether that the active restoration is suitable (i.e., will it be successful and restore a suitable area of sensitive habitat).

RELATED SUPPLEMENTARY COMPONENTS

C.5 04 01 C.5 04 02 C.5 04 03

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following relevant sections and clauses:
Section 6 addresses potential habitat impacts related to escapes.
BAP 6.7: The farm shall not be located within an area officially designated as "critical" or "sensitive" habitat (or equivalent terminology) with respect to wild salmon unless site-specific, valid, official documentation authorizing an exemption, supported by an environmental impact analysis, can be provided.

Section 7 also addresses sensitive habitats:
BAP 7.3: The applicant shall provide site maps or other current documentation that show the farm is not within geographic areas officially designated "critical" or "sensitive" habitat (or equivalent). If such documentation is not available, the applicant shall provide proof of regulatory authorization of the farm site and operations, as well as a risk assessment of farm/wildlife interactions and related procedures.

Section 7 requires a Wildlife Interaction Plan that includes:
• A map that identifies officially designated "critical" and/or "sensitive" marine and coastal habitat in the region. If the farm is in an area so designated, a list of the classified or endangered sedentary species within a 2-kilometer radius of the farm and of mobile coastal species within the region, updated where necessary to show wildlife established after the farm was started, shall also be included.
• Independent expert risk assessment of the farm's possible interactions with the wildlife in the critical or sensitive habitat, if this has not been considered by regulators in granting the farm's license(s).

Section 1 lists legal compliance requirements and includes "protection of senstive habitats."

#### REFERENCES

BAP Salmon Farm Standards, Section 6, Clause 6.7; Section 7, Clause 7.3; Section 1.

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 01 LEGAL COMPLIANCE

#### GSSI ESSENTIAL COMPONENT

The standard requires that all seed is sourced and used in compliance with relevant national and local legal requirements for both the source and destination law.

#### GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws. This could include international laws (e.g., CITES) and laws governing introductions and transfers of live aquatic animals.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:
BAP 6.8: The applicant shall provide documents that prove the species of salmon farmed is approved for farming in that country and that the stocked fish are not transgenic. Where the species farmed is not native or not already farmed, further documents shall be provided to demonstrate that approval for farming is based on the 2005 ICES Code of Practice on Introductions and Transfers of Marine Organisms.
Section 9 requires a fish Health Management Plan that includes: "Assurance that only smolts certified clinically healthy and free of diseases and parasites specified in applicable national fish health regulations are brought onto the farm."
BAP 10.7: All smolts brought into the farm shall be free from diseases and parasites specified in applicable national health regulations,
and shall be vaccinated against diseases for which effective vaccines are available prior to stocking.
Section 11 states that fish farms shall also: "Require suppliers of smolts or juvenile fish to provide written assurance that the fish have been reared without the use of medicinals or substances that are proactively prohibited in food animals in the producing and importing country, and that the hatcheries in which they were produced were compliant with the regulations under which they operate."
BAP 12.5: The facility shall maintain complete and accurate records of the sources and numbers of juvenile fish (smolts) stocked, stocking dates and all feeds used for each culture unit.

#### REFERENCES

BAP Salmon Farm Standards, Clause 6.8, Section 9, Clause 10.7, Section 11, and Clause 12.5.

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 02 RECORD KEEPING

#### GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate record keeping system for all seed that is intentionally stocked.

#### GUIDANCE

An appropriate records system may include source of the seed, date of purchase, stocking density, vaccination record of the seed, and stocked seed batch identification.

Verification is expected to include a review of evidence that the system is operational and fit for purpose.

RELATED SUPPLEMENTARY COMPONENTS

C.6 02 01

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clause:
BAP 12.5: The facility shall maintain complete and accurate records of the sources and numbers of juvenile fish (smolts) stocked, stocking dates and all feeds used for each culture unit.

#### REFERENCES

BAP Salmon Farm Standards, Clause 12.5.

# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 03 WILD SEED

#### GSSI ESSENTIAL COMPONENT

The standard requires that where the deliberate use of wild seed is justifiable, it is collected in a manner that:

- Ensures controls are in place so that the collection of seed is not detrimental to the status of the wild target and non-target populations, nor the wider ecosystem.
- Avoids the use of environmentally damaging collection practices
- Source fishery is regulated by an appropriate authority

#### GUIDANCE

Expected examples of "justifiable use" include where there is a lack of commercially-available hatchery-raised seed, inability/lack of technology to hatchery-raised the farmed species, or passive collection of mollusks. Justification could be offered at the standard or aquaculture facility level.

i) Suitable controls are expected to include aspects such as a fishery management plan that limits take to maintain the wild populations (i.e., there is no measurable impact on recruitment levels or the stocks ability to increases (examples include stocks that are under or fully exploited) with appropriate safeguards against excessive bycatch, and prevention of damaging gear types.

ii) Examples of environmentally damaging collection practice are expected to include dynamite or poison fishing, habitat impacts.

Verification is expected to include the need to provide suitable evidence by the aquaculture facility (e.g., a summary report written by a credible 3rd party on the source fishery, a self-certification by the appropriate management authority, a 3rd party fishery certification that verifies suitable compliance).

RELATED SUPPLEMENTARY COMPONENTS

C.6 03 01

#### CONCLUSION

This GSSI Component is not applicable because production systems and species use only hatchery seed.

#### REFERENCES

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# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 04 HATCHERY SEED

**GSSI ESSENTIAL COMPONENT**

The standard requires that the aquaculture facility intentionally stocks hatchery-raised seed unless justification exists otherwise.

**GUIDANCE**

Examples of suitable justifiable exclusions are provided in C.6.03. Standards are expected to encourage the use of hatchery raised seed as they become available (e.g. by including a deadline for use to become required in the standard, or a certain percentage of seed needing to come from hatcheries to be met for certification, etc.). Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility. In case of production systems and species where only hatchery seed is used (e.g. Atlantic salmon) this GSSI Essential Component can be not applicable.

**CONCLUSION**

This GSSI Component is not applicable because production systems and species use only hatchery seed.

**REFERENCES**

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# C.6 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

### C.6 05 HATCHERY SEED

#### GSSI ESSENTIAL COMPONENT

The standard requires that suitable measures are in place to ensure that hatchery-raised seed are free from relevant/important pathogens before stocking for grow-out.

#### GUIDANCE

Relevant/important pathogens are expected to include those identified by the aquatic health professional and sources such as the OIE/ transboundary disease lists (See Chapter 1.3 of the Aquatic Animal Health Code 2015 *http://www.oie.int/en/international-standard-setting/aquatic-code/access-online/*).

Verification of suitable measures is expected to include reviews of disease-testing methods, the disease tested for, and the results (including ISO 23893-1:2007), and the vaccination record of the seed. This could form part of the aquatic animal health management plan.

RELATED SUPPLEMENTARY COMPONENTS

C.6 05 01 C.6 05 02 C.6 05 03 C.6 05 04

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:
BAP 10.4: The fish health professional shall ensure compliance with all legal requirements for disease testing, fish movements (including zoosanitary regulations of inbound and outbound transports), treatments for fish diseases and reporting of notifiable diseases.
BAP 10.7: All smolts brought into the farm shall be free from diseases and parasites specified in applicable national health regulations, and shall be vaccinated against diseases for which effective vaccines are available prior to stocking.
Section 10 requires a Fish Health Management Plan that includes:
• Assurance that only smolts certified clinically healthy and free of diseases and parasites specified in applicable national fish health regulations are brought onto the farm.
• Vaccination of fish before they are brought onto a farm and revaccination, if needed, at the direction of the fish health professional.

#### REFERENCES

BAP Salmon Farm Standards, Section 10, Clauses 10.4 and 10.7.

# C.7 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

### C.7 01 ESCAPES

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system to minimize the unintentional release or escape of cultured species.

#### GUIDANCE

An appropriate system is expected to be based on an evaluation of the likelihood of events and the magnitude of impacts on surrounding environment (where risk assessments are used they met use a suitable scientific method and taking into consideration, siting, culture practices, local environmental conditions, including extreme events, and other relevant uncertainties) according to the precautionary approach and possible impacts on surrounding natural ecosystems, including fauna, flora, and habitat. Specific requirements stated in the standard are acceptable.

Verification is expected to include a review of evidence of an operational and fit for purpose system.

The system is expected to address the following; relative to the species being farmed and the production system (individual elements can be "Not Applicable" with these considerations).

i) Measures for escape detection
ii) Monitoring for and record keeping of escapes events
iii) Suitable training of employees
iv) Incident management and infrastructure, including response or recapture measures.
v) Regular monitoring and maintenance of the culture system
vi) Regular review and failure analysis
vii) containment infrastructure

RELATED SUPPLEMENTARY COMPONENTS

C.7 01 01 C.7 01 02 C.7 01 03

#### CONCLUSION

The BAP scheme is in alignment because Section 6 of the BAP Salmon Farm Standards - Version 2 - May 2015 addresses escapes and includes the following clauses:

BAP 6.1: If the farm operates in a jurisdiction where there are government regulations for fish containment, the applicant shall comply with the regulations and provide proof of so doing.
BAP 6.2: Local rules notwithstanding, the applicant shall demonstrate that the farm meets the BAP procedural, performance, documentation and reporting requirements for fish containment required by the Fish Containment Plan outlined under Implementation above, which shall include a classification of the farm site, an engineer's structural report, a mooring certification, an escape risk analysis, monitoring procedures that respond to the risk analysis, predator deterrence procedures, precautions related to the use of boats, fish handling procedures and inventory accounting procedures.
BAP 6.3: The applicant shall provide documents to show that all staff members have received training in the Fish Containment Plan, which shall be verifiable by training certificates in employees' files and verified at audit by a subset of interviews.
BAP 6.4: If an escape is suspected or has occurred since the last audit, the applicant shall provide reports and farm records to show that these incidents were dealt with in a manner consistent with the Fish Containment Plan, including deployment of recapture equipment where allowed, investigation of the cause and a report to the regulator.
BAP 6.5: If an escape is suspected or has occurred since the last audit, the applicant shall demonstrate, based on the counts of inventory required, that the losses were less, individually or cumulatively, than the limits specified in the Implementation requirements.
BAP 6.6: The applicant shall provide documents to show that the variance between the projected and actual harvest numbers of fish from the last year class harvested was ± 3% or less after accounting for known losses.
BAP 6.7: The farm shall not be located within an area officially designated as "critical" or "sensitive" habitat (or equivalent terminology) with respect to wild salmon unless site-specific, valid, official documentation authorizing an exemption, supported by an environmental impact analysis, can be provided.
BAP 6.8: The applicant shall provide documents that prove the species of salmon farmed is approved for farming in that country and that the stocked fish are not transgenic. Where the species farmed is not native or not already farmed, further documents shall be provided to demonstrate that approval for farming is based on the 2005 ICES Code of Practice on Introductions and Transfers of Marine Organisms.

#### REFERENCES

BAP Salmon Farm Standards, Section 6, Clauses 6.1, 6.2, 6.3, 6.4, 6.5, 6.6, 6.7 and 6.8.

# C.7 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

### C.7 02 GENETICALLY MODIFIED ORGANISMS

#### GSSI ESSENTIAL COMPONENT

In the case where the culture of GMO organisms is permitted, the standard requires a suitable evaluation of the risk of environmental impacts.

#### GUIDANCE

A suitable evaluation is expected to have been performed using an appropriate scientific method that assesses the likelihood of events and the magnitude of impacts, and take into account relevant uncertainties according to the precautionary approach. The evaluation should consider the possible impacts on genetic diversity, aquatic communities and ecosystems. Where ICES Code of Practice on the Introductions and Transfers of Marine Organisms 2005 is relevant, consistency with these requirements on genetically modified organisms (GMO) is also expected. Verification is expected to include a review of supporting evidence.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 does not permit the farming of transgenic fish.
BAP 6.8: The applicant shall provide documents that prove the species of salmon farmed is approved for farming in that country and that the stocked fish are not transgenic. Where the species farmed is not native or not already farmed, further documents shall be provided to demonstrate that approval for farming is based on the 2005 ICES Code of Practice on Introductions and Transfers of Marine Organisms.

#### REFERENCES

BAP Salmon Farm Standards, Clause 6.8.

# C.7 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

### C.7 03 EXOTIC SPECIES

**GSSI ESSENTIAL COMPONENT**

The standard requires that all species are farmed in compliance with relevant laws and regulations.

**GUIDANCE**

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

RELATED SUPPLEMENTARY COMPONENTS

C.7 03 01

**CONCLUSION**

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clause:
BAP 6.8: The applicant shall provide documents that prove the species of salmon farmed is approved for farming in that country and that the stocked fish are not transgenic. Where the species farmed is not native or not already farmed, further documents shall be provided to demonstrate that approval for farming is based on the 2005 ICES Code of Practice on Introductions and Transfers of Marine Organisms.

**REFERENCES**

BAP Salmon Farm Standards, Clause 6.8.

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 01 LEGAL COMPLIANCE

**GSSI ESSENTIAL COMPONENT**

The standard requires compliance with all relevant laws regarding water use, water quality, and waste discharge.

**GUIDANCE**

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

**CONCLUSION**

The BAP scheme is in alignment because Section 1 of the BAP Salmon Farm Standards - Version 2 - May 2015 covers legal compliance and lists:
• business licenses
• aquaculture licenses
• land deeds, leases or concession agreements
• land use taxes
• construction permits
• water use permits or leases
• protection of sensitive habitats
• therapeutics use
• predator control permits
• protection of the rights of native peoples
• environmental impact assessments or reporting on fish health
• compliance with zoning or area management programs,
where these are in place.
BAP 1.3: Current documents shall be available to prove compliance with applicable environmental regulations for construction and operation.

**REFERENCES**

BAP Salmon Farm Standards, Section 1, Clause 1.3.

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 02 SALINIZATION

#### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system that addresses the impact of salinization of freshwater resources and the surrounding environment by the aquaculture facility.

#### GUIDANCE

An exemption for standards that do not cover land-based saline water systems is expected.

Appropriate measures are expected to be based on risk assessments or standardized requirements. Controls could include relevant monitoring of freshwater resources (e.g., groundwater resources, local water bodies, local soils) for salinity changes and measures such as pond-linings, limiting groundwater use and other control techniques. The standard is expected to prohibit the aquaculture facility to contributing to changing freshwater resources and the surrounding environment to saline conditions. Verification is expected to include a review of evidence that the system is operational and fit for purpose, such as a visual inspection of the site.

#### CONCLUSION

This GSSI Component is not applicable because the Salmon "standards and guidelines apply to the cage and net pen production in marine waters", no land-based saline water systems are considered.

#### REFERENCES

BAP Salmon Farm Standards, page 2.scope of the standard,

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 03 WATER USE

#### GSSI ESSENTIAL COMPONENT

Where appropriate (e.g. land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting) the standard requires that the aquaculture facility has appropriate management measures for efficient water use.

#### GUIDANCE

This requirement is based on Paragraph 47 of the Technical Guidelines on Aquaculture Certification state *"Measures should be adopted to promote efficient water management and use, as well as proper management of effluents to reduce impacts on surrounding land, and water resources should be adopted."* GSSI recognizes that standards for efficient water management and use are not common in many current aquaculture standards. Generally it is expected that this Essential Component will only apply to aquaculture facilities that use land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting. An exemption for all other production systems is expected. This can also be "not applicable" for standards that do not cover relevant production systems.

Management measures may include a general promotion or awareness of efficient water use or actions that may lead to more efficient use. Where groundwater is used the standard is expected to require that the aquaculture facility establish, implement and maintain an appropriate system to prevent aquifer drawdown and negative impacts on freshwater resources and the surrounding environment caused by the facilities operations. Verification that the system is operational and fit for purpose is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.8 03 01 C.8 03 02

#### CONCLUSION

This GSSI Component is not applicable because the Salmon "standards and guidelines apply to the cage and net pen production in marine waters", no land-based freshwater ponds are considered.

#### REFERENCES

BAP Salmon Farm Standards, page 2.scope of the standard,

# C.8 *Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

### C.8 04 WATER QUALITY

#### GSSI ESSENTIAL COMPONENT

The standard requires, where appropriate, management measures for effluents to reduce adverse impacts on water quality of water bodies receiving effluents.

#### GUIDANCE

Appropriate measures are expected to include.

1. Monitoring and recording of effluent or receiving water quality, and which may including key parameters that need to be addressed include, where applicable:
   i) Nutrients – Nitrate/Nitrogen (impacts on seawater)
   ii) Nutrients – Phosphate/Phosphorous (impacts on freshwater)
   iii) Dissolved oxygen
   iv) Salinity
   v) Suspended Solids
   vi) pH
2. Defined, aquaculture appropriate, maximum reference points (e.g., general concentration limits or aquaculture facility-specific limits) or mandatory systems (e.g., presence of a suitable filter) are defined to prevent pollution
3. Where reference points are exceeded, the scheme either refuses certification or that mitigation methods are employed and monitored to meet a time bound goal to come into compliance.

Verification is expected to include a review of evidence that the system is operational and fit for purpose, including visual inspection of the site. Where effluent concentration limits are used for compliance, independent verification of conformance is also expected.

"Where appropriate" is expected to include standards that cover production systems that release effluent that has the potential to impact water quality, e.g., fed/intensive aquaculture in ponds and raceways. An exception for marine cage aquaculture and on or off-bottom shellfish culture is expected.

RELATED SUPPLEMENTARY COMPONENTS

C.8 04 01 C.8 04 02 C.8 04 03

#### CONCLUSION

The BAP scheme is in alignment because Section 4 of the BAP Salmon Farm Standards - Version 2 - May 2015 addresses Sediment and Water Quality: "Farms shall be located and operated in such a way that they minimize negative impacts on sediment quality outside a defined sediment impact zone, or on water quality within the general vicinity of the farm."
The scheme also includes the following specific clauses:
BAP 4.2: For established farms, the applicant shall provide three years of monitoring data to show that the farm meets or exceeds sediment and water quality criteria specified in 4.1, its operating permits and/or its own monitoring plan at current operating levels.
BAP 4.3: For newly established farms, or farms that have expanded and do not yet have enough monitoring data, the applicant shall provide an independent study that characterizes the hydrographic and benthic characteristics of the area and provides a consultant's opinion (without liability) that the farm can meet or exceed sediment and water quality criteria if operated correctly. This opinion shall be verified by reference to sampling results at the next audit.
Section 9 states that the farm shall have a written Water Quality Management Plan that includes:
• Frequent or continuous monitoring of dissolvedoxygen concentration and at least daily monitoring of water temperature and salinity.
• Monitoring for other aspects of water quality that may affect fish in the vicinity of the farm, including seasonal occurrences such as phytoplankton blooms.
• Training of staff on measuring temperature, dissolved oxygen and, where relevant, concentrations of harmful phytoplankton.
• A list of practical mitigation measures that can be used in the event of water quality problems, as well as available equipment and trained staff to deploy them rapidly.
• Provision for equipment to maintain and monitor dissolved- oxygen levels at 80 to 100 percent of saturation during live fish transport.
BAP 9.4: Where weather conditions allow, trained staff shall make at least daily inspections and reports on the culture facility, water quality, and behavior and condition of fish.
BAP 9.5: Staff status reports on the facility, water quality and fish conditions shall be documented, investigated and addressed by the fish health professional and/or farm management.

#### REFERENCES

BAP Salmon Farm Standards, Section 4, Clauses 4.2 and 4.3; Section 9, Clauses 9.4 and 9.5.

# C

## EVIDENCE OF ALIGNMENT WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS** FOR AQUACULTURE CERTIFICATION STANDARDS

## SALMON FARMS

# C.1 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 08 02 BIOSECURITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to determine the cause of death when losses are significantly greater than expected and the cause is unclear, use laboratory analysis where feasible.

*Rationale: Early disease detection and identification, particularly in the event of an exotic disease, is critical to reducing the spread and severity of a disease outbreak. When losses are unclear, laboratory testing may be the only way to appropriately diagnose the cause of losses and the actions necessary to mitigate its impacts. The increased surveillance and confidence in detection should allow for greater understanding of the spread of disease around the aquaculture facility and possibly aid in identifying novel disease outbreaks and decrease the use of veterinary drugs, which could reduce the frequency and impact of disease outbreaks.*

#### GUIDANCE

Verification that policies or other systems are in place to respond to these situations is expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clause:
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.

The Fish Health Management Plan must include procedures for disease diagnosis including:
• Monitoring for endemic or locally identified parasitic, bacterial and viral infections, and recording of findings and actions taken, which may or may not be mandated by government.
• Guidelines on indicators for disease that direct farm staff as they tend fish or remove dead fish from the cages, and provide procedures for timely reporting if an indicator is observed.
• A written response plan to be followed by the fish health professional to ensure rapid diagnosis if disease is suspected, followed by prompt treatment.
• Written procedures based on current guidelines for best professional veterinary practices on how medicinal treatments with drugs, vaccines or anesthetics, and any non-medicinal use of chemicals (i.e., for disinfection or water treatment) shall be selected and administered in order to minimize risks to human health and the environment.
• Written procedures for recording withdrawal times to minimize the risk of residues remaining in the fish.
• Where possible and where the welfare of the fish will not be compromised by delay in treatment, a procedure for antibiotic sensitivity or resistance testing prior to each subsequent course of treatment with the same antibiotic and for recording of trends.

#### REFERENCES

BAP Salmon Farm Standards, Clause 10.1; Fish Health Management Plan.

# C.1 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 08 03 BIOSECURITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility establishes, implements, and maintains a written Aquatic Animal Health Management Plan (AAHMP) which is overseen by an aquatic animal health professional, at a minimum, compliant with the following GSSI-requirements; C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, C.1.10, C.1.11.

*Rationale: The aquatic animal health actions defined in the Essential Components for this element may be undocumented or fragmented; at the Supplementary Component level all of the elements of must now be formalized and viewed as one defined and operational plan. By formalizing the plan, the effectiveness of the plan can be determined and the benefits for reducing the severity and frequency of disease outbreaks are likely to be increased.*

#### GUIDANCE

Verification that the farm has a written AAHMP, and that the content covers the necessary content and that it is fully in operation and frequently reviewed is expected. Evidence of oversight could include an interview with the health professional or a signature on the documents.

Aligned standards will also be considered in alignment with C.1.01, C.1.02, C.1.03, C.1.04, C.1.05, C.1.06, C.1.07, C.1.08, C.1.09, and C.1.10.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 requires a Fish Health Management Plan:
BAP 10.1: The applicant shall designate an accredited fish health professional to oversee the Fish Health Management Plan, direct the diagnosis and treatment of fish diseases and coordinate activities with neighboring farms under an Area Management Agreement, where such an agreement is in place (see Section 2). The fish health professional shall be available in person or by phone at audit to answer questions. The applicant shall notify the certifying body if the fish health professional changes.

This plan must include:
• A plan for the cyclical production of fish that mandates a fallow period of at least eight weeks after the completion of harvesting and before restocking, and that is coordinated with neighboring BAP-certified farms and, where there is an established Area Management Agreement, with all farms in the AMA.
• Assurance that only smolts certified clinically healthy and free of diseases and parasites specified in applicable national fish health regulations are brought onto the farm.
• Vaccination of fish before they are brought onto a farm and revaccination, if needed, at the direction of the fish health professional.
• Cleaning and disinfection of all fish-handling equipment before it enters or leaves the farm.
• Management and/or limitation of "visiting" vessels from sites of higher or unknown risk, and a supplemental plan for increased oversight in the event of disease concerns.
• Disinfection or changes of footwear by all personnel entering or leaving the farm.
• Accurate recording of all fish movements and transfers to, from and within the farm.
• A requirement to move to the use of closed well boats when transporting fish, as methods and equipment become available.
• Procedures for the accurate and regular cage-by-cage recording, examination and sanitary disposal of dead fish recovered as "normal mortality" from cages.
• An alert status that defines extra precautions, checks on fish and increased vigilance if an occurrence of infectious disease is known or suspected in the region.
• A recovery and disposal plan for dead fish in the event of a mass kill, with available equipment in place and identified services that can be called on to help quickly.
• Monitoring for endemic or locally identified parasitic, bacterial and viral infections, and recording of findings and actions taken, which may or may not be mandated by government.
• Guidelines on indicators for disease that direct farm staff as they tend fish or remove dead fish from the cages, and provide procedures for timely reporting if an indicator is observed.
• A written response plan to be followed by the fish health professional to ensure rapid diagnosis if disease is suspected, followed by prompt treatment.
• Written procedures based on current guidelines for best professional veterinary practices on how medicinal treatments with drugs, vaccines or anesthetics, and any non-medicinal use of chemicals (i.e., for disinfection or water treatment) shall be selected and administered in order to minimize risks to human health and the environment.
• Written procedures for recording withdrawal times to minimize the risk of residues remaining in the fish.
• Where possible and where the welfare of the fish will not be compromised by delay in treatment, a procedure for antibiotic sensitivity or resistance testing prior to each subsequent course of treatment with the same antibiotic and for recording of trends.

#### REFERENCES

BAP Salmon Farm Standards, Clause 10.1; Fish Health Management Plan.

# C.1 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 08 05 BIOSECURITY

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires that the aquatic animals are vaccinated against relevant/important diseases for which vaccines are available and effective against.

*Rationale: Vaccination is an important tool for reducing the severity of disease outbreaks and the spread of disease. Vaccines are increasingly becoming available in aquaculture though their uptake may be limited by access, application, cost, risk, and perceived effectiveness. The standard verifies that effective vaccinations are used.*

#### GUIDANCE

Relevant/important pathogens could include those identified by the aquatic animal health professional and sources such as the OIE/ transboundary disease lists. Verification, such as a review of justification by the aquatic animal health professional as to which vaccines could be used and records/receipts for vaccinations is expected.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clause:
BAP 10.7: All smolts brought into the farm shall be free from diseases and parasites specified in applicable national health regulations,
and shall be vaccinated against diseases for which effective vaccines are available prior to stocking.

The Fish Health Management Plan must include:
• Vaccination of fish before they are brought onto a farm and revaccination, if needed, at the direction of the fish health professional.
• Written procedures based on current guidelines for best professional veterinary practices on how medicinal treatments with drugs, vaccines or anesthetics, and any non-medicinal use of chemicals (i.e., for disinfection or water treatment) shall be selected and administered in order to minimize risks to human health and the environment.

#### REFERENCES

BAP Salmon Farm Standards, Clause 10.7; Fish Health Management Plan.

# C.3 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 01 01 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the presence of an active and documented recycling program.

*Rationale: The benefits of recycling are well known but may not be seen as a high priority on aquaculture farms. The standard verifies that all recyclable waste is recycled.*

#### GUIDANCE

The system is expected to ensure the farm recycles to the maximum extent practicable.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 include the following clause:
BAP 8.1: The applicant shall have a written Material Storage, Handling and Waste Disposal Plan that includes the BAP requirements for proper handling and disposal as outlined in the implementation requirements above and be able to demonstrate compliance with it.

Applicants are required to have a written Materials Storage, Handling and Waste Disposal Plan (MSHWDP) that includes provisions stipulated in local laws and the farms' operating permits, as well as the following requirements, if not so stipulated:
• Procedures for recycling waste, where this is feasible.
• A written waste reduction plan for measuring and recording waste volumes and how such volumes will be reduced by recycling or other means over time.

#### REFERENCES

BAP Salmon Farm Standards, Clause 8.1; Material Storage, Handling and Waste Disposal Plan.

# C.3 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 01 02 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain a general waste management system.

*Rationale: Controlling waste results a more efficient, cleaner, and more hygienic farming system.*

#### GUIDANCE

An appropriate system is expected to include a baseline of waste generation and actions aimed at reductions, and suitable monitoring. Verification is expected to include a review of evidence that the system is operational and fit for the purpose.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 include the following clause:
BAP 8.1: The applicant shall have a written Material Storage, Handling and Waste Disposal Plan that includes the BAP requirements for proper handling and disposal as outlined in the implementation requirements above and be able to demonstrate compliance with it.

Applicants are required to have a written Materials Storage, Handling and Waste Disposal Plan (MSHWDP) that includes provisions stipulated in local laws and the farms' operating permits, as well as the following requirements, if not so stipulated:
• Procedures for the sanitary storage and handling of feed and its protection from vermin.
• A current inventory of all hazardous materials used and wastes stored and/or disposed of by the farm.
• Availability of material safety data sheets on site for all hazardous materials in the inventory.
• Procedures for the storage, transport, handling, labeling and use of fuel, oil, chemicals and other potentially toxic materials used on the farm that limit the risk of accidental spills and release into the environment. Secondary containment shall be provided for individual or multiple fuel storage tanks. The containment volume shall be equivalent to the total stored volume plus 10%.
• Refueling, maintenance and record-keeping procedures for all equipment that uses oil or fuel in order to prevent leaks or spills and ensure that used oil is sent to an approved handling facility.
• Procedures for the collection, storage and disposal of trash, garbage, refuse and other waste materials.
• Procedures and the necessary materials and equipment for emergency containment and cleanup of spilled materials.
• Procedures for washing nets treated with copper or other toxicant-based antifouling materials. Nets treated with antifoulant that is deemed toxic, such as cooper, shall be cleaned out of the water at a licensed off-farmnet-cleaning establishment, or on the farm if equipment and procedures are in place to treat the wash water and collect the solid waste before disposal. In all cases, methods of collection and treatment shall comply with
national or regional regulations governing the disposal of toxic wastes.
• Procedures for the sanitary storage and disposal of human waste (black water).
• Procedures for recycling waste, where this is feasible.
• Procedures for the safe disposal of materials deemed surplus or out of date, including medicated feed.
• A written waste reduction plan for measuring and recording waste volumes and how such volumes will be reduced by recycling or other means over time.
• The waste reduction plan shall include a program to test alternatives to the use of toxicant-based antifoulant paints on farm nets with the goal of reducing release of toxicants to the environment, especially toxicant parti cles that can accumulate in marine sediments.

#### REFERENCES

BAP Salmon Farm Standards, Clause 8.1; Material Storage, Handling and Waste Disposal Plan.

# C.4 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## FEED USE

### C.4 04 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires the efficient use of fishmeal and fish oil relative to the production system and the species being farmed.

*Rationale: Aquatic resources are limited resources and have, for the most part, been fully exploited meaning that there is a finite limit of these for the aquaculture industry. Using these valuable resources efficiently is therefore an important environmental goal, by setting stringent metric limits to the amount of aquatic resources being used to produce the aquaculture product, the scheme promotes efficiency and thereby potentially increasing the amount of seafood that could be produced using aquatic resources.*

#### GUIDANCE

Suitable approaches are expected to include setting a suitable maximum Fish in: Fish Out Ratios, FFDRm (Forage Fish Dependency Ratio for Fish Meal) and FFDRo (Forage Fish Dependency Ratio for Fish Oil), or other calculations which reflect the importance of limited wild-harvested aquatic resources, this could include be species specific performance based metric limits. Consideration for extreme events (such as disease or escapes) is permissible. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill. Verification is expected to include compliance at the aquaculture facility level.

Where fishmeal and fish oil are used in feed, aligned standards will also be considered in alignment C.4.07

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clauses:
BAP 5.4: The facility shall calculate and record a feed-conversion ratio for each year class.
BAP 5.5: The facility shall calculate and achieve a final fish in:fish out ratio of 1.5 or less for each year class harvested.

#### REFERENCES

BAP Salmon Farm Standards, Clauses 5.4 and 5.5.

# C.6 *Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards*

## SEED

### C.6 03 01 WILD SEED

#### GSSI SUPPLEMENTARY COMPONENT

The standard requires that wild-caught seed are prohibited. 100% of intentionally stocked seed must be from a hatchery.

*Rationale: The collection of wild seed for aquaculture can negatively impact the target species by reducing recruitment, non-target species from bycatch, and ecosystems from environmentally damaging harvest methods. Prohibiting the use of wild seed precludes any such adverse impacts; helps ensure that the many benefits of hatchery production are utilized to the fullest extent; and provides additional incentives for the development of technologies to produce commercially-viable hatchery seed, where these do not presently exist.*

#### GUIDANCE

Verification is expected to include a review of evidence to support the claim (e.g., receipts from seed purchases). An exemption for accidentally stocked seed (such as seed unintentionally trapped when a pond is being filled) is acceptable. Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility.

Aligned standards will also be considered in alignment with C.6.04, while C.6.03 will not be applicable.

#### CONCLUSION

The BAP scheme is in alignment because the BAP Salmon Farm Standards - Version 2 - May 2015 includes the following clause:
BAP 10.4: Wild juveniles shall not be stocked, other than as incidental introductions when extensive ponds are first filled.

#### REFERENCES

BAP Salmon Farm Standards, Clause 10.4

# GLOSSARY

# SCHEME SPECIFIC ACRONYMS AND ABBREVIATIONS

| | |
|---|---|
| AB | Accreditation Body |
| BAP | Best Aquaculture Practices |
| CB | Certification Body |
| FAO | Food and Agriculture Organization |
| GAA | Global Aquaculture Alliance |
| IRS | Internal Revenue Service |
| IAF | International Accreditation Forum |
| ICES | International Council for the Exploration of the Sea |
| ISO | International Standards Organisation |
| IUCN | International Union for Conservation of Nature |
| MOU | Memorandum of Understanding |
| MLA | Multilateral Recognition Arrangement |
| SOC | Standards Oversight Committee |
| WHO | World Organisation for Animal Health |

# GSSI GLOSSARY

| TERM | SECTION A | SECTION B | SECTION C | DEFINITION | REFERENCE |
|---|---|---|---|---|---|
| **Accreditation** | ● | ● | | A process by which an authoritative body gives formal recognition of the competence of a certification body to provide certification services against an international standard. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms. |
| **Accreditation body** | ● | ● | | An agency having jurisdiction to formally recognise the competence of a certification body to provide certification services. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Accreditation remediation procedure** | ● | ● | | A process which is in place to specify how certification bodies are required to address non-compliances. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Accreditation system** | ● | ● | | System that has its own rules of procedure and management for carrying out accreditation. | FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12.<br>(ISO Guide 2, 17.1) |
| **Agreement** | ● | ● | | An arrangement between parties as to the proposed course of action. | GSSI |
| **Alignment** | ● | ● | | An arrangement in having similar relative positions. | GSSI |
| **Allowable Zone of Effect (AZE)** | | | ● | The area of sea-bed or volume of the receiving water body in which competent authority allow the use of specific Environmental Quality Standards (EQSs) for aquaculture, without irreversibly compromising the basic environmental services provided by the ecosystem.<br>The utility of AZE is to define the boundary of impact of responsible aquaculture activities in order to permit the free and safe use of marine space for the other stakeholders outside the AZE. The use of AZE gives some responsibility to farms for good practices. | General Fisheries Commission for The Mediterranean.<br>*www.faosipam.org/GfcmWebSite/CAQ/WGSC/2011/SHoCMed_AZE/GFCM-CAQ-WGSC-2011-SHoCMed_AZE-Report.pdf* |
| **Antimicrobial** | | | ● | A naturally occurring, semi-synthetic or synthetic substance that at in vivo concentrations exhibits antimicrobial activity (kill or inhibit the growth of micro-organisms). Parasiticides, anthelmintics and substances classed as disinfectants or antiseptics are excluded from this definition. (Adapted from OIE) | OIE Aquatic Animal Health Code *(www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)* |
| **Appeal** | ● | ● | | A request by a scheme owner for reconsideration of a decision made by the GSSI Steering Board, GSSI employee or person contracted to GSSI. (adapted from GFSI) | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Application** | ● | ● | | A document confirming a scheme owner's intention to seek recognition by the GSSI for a scope of recognition. | GSSI |
| **Aquaculture** | | | ● | The farming of aquatic organisms including fish, molluscs, crustaceans and aquatic plants. Farming implies some sort of intervention in the rearing process to enhance production, such as regular stocking, feeding, protection from predators, etc. Farming also implies individual or corporate ownership of the stock being cultivated, the planning, development and operation of aquaculture systems, sites, facilities and practices, and the production and transport. | FAO (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, Page 2 |

*While terms are not limited to a specific section, the color coding indicates in which section the term is used most.*

# GSSI GLOSSARY

| TERM | SECTION A | SECTION B | SECTION C | DEFINITION | REFERENCE |
|---|---|---|---|---|---|
| **Aquaculture byproducts** | | | ● | See fishery byproducts; the primary difference being a) aquaculture byproducts must be from the processing waste of aquacultured fish and crustaceans that were destined for human consumptions, and b) can be of both marine and freshwater aquaculture origin. | GSSI |
| **Aquaculture facility** | | | ● | The physical site where aquatic animals are grown-out to market size. Usually the unit of certification for aquaculture standards. | GSSI |
| **Aquatic animal health professional** | | | ● | A person who, for the purposes of the Aquatic Code, is authorised by the Competent Authority to carry out the actions identified in Prudent Use of Antibiotics section of the OIE Aquatic Animal Health Code 2014 (or latest version) including identifying, preventing and treating aquatic animal diseases, as well as the promotion of sound animal husbandry methods, hygiene procedures, vaccination and other alternative strategies to minimise the need for antimicrobial use in aquatic animals. They are authorised to prescribe veterinary medicines should only prescribe, dispense or administer a specific course of treatment with an antimicrobial agent for aquatic animals under their care.<br>(Adapted from the OIE Aquatic Animal Health Code. 2014). | OIE Aquatic Animal Health Code *www.oie.int/index.php?id=171&L=0&htmfile=chapitre_antibio_resp_prudent_use.htm* |
| **Aquatic animals** | | | ● | All life stages (including eggs and gametes) of fish, molluscs, crustaceans and amphibians originating from aquaculture establishments or removed from the wild, for farming purposes, for release into the environment, for human consumption or for ornamental purposes. | OIE Aquatic Animal Health Code *www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm* |
| **Area management system (AMS)** | | | ● | A contractual or legally enforceable agreement for shared activities by aquaculture establishments (and possibly other polluting industries) within a defined area or zone. The AMS boundary must be defined to meet the objectives of the AMS. Alternative terms include zonal management agreement, area management agreements, single bay management. | GSSI |
| **Arrangement** | ● | ● | | A cooperative mechanism established by two or more parties be they governmental, private or non-governmental entities. | GSSI |
| **Assessment** | ● | ● | | The act of judging or deciding the amount, value, quality, or importance of something, or the judgment or decision that is made. | Cambridge dictionaries online<br>*http://dictionary.cambridge.org* |
| **Audit** | ● | ● | | A systematic and functionally independent examination to determine whether activities and related results comply with a conforming scheme. | FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12.<br>(Codex Alimentarius, Principles for Food Import and Export Certification and Inspection, CAC/GL 20) |
| **Auditor** | ● | ● | | A person qualified to carry out audits for or on behalf of a certification body. | GSSI |

*While terms are not limited to a specific section, the color coding indicates in which section the term is used most.*

# GSSI GLOSSARY

| TERM | SECTION A | SECTION B | SECTION C | DEFINITION | REFERENCE |
|---|---|---|---|---|---|
| **Balanced decision-making** | ● | ● | | A decision making process which ensures proportionate representation of interested parties in the standard development, revision and approval process. | GSSI |
| **Balanced participation** | ● | ● | | The participation by proportionate representation of interested parties in the standard development, revision and approval process. | GSSI |
| **Benchmark committee** | ● | ● | | A team of technical experts who have been appointed by GSSI to undertake the benchmarking process of a seafood certification scheme applying for recognition. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Benchmark committee member** | ● | ● | | A person who has the required qualifications and experience and has undergone selection for the membership of a Benchmark Committee. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Benchmark process** | ● | ● | | A mechanism by which a seafood certification scheme can be objectively assessed, against a series of defined requirements laid down in the GSSI Framework Document, to determine if formal recognition by the GSSI Steering Board can be gained. | GSSI |
| **Better management practice(s) (bmp(s)** | | | ● | Management practices aimed at improving the quantity, safety and quality of products taking into consideration animal health and welfare, food safety, environmental and socio-economical sustainability. BMP implementation is generally voluntary. The term "better" is preferred rather than "best" because aquaculture practices are continuously improving (today's 'best' is tomorrow's 'norm'). | FAO. (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, Page 4 |
| **Biosecurity** | | | ● | A set of management and physical measures designed to reduce the risk of introduction, establishment and spread of pathogenic agents to, from and within an aquatic animal population. | OIE Aquatic Animal Health Code *(www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)* |
| **Broodstock** | | | ● | Sexually mature specimens of both sexes kept for the purpose of controlled reproduction (independent of whether a first or subsequent generation is produced) as well as younger specimens destined to be used for the same purpose. | FAO Term Portal |
| **Broodstock facility** | | | ● | The physical site where broodstock are held. This could be part of a hatchery or a separate facility only for broodstock. | GSSI |
| **CCRF** | ● | ● | ● | FAO Code of Conduct for Responsible Fisheries | FAO(1995) |
| **Central focal point** | ● | ● | | A person, location or address that is put in place to ensure standards-related enquiries and for submission of comments are gathered. | GSSI |
| **Certification** | ● | ● | | Procedure by which certification body or entity gives written or equivalent assurance that a product, process or service conforms to specified requirements. Certification may be, as appropriate, based on a range of audit activities that may include continuous audit in the production chain. | FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Modified from ISO Guide 2, 15.1.2; Principles for Food Import and Export Certification and Inspection, CAC/GL 20; Ecolabelling Guidelines) |

*While terms are not limited to a specific section, the color coding indicates in which section the term is used most.*

# GSSI GLOSSARY

| TERM | SECTION A | SECTION B | SECTION C | DEFINITION | REFERENCE |
|---|---|---|---|---|---|
| **Certification body** | ● | ● | | A provider of certification services, accredited to do so by an accreditation body. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135 |
| **Certification decision** | ● | ● | | The granting, continuing , expanding the scope of, reducing the scope of, suspending, restoring, withdrawing or refusing of certification by a certification body. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135 |
| **(Seafood) Certification Scheme** | ● | ● | | An organisation in the seafood sector, which is responsible for the processes, systems, procedures and activities related to standard setting, accreditation and implementation of certification. | Adapted from FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007) |
| **Chain of custody** | ● | ● | | The set of measures that verify that a certified product originates from a certified aquaculture production chain, and is not mixed with non-certified products. Chain of custody verification measures should cover the tracking/ traceability of the product all along the production, processing, distribution and marketing chain, the tracking of documentation, and the quantity concerned. | FAO. (2005a) Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. Rome, FAO, Page 90 |
| **Chemicals** | | | ● | In food technology: any substance either natural or synthetic, which can affect live fish, its pathogens, water, equipment used for production or at land within the aquaculture establishment. Includes antifoulant treatments used on nets in marine cage aquaculture. | FAO/WHO Codex Alimentarius Commission (2004) Code of Practice for Fish and Fishery Products. Aquaculture. *(ftp://ftp.fao.org/codex/alinorm04/al04_18e.pdf)* |
| **Competence** | ● | ● | | The demonstrated ability to apply knowledge and skills to achieve intended results. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135 |
| **Competent authority** | | | ● | Means the Veterinary Authority or other Governmental Authority of a country having the responsibility and competence for ensuring or supervising the implementation of animal health and welfare measures, international veterinary certification and other standards and recommendations in the OIE Aquatic Animal Health Code in the region. Adapted from the OIE. | OIE Aquatic Animal Health Code. *(www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)* |
| **Complaint** | ● | ● | | Expression of dissatisfaction, other than appeal (6.4), by any person or organization to a conformity assessment body (2.5) or accreditation body (2.6), relating to the activities of that body, where a response is expected | ISO/IEC 17000:2004 6.5 |
| **Conflict of interest** | ● | ● | | Where either a Certification Body or an individual is in a position of trust requiring them to exercise judgement on behalf of others and also have interests or obligations (whether financial or otherwise) of the sort that might interfere with the exercise of that judgment. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135 |
| **Conformity assessment** | ● | ● | | Demonstration that specified requirements (3.1) relating to a product (3.3), process, system, person or body are fulfilled. | ISO/IEC 17000:2005 2.1 |

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# GSSI GLOSSARY

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| **Conformity assessment program** | | | | A defined and documented program by which the Scheme Owner monitors the performance of Accreditation Bodies, Certification Bodies and participating organisations against defined criteria. | GSSI |
| **Consensus** | ● | ● | | General agreement, characterised by the absence of sustained opposition to substantial issues by any important concerned party and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity. (adapted from ISO) | ISO/IEC Guide 2:2004. |
| **Contingency plan** | | | ● | Means a documented work plan designed to ensure that all needed actions, requirements and resources are provided in order to eradicate or bring under control outbreaks of specified diseases of aquatic animals. | OIE Aquatic Animal Health Code *(http://www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)* |
| **Corrective action** | ● | ● | | An action to eliminate the cause of a detected non conformity or other undesirable matters. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Culture practices** | | | ● | Concept comprising not only the production facilities but also a description of the husbandry practices applied. | GSSI |
| **Desktop review** | ● | ● | | An assessment carried out on documentation away from the location of the organisation being assessed. | GSSI |
| **Detection Limit** | | | ● | Detection limit – is the lowest quantity of aquatic animals that can be distinguished from the stock within a stated confidence limit (often the limit of the counting equipment or method used). | GSSI |
| **Endangered** | | | ● | Endangered species for Section "C" are expected to be defined in the Standard, with reference to general national listings (e.g., Red Data Books) or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)).<br>See *www.iucnredlist.org* and *www.cities.org* for more information. | GSSI |
| **Environmental impact assessment (EIA)** | | | ● | A set of activities designed to identify and predict the impacts of a proposed action on the biogeophysical environment and on man's health and wellbeing, and to interpret and communicate information about the impacts, including mitigation measures that are likely to eliminate the risks. In many countries, organizations planning new projects are required by law to conduct EIA. Usually it is carried out by three parties, the developer, the public authorities and the planning authorities. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)*<br>Scialabba, N. (ed.) (1998) Integrated coastal area management and agriculture, forestry and fisheries. FAO Guidelines: 256p. Rome, FAO, Environment and Natural Resources Service. *http://www.fao.org/docrep/W8440e/W8440e00.htm* |
| **Environmental impacts** | ● | ● | | A result of activity which has influence upon or changes the environment. | GSSI |

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| **Environmental Quality Standard** | | | ● | An Environmental Quality Standard is a value, generally defined by regulation, which specifies the maximum permissible concentration of a potentially hazardous chemical in an environmental sample, generally of air or water. (Sometimes also known as an ambient standard.)<br>Environmental Quality Standards (EQSs) for marine, freshwaters and sediments have been developed and although there are no global values many countries have their own standards which are used to assess pollution levels in the aquatic environment. EQS values vary from country to country and are often incomplete. Metal speciation directly impacts on toxicity but this is often ignored. Despite these omissions they are nevertheless invaluable in the interpretation of monitoring data. EQS are not available for many parts of the world. In the absence of regional standards it is still preferable to compare values obtained against an EQS to assess the extent of pollution and potential for ecological damage. | Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP) |
| **Escapes** | | | ● | A term used to describe specimens of cultured species, which escape from the rearing system into the ambient environment. There are potential impacts through interbreeding with wild conspecifics and through disease transfer. Also termed escapee. | FAO Term Portal – Aquaculture. (*www.fao.org/faoterm/en/)* |
| **Evaluation** | | | ● | An examination of production facilities or services in order to verify that they conform to requirements. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Exotic species** | | | ● | Species not native to a particular area, which may pose a risk to endemic species. | FAO Term Portal – Aquaculture. (*www.fao.org/faoterm/en/)* |
| **Expert** | ● | ● | | A person appointed by GSSI who has demonstrable specific knowledge and expertise with respect to the subject at hand. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **FAO** | ● | ● | ● | Food and Agriculture Organization of the United Nations | FAO |
| **Feed** | | | ● | Fodder intended for the aquatic animal in aquaculture establishments, in any form and of any composition. Adapted from FAO, 2010. | FAO (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, page 2 |
| **Feed additives** | | | ● | Chemicals other than nutrients for fish that are approved for addition to their feed. | Codex Alimentarius Commission Code of Practice for Fishery and Fishery Products, First Edition, 2009. *(http://www.codexalimentarius.net/web/publications.jsp?lang=en)* |
| **Feed ingredients** | | | ● | A component, part or constituent of any combination or mixture making up a feed, including feed additives, whether or not it has a nutritional value in the animal's diet. Ingredients may be of terrestrial or aquatic, plant or animal origin and may be organic or inorganic substances. | OIE Aquatic Animal Health Code *(www.oie.int/index.php?id=171&L=0&htmfile=glossaire.htm)* |
| **Field audit** | ● | ● | | An audit carried out at the location of a participating organisation. | GSSI |

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| **Fish in fish out ratio** | ● | A calculation to determine the ratio of wild harvested marine ingredients used per unit mass of farmed aquatic animal, usually on a wet weight basis. Alternative terms include forage fish dependency ratio, or forage fish equivalency ratio. | GSSI |
| **Fishery Byproduct** *(continued on next page)* | ● | A byproduct is a useful and marketable product that is not the primary product being produced. A marketable by-product is from a process that can technically not be avoided. This includes materials that may be traditionally defined as waste such as industrial scrap that is subsequently used as a raw material in a different manufacturing process.<br>Fishery byproducts refers to commodities that are manufactured from fish, including shellfish, and crustaceans in a form that is different than conventional foods and which are intended for human consumption (either directly or as a food ingredient). They include but | Adapted from IFFO Marine Ingredients Organisation. |
| **Fishery Byproduct** *(continued from previous page)* | ● | are not limited to: by-products derived from fish, including fish cartilage, fish oils, and fish proteins; and byproducts derived from the carapaces of crustaceans; but do not include marine plants or marine plant products.<br>In addition, a whole fish which is rejected on an intrinsic quality ground e.g. does not meet the specification for Human Consumption due to physical damage or the quality is substandard. These whole fish shall in these cases be classified as a byproduct from the human consumption fishery, and can be used for fishmeal and fish oil production. A whole catch of fish that is rejected by a fish processing factory on economic grounds is not considered to be a fish by-product.<br>Adapted from IFFO Marine Ingredients Organisation. | |
| **Fit for purpose** | ● | (Of an institution, facility, etc.) well equipped or well suited for its a designated role or purpose. | Oxford English Dictionary |
| **Genetic drift** | ● | Random changes in gene frequency caused by small effective population size, e.g. sampling error (shipment of fish from one station to another; broodstock selection). The ultimate effect of genetic drift is the loss of genetic variance. Genetic drift is inversely related to effective breeding number. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **Genetically modified organism (GMO)** | ● | An organism that has been transformed by the insertion of one or amore transgenes. | ICES (2004) Code of Practice on the Introductions and Transfers of marine Organisms. *http://www.ices.dk/reports/general/2004/icescop2004.pdf)* |

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| TERM | SECTION A | SECTION B | SECTION C | DEFINITION | REFERENCE |
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| **Grandfathered In** | | | ● | A clause creating an exemption based on circumstances previously existing. A relevant aquaculture example includes historical conversion of mangrove forest into shrimp ponds and where Standards may prohibit aquaculture facilities from certification or require that restoration of losses occur prior to certification if the initial conversion occurred after the Ramsar Convention of 1999 but offering an exemption to facilities where mangrove loss occurred before the Ramsar agreement took place. Also termed a "grandfather clause". | Merriam-Webster Dictionary. |
| ***GSSI*** | ● | ● | ● | Global Sustainable Seafood Initiative | GSSI |
| ***GSSI Essential Component*** | ● | ● | ● | Criteria grounded in the CCRF and the FAO Guidelines, which a seafood certification scheme needs to meet to be recognised by GSSI. | GSSI |
| ***GSSI Supplementary Component*** | ● | ● | ● | Criteria grounded in the CCRF and related FAO documents, ISO normative standards and ISEAL codes. They show a seafood certification scheme's diverse approach and help stakeholders understand where differences exist. A seafood certification scheme does not need to meet them for GSSI Recognition. | GSSI |
| **Habitat** | | | ● | A specific place with its environmental conditions occupied by and covering the requirements of an organism, a population or a community. | Odum, E.P. (1959) Fundamentals in ecology. 2nd Edition, Philadelphia, Saunders Co: Page 53. |
| **Hatchery** | | | ● | A facility used for the artificial and controlled breeding, hatching and rearing of aquatic organisms, on a commercial or experimental basis, through their early life stages. A hatchery is usually closely associated with a nursery facility where the cultured organism is grown to the appropriate size before being released to the wild or an ongrowing structure. Adapted from FAO. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **Impartiality** | ● | ● | | The actual and perceived presence of objectivity. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Inbreeding** | | | ● | Mating or crossing of individuals more closely related than average pairs in the population. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **Inbreeding depression** | | | ● | Declines in growth rate, fecundity, etc. and an increase in the percentage of deformed/abnormal fish that occur when inbreeding reaches certain levels. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **Independence** | ● | ● | | A state of being free from outside control and not subject to another's authority. | GSSI |
| **Independent Expert** | ● | ● | | A competent trained person, appointed by GSSI, who is assigned to manage the benchmarking process for a specific scheme application. | GSSI |

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| **Internal audit** | ● | ● | | Internal audits, sometimes called first-party audits, are conducted by, or on behalf of, the organization itself for management review and other internal purposes, and may form the basis for an organization's self-declaration of conformity. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited. | ISO 19011:2002<br>3.1, Note 1 |
| **Internal review** | ● | ● | | An evaluation, undertaken on a regular basis by representatives of a company's management, to assess the suitability, adequacy and effectiveness of the company's management system and to identify improvement opportunities. The evaluation shall also be used to identify and assess any changes needed to policy, objectives, resource needs and improvement to product or services. | GSSI |
| **Introduction** | | | ● | Of a fish species: intentional or accidental transport and release by humans into an environment beyond its present range. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **Invasive Species** | | | ● | An non-native or introduced species (i.e., one that is not native to the region it's been farmed in) that causes negative impact to economic, environmental, socio-political or cultural values due to prolific growth and unmanaged population. Potential negative environmental impacts include habitat conversion/ damage, outcompeting native populations for food or habitats, and predation on native species.<br>For additional information see the Invasive Species Specialist Group website *(www.issg.org/)*. | Adapted from FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **ISEAL Alliance** | ● | ● | | Global membership association for sustainability standards | ISEAL |
| **Key performance indicators** | ● | ● | | A series of criteria which are quantifiable measurements, agreed to beforehand, that reflect the critical success factors of an organization. | Crandall, W.J. (2010) Revenue Administration: Performance Measurement in Tax Administration; IMF |
| **Legal entity** | ● | ● | | Any entity recognized by the law, including both juristic and natural persons. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms. |
| **Local applicability** | ● | ● | | The process of adaptation by a Scheme Owner of standards or rules for direct application at the national or regional level. | GSSI |
| **Marine feed ingredients** | | | ● | Feed ingredients derived from marine aquatic organisms, such as fish, crustaceans, and algae. | GSSI |
| **Monitoring** | ● | ● | | A planned sequence of observations or measurements to assess compliance with requirements. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |

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| **Mono-sex** | | | ● | The selection or rearing of a single sex of a given species in an aquaculture unit in order to avoid uncontrolled reproduction or to obtain higher yields. Commonly used with salmonids and tilapias in which there is a dichotomy between the growth of the two sexes that is activated after the onset of sexual maturity. | FAO Term Portal – Aquaculture. *(www.fao.org/faoterm/en/)* |
| **Multi-site certification** | ● | ● | | Certification covering multi-site organisations including several sites and where sampling of these sites may be used by a certification body in its conformity assessment work.<br>The scope of certification covers the actual products and processes as defined in the normative documents describing the scheme in question.<br>Every site covered by this certification is mentioned on the main certificate documentation and every site is entitled to get its own sub-certificate. | GSSI |
| **Multi-site organisation** | ● | ● | | An organisation having an identified central office, but not necessarily the headquarters of the organisation at which certain activities are planned, controlled and managed and a network of local offices or branches or sites at which such activities are fully or partially carried out. | GSSI |
| **Non-conformity** | ● | ● | | A deviation of product or process from specified requirements, or the absence of, or failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence, raise significant doubt as to the conformity of what the auditee is supplying. | GSSI |
| **Non-Established Species** | | | ● | An introduced (non-native) species that do not currently have breeding populations in the wild. | GSSI |
| **Non-Native Species** | | | ● | See Introduction | GSSI |
| **Normative documents** | ● | ● | | A document to which reference is made in the standard in such a way as to make it indispensable for the application of the standard. | European Committee for Standardization |
| **Nutrient Load** | | | ● | The nutrient load refers to the total amount of waste nitrogen or phosphorus released as a result of production of the aquatic animal. Examples include “tons of nitrogen per ton of production”. | GSSI |
| **Office audit** | ● | ● | | An audit carried out at the office or designated centres of an applicant. | GSSI |
| **Offsetting** | | | ● | Counteract (something) by having an opposing force or effect. A relevant aquaculture example is the restoration of a specific area of mangrove forest to replace those converted during the construction of a shrimp pond, and may apply to restoring the actual area converted on the farm or restoring an area of similar size or ecological value in a different region. | Oxford English Dictionary |
| **OIE** | | | ● | World Organization for Animal Health | OIE |

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| **Operational** | | | ● | In or ready for use. | Oxford English Dictionary |
| **Organisation** | ● | ● | | A group of people or other legal entity( ies) that is responsible for ensuring that products and processes meet and, if applicable, continue to meet the requirements on which the certification is based. | GSSI |
| **Pest** | | | ● | Animals, generally rodents or insects, that may contaminate feed or chemicals used or stored on the aquaculture facility. This is separate from predators. | GSSI |
| **Pollution** | | | ● | The introduction by man, directly or indirectly, of substances, or energy into the aquatic environment, including estuaries, which results or is likely to result in such deleterious effects as harm to living resources and aquatic life, hazards to human health, hindrance to aquatic activities, including fishing and other legitimate uses of the aquatic environment and unacceptable impairment of local water quality. Adapted from the United Nations Convention on the Law of the Sea (1982). | Adapted from the United Nations Convention on the Law of the Sea (1982). |
| **Polyploidy** | | | ● | An organism with more than two sets of chromosomes. Sometimes used in aquaculture to create seed with more desirable traits, such as faster growth rates, than the same species with a normal set of chromosomes. In Section C, polyploidy is required to result in sterility due to the abnormal number of chromosomes. Examples include triploid (organisms with three sets of chromosomes). | GSSI |
| **Precautionary approach (Aquaculture)** | | | ● | A set of agreed measures and actions, including future courses of action that ensures prudent foresight and reduces or avoids risk to the resource, the environment, and the people, to the extent possible, taking into account existing uncertainties and the potential consequences of being wrong. | GSSI |
| **Prepackaged** | ● | ● | | Prepackaged means packaged or made up in advance in a container, ready for offer to the consumer, or for catering purposes. | Labelling of Prepackaged Foods (CODEX STAN 1-1985) |
| **Process** | ● | ● | | A set of interrelated or interacting activities which result in an outcome. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137 |
| **Production system** | | | ● | Concept identified by what is being cultured, giving also hints on how this is done, and possibly the aquaculture milieu in which it takes place, such as for example land-based trout culture, suspended rope culture of mussel, intensive eel culture, pond culture of Nile tilapia and intensive catfish raceway culture. | FAO Term Portal – Aquaculture *(www.fao.org/faoterm/en/)* |
| **Production unit** | | | ● | An individual tank, cage, or pond holding a single batch of aquatic animals. | GSSI |

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| **Publicly available** | ● | ● | | Obtainable by any person, without unreasonable barriers of access.<br>NOTE – Information that is published on an organisation's website and can be found through a basic and quick search is considered to be publicly available. 'Available on request' is not the same as publicly available. | ISEAL (2014) Impacts Code v2 |
| **Quarantine** | | | ● | (1) The facility and/or process by which live organisms and of their accompanying organisms can be held or reared in isolation from the surrounding environment.<br>(2) Maintenance of a group of aquatic animals in isolation with no direct or indirect contact with other aquatic animals, in order to undergo observation for a specified length of time and, if appropriate, testing and treatment, including proper treatment of the effluent waters. | (1) ICES Code of Practice on the Introductions and Transfers of marine Organisms 2004. *http://www.ices.dk/reports/general/2004/icescop2004.pdf*<br>(2) (OIE Aquatic Animal health Code *http://www.oie.int/eng/normes/fcode/en_glossaire.htm#sous-chapitre-2)* |
| **Re-benchmarking** | ● | ● | | The process of benchmarking a scheme that was previously recognised by the GSSI and that is seeking renewed recognition. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137 |
| **Recovery rate** | | | ● | The percentage of the number of aquatic animals recovered at harvest divided by the number stocked. Intended as an indicator of mortality, incorporate both known and unknown losses. | GSSI |
| **Register of benchmark committee members** | ● | ● | | A document containing the names of experts selected by GSSI, who may carry out benchmarking activities on their behalf. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137 |
| **Review** | ● | ● | | Verification of the suitability, adequacy and effectiveness of selection and determination activities, and the results of these activities, with regard to fulfilment of specified requirements (3.1) by an object of conformity assessment. | ISO/IEC 17000:2004, 5.1 |
| **Risk assessment** | | | ● | The evaluation of the likelihood of entry, establishment or spread of a pest or disease within the territory of an importing Member according to the sanitary or phytosanitary measures which might be applied, and of the associated potential biological and economic consequences; or the evaluation of the potential for adverse effects on human or animal health arising from the presence of additives, contaminants, toxins or disease-causing organisms in food, beverages or feedstuffs. | WTO (1995) The WTO Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement) |
| **Risk based programme** | ● | ● | | A documented programme developed by a competent person(s) based on risk assessment principles. | GSSI |

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| **Safety Data Sheet (SDS)** | | | ● | Generally expected to conform to the Global Harmonized System (GHS). The (Material) Safety Data Sheet (SDS) provides comprehensive information for use in workplace chemical management. Employers and workers use the SDS as sources of information about hazards and to obtain advice on safety precautions. The SDS is product related and, usually, is not able to provide information that is specific for any given workplace where the product may be used. However, the SDS information enables the employer to develop an active program of worker protection measures, including training, which is specific to the individual workplace and to consider any measures that may be necessary to protect the environment. Information in a SDS also provides a source of information for other target audiences such as those involved with the transport of dangerous goods, emergency responders, poison centers, those involved with the professional use of pesticides and consumers.<br>See *www.osha.gov/dsg/hazcom/ghs.html#4.8,* particularly section 4.8 for more details. | Occupational Safety & Health Administration. United States Department of Labor, |
| **Saline Water** | | | ● | Saline water is defined as >0.7 electrical conductivity (d S/m) and > 500mg/l salt concentration. | The use of saline waters for crop production – FAO irrigation and drainage paper 48 1992. |
| **Salinization** | | | ● | For waters: the increase in salinity of fresh surface and groundwater supplies. A result of saltwater intrusion by pumping of seawater boreholes and wells, and the building of inland seawater ponds structures. Can have a serious effect on local agriculture, especially paddy fields. | FAO Term Portal – Aquaculture *(www.fao.org/faoterm/en/)* |
| **Seafood Certification Scheme** | ● | ● | | See Certification Scheme. | |
| **Seed** | | | ● | Meaning eggs, spawn, offspring, progeny or brood of the aquatic organism (including aquatic plants) being cultured. At this infantile stage, seed may also be referred to or known as fry, larvae, postlarvae, spat, and fingerlings. They may originate from two principal sources: from captive breeding programmes (e.g., hatcheries) or caught from the wild. | Adapted from FAO Term Portal – Aquaculture *(www.fao.org/faoterm/en/)* |
| **Scheme Owner** | ● | ● | | An organisation, which is responsible for the development, management and maintenance of a certification scheme. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137 |
| **Scope** | ● | ● | | The extent of the area or subject matter that a scheme applies to or to which it is relevant | GSSI |
| **Senior management** | ● | ● | | A person or persons who have the authority and accountability to develop, implement or amend organisational policies and procedures | GSSI |

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| **Sensitive habitat/ biodiversity** | | | ● | Sensitive is used in terms of habitat and/or biodiversity that are of biological, ecological values which are considered outstandingly significant or critically important, at the local, national, regional or global level. Adapted from the High Conservation Value Network.<br>Relevant examples in aquaculture include, but are not limited to include mangrove and wetland forests, supported by the Ramsar Convention , International Union for Conservation of Nature (IUCN) listed species and Protected Areas, High Conservation Value areas defined by the High Conservation Value Area Network, the Convention on International Trade in Endangered Species of Wild Fauna and Flora. | High Conservation Value Area Network *www.hcvnetwork.org* |
| **Site** | ● | ● | | A permanent location where an organisation carries out work or activity' | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Stakeholder** | ● | ● | | An individual or group of individuals, whether at institutional or personal level, who has an interest or claim that has the potential of being impacted by or having an impact on a given activity. This interest or claim can be stated or implied and direct or indirect. Stakeholders and stakeholder groups can be at the household, community, local, regional, national, or international levels. | ISO 26000, Working Draft 3 (Rev), definition 3.17. |
| **Standard** | ● | ● | | Document approved by a recognized organization or arrangement, that provides, for common and repeated use, rules, guidelines or characteristics for products or related processes and production methods, with which compliance is not mandatory under international trade rules. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method. | WTO (1995) Technical Barriers to Trade agreement, Annex 1,2 |
| **Steering Board Liaison** | ● | ● | | An appointed member of GSSI's Steering Board assigned to support and monitor the Benchmark Process on behalf of the Steering Board. | GSSI |
| **Sterile** | | | ● | Being infertile | FAO Term Portal – Aquaculture (www.fao.org/faoterm/en/) |
| **Subcontracting** | ● | ● | | A firm, company or individual carrying out a process on products on the behalf of the site audited and is under contract to do so. | GSSI |
| **Supplier** | ● | ● | | An organisation supplying food, feed or a service. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138 |
| **Surveillance** | ● | ● | | Follow-up audit(s) to assess compliance with the specific requirements of a scheme's standard and to verify the validity of an issued certificate. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138 |
| **Survival rate** | | | ● | Number of fish alive after a specified time interval, divided by the initial number. Usually on a yearly basis or for the rearing period. | FAO Term Portal – Aquaculture *(www.fao.org/faoterm/en/)* |

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|---|---|---|---|---|---|
| **Suspension** | ● | ● | | The process by which a scheme is temporarily not recognised by GSSI. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138 |
| **Tamper-proof (packaging)** | ● | ● | | Made so that one is able to see if anything has been changed, opened, removed, or damaged. | Cambridge dictionaries |
| **Third party** | ● | ● | | A person or body that is independent of the organization or person that provides the object of conformity assessment. | (ISO/IEC 17000, 2004, Definition 2.4) |
| **Third party certification** | | | ● | Procedure by which an accredited external, independent, certification body which is not involved in standards setting or has any other conflict of interest, analyzes the performance of involved parties, and reports on compliance. This is in contrast to first party certification (by which a single company or stakeholder group develops its own standards, analyzes its own performance, and reports on its compliance and second party certification (by which an industry or trade association or NGO develops standards, analyzes the performance of involved parties, and reports on compliance). | Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007 |
| **Traceability** | ● | ● | | The ability to follow the movement of a product of fisheries or aquaculture or inputs such as feed and seed, through specified stage(s) of production, processing, transport and distribution. (Adapted for GSSI) | FAO (2011) Technical Guidelines for Aquaculture Certification. Paragraph 12. |
| **Transfer** | | | ● | The movement of individuals of a species or population of an aquatic organism from one location to another within its present range. | FAO (1998) Codes of practice and manual of procedures for consideration of introductions and transfers of marine and freshwater organisms |
| **Transition period for compliance** | ● | ● | | A defined period of time by which an organisation shall comply to a series of requirements or standard. | GSSI |
| **Trash fish** | | | ● | Small fish species, damaged catch and juvenile fish are sometimes referred to as 'trash fish' because of its low market value. Usually part of a (shrimp) trawler's bycatch. Often it is discarded at sea although an increasing proportion is used as human food or as feed in aquaculture and livestock feed. | FAO Term Portal – Aquaculture *(www.fao.org/faoterm/en/)* |
| **Unit of certification (Aquaculture)** | | | ● | The scale or extent of the aquaculture operation(s) assessed and monitored for compliance. The unit of certification could consist of a single farm, production unit or other aquaculture facility. The certification unit could also consist of a group or cluster of farms that should be assessed and monitored collectively. | FAO Technical Guidelines for Aquaculture Certification (2011) |
| **Unscheduled audit** | ● | ● | | Audits planned within a defined programme, but without the allocation of a specified programme date. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |

*While terms are not limited to a specific section, the color coding indicates in which section the term is used most.*

# GSSI GLOSSARY

| TERM | SECTION A | SECTION B | SECTION C | DEFINITION | REFERENCE |
|---|---|---|---|---|---|
| **Validation** | ● | ● | | An activity to obtain evidence that a requirement is controlled effectively. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Verification** | ● | ● | | A confirmation, through the review of objective evidence that requirements have been fulfilled. | GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms |
| **Veterinarian** | | | ● | See Aquatic Animal Health Professional | |
| **Veterinary drugs** | | | ● | Definitions of veterinary drugs vary from source-to-source. In this document veterinary drugs as considered to include antimicrobials, antibacterials, therapeutants, antibiotics, and veterinary medicinal products, if misused, can result in food safety implications, including residues, as well environmental implications, such as the spread of resistance to treatments in pathogenic organisms. | GSSI |
| **Water quality criteria** | | | ● | Specific levels of water quality desired for identified uses, including drinking, recreation, farming, aquaculture production, propagation of other aquatic life, and agricultural and industrial processes. | FAO Term Portal – Aquaculture *(www.fao.org/faoterm/en/)* |
| **Wet-fish** | | | ● | Unprocessed, uncooked whole or chopped fish. Sometimes referred to as trash fish. | GSSI |
| **Whole fish** | | | ● | These are marine feed ingredients (e.g., algae, crustaceans, and fish) harvested specifically for rendering into fishmeal and fish oil (as opposed to those primarily destined for human consumption. The term does not include aquaculture or fishery byproducts. | GSSI |
| **Work program** | ● | ● | | A defined series of activities to be carried out within a defined time period. | GSSI |

*While terms are not limited to a specific section, the color coding indicates in which section the term is used most.*

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Review of sample audit reports for Finfish & Crustacean Farms and Salmon Farms

Review of sample Finfish&Crustacean and Salmon audit reports across CBs and geographies.

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**Section C - SALMON FARMS**

BAP Salmon Farm Standards
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BAP Feed Mills Standard

OIE Aquatic Animal Health Code

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