



# BENCHMARK REPORT

**SCHEME:** Aquaculture Stewardship Council (ASC)

**SCOPE:** ASC Salmon Standard v1.1, April 27, 2017  
ASC Shrimp Standard v1.0 - March 2014

**DATE:** 17 February, 2020

## Confidence in certified seafood

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## SCHEME OVERVIEW

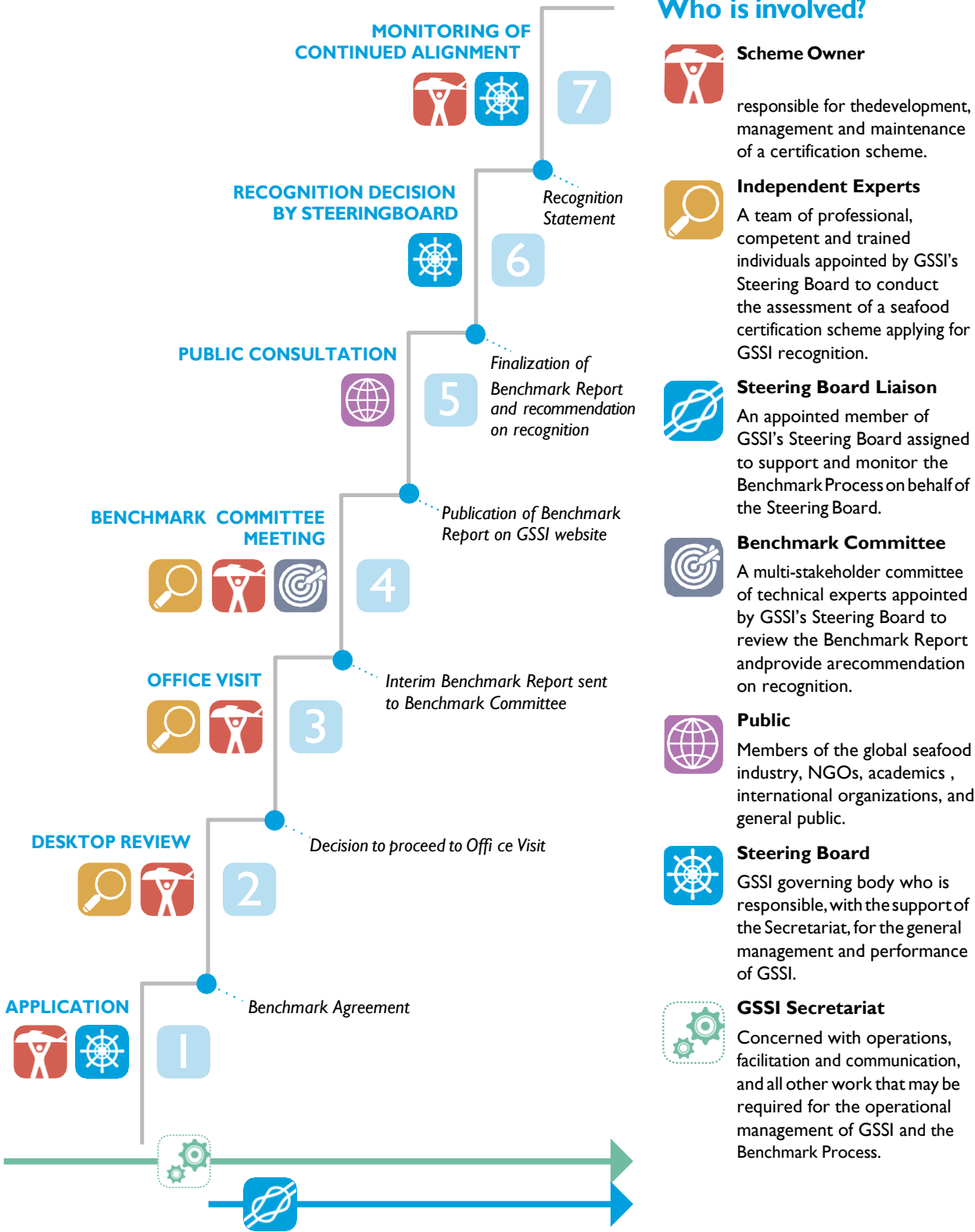
SCHEME NAME	Aquaculture Stewardship Council (ASC)
STANDARD	Salmon Standard v1.1 April 27, 2017 and ASC Shrimp Standard v1.0 - March 2014
FOUNDING DATE	2010
FOUNDING PARTIES	IDH and WWF
MISSION	To transform aquaculture towards environmental sustainability and social responsibility using efficient market mechanisms that create value across the chain.
OBJECTIVE(S)	A world where aquaculture plays a major role in supplying food and social benefits for mankind whilst minimising negative impacts on the environment.
SCOPE	Aquaculture worldwide
WEB SITE	<a href="https://www.asc-aqua.org/">https://www.asc-aqua.org/</a>

FROM APPLICATION TO RECOGNITION:

KEY STEPS AND RESPONSIBILITIES IN THE GSSI BENCHMARK PROCESS

The ASC engaged in the 7 step - Benchmark Process to gain recognition by GSSI in July 2017. 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	<p><b>Application received on August 13, 2017</b></p> <p>The Benchmark Process began when the ASC 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 the ASC and GSSI on April 5, 2017. 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 approved by the ASC and after submitting the completed application to GSSI the Secretariat initiated the Desktop Review.</p>
2	<p><b>Desktop Review from October 3, 2017 to February 5, 2018</b></p> <p>This Desktop Review helped to assess the capability of the ASC to proceed and successfully complete the Benchmark Process within the expected time frame. The submitted application was reviewed by two IEs; a Process IE (Kevin Swoffer), 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 the ASC, the IEs issued a Desktop Report and recommended to proceed to the Office Visit.</p>
3	<p><b>Office Visit October 9 - 10, 2017</b></p> <p>The Office Visit was conducted by the Process IE, while pending issues were clarified between the ASC 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.</p>
4	<p><b>Benchmark Committee Meeting on March 8, 2018</b></p> <p>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.</p>
5	<p><b>Public Consultation from April 24, 2018 to May 25, 2018</b></p> <p>A 30 day 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.</p> <p>The Anderson Cabot Center for Ocean Life at the New England Aquarium and SeaChoice at the Living Oceans Society submitted comments.</p>
6	<p><b>Recognition Decision by the GSSI Steering Board on August 31, 2018</b></p> <p>The Steering Board was briefed by the Benchmark Manager on the process on July 19, 2018, and received the Benchmark Report and the Benchmark Committee's recommendation for recognition on August 14, 2018. It reviewed the report and process and accepted the Benchmark Committee's recommendation on August 31, 2018. Following the decision for recognition 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 <a href="http://www.ourgssi.org">www.ourgssi.org</a> on September 13, 2018</p>
7	<p><b>Monitoring of Continued Alignment</b></p> <p>GSSI ensures continued alignment of recognized schemes with GSSI Essential Components through an annual reporting process of relevant changes. A full reassessment will be required every 3 years, or after significant change to the ASC Salmon Standard.</p>



## WHO IS INVOLVED\*

	<p><b>SCHEME REPRESENTATIVES</b></p> <p><b>Michiel Fransen, Head of Standards and Science</b>, joined ASC as Standards and Certification Coordinator in mid-2012 and since mid-2017 fulfils the role of Head of Standards and Science. Michiel holds an MSc degree in Biology with a specialization in Aquaculture and Fisheries, from Wageningen University. Michiel leads the ASC Responsible Feed Project, which was convened to develop the ASC Responsible Feed Standard. He also maintains contact with certifiers and farms, and provides technical support on implementation of the various standards and technical questions received from external stakeholders.</p> <p><b>Marcelo Hidalgo, Standards and Certification Coordinator</b>, joined ASC in March 2018 as Standards and Certification Coordinator. He holds bachelor degree in Aquaculture and Post Graduate Degree in international Trade, Business and Commerce and a Masters in Food Science. He has 20+ years of experience in the fresh and frozen fish industry.</p>
	<p><b>INDEPENDENT EXPERT (PROCESS)</b></p> <p><b>Sarah Ogston-Gray, Independent Expert for Sections A&amp;B</b>, 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 &amp; Netherlands.</p>
	<p><b>INDEPENDENT EXPERT (TECHNICAL)</b></p> <p><b>Dr. John Hargreaves, Independent Expert for Section C</b>, is an aquaculture expert with over 35 years of experience in research, teaching and development. For the last 10 years, he has been a freelance consultant on commercial aquaculture and development projects, with expertise in water quality management, engineering design assessments and Best Management Practices. He has broad international experience in Latin America, Africa and the Middle East. He has worked with commercially important finfish, shellfish and crustaceans in a wide range of freshwater and marine production systems. He is also Editor-in-Chief of World Aquaculture magazine, a quarterly publication of the World Aquaculture Society.</p>
	<p><b>STEERING BOARD LIAISON</b></p> <p><b>Hugo Byrnes, Vice President Product Integrity, Ahold Delhaize</b>, joined Ahold in 2006 and was subsequently appointed to the position of Vice President Product Integrity. He is responsible for Ahold Delhaize's food and non-food product policies, which cover product safety and responsible products. This includes social compliance, animal welfare and environmental issues. Hugo Byrnes has a Dutch Law degree from the State University Leiden, the Netherlands. He is a food lawyer whose career has focused on the food business and in particular on quality management and standardization.</p>
	<p><b>STEERING BOARD MEMBERS</b></p> <ul style="list-style-type: none"> <li>•Hugo Byrnes (Vice President Product Integrity, Ahold Delhaize)</li> <li>•Dr. Jason Clay (Senior Vice President, Food &amp; Markets)</li> <li>•Flavio Corsin (Aquaculture Director, IDH, the Sustainable Trade Initiative)</li> <li>•Jennifer Dianto Kemmerly (Director of Global Fisheries and Aquaculture, Monterey Bay Aquarium)</li> <li>•Bill DiMento (Vice President of Quality Assurance, Sustainability, and Government Affairs, High Liner Foods Inc.)</li> <li>•Lisa Goché (Vice President, Grobest Global Services, Inc.)</li> <li>•Peter Hajipieris (On behalf of Regal Springs Global Responsibility, Sustainability and External Affairs)</li> <li>•Wakao Hanaoka (Founder/CEO, Seafood Legacy)</li> <li>•Dr. Audun Lem (Deputy Director of the Policy and Resources Division in the Fisheries and Aquaculture Department, FAO)</li> <li>•Darian McBain (Global Director of Corporate Affairs and Sustainability, Thai Union)</li> <li>•Angel Matamoros Irago (Chief Corporate Social Responsibility at Nueva Pescanova Group)</li> <li>•Judy Panayos (Senior Director, Sustainability Supply Management, Sodexo)</li> <li>•Elisabeth Vallet (Director, Ethic Ocean)</li> <li>•Christian von Dorrien (Leader Fisheries and Environment Research Group, Institute of Baltic Sea Fisheries Thünen Institute)</li> <li>•Andrea K. Weber (Director Corporate Sustainability, METRO AG)</li> <li>•Annika Mackensen (GIZ)</li> </ul>

## WHO IS INVOLVED\*



## GSSI SECRETARIAT REPRESENTATIVE

Eva van Heukelom, Technical Manager at the Global Sustainable Seafood Initiative (GSSI).

Eva joined the GSSI team in 2019. Her position involves, among others, the coordination of the GSSI Benchmark processes. She has a background in Environmental Law and has been focused on sustainability in the seafood sector since obtaining her LLM. Prior to working for GSSI, she has worked for an NGO and seafood rating guide.



## BENCHMARK COMMITTEE MEMBERS

Nigel Peacock, Director, NAP Fisheries & Aquatic Environment

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 – 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.

Josie Foster, Director, J Foster Consulting LTD

Independent Expert for: Sections A & B. Josie Foster is a BRCGS Approved Training Provider, IFS trainer and auditor. Foster gained extensive experience in these disciplines at Tesco and has traveled the world training for the BRCGS. Previously, Josie worked as an assessor for UKAS (specializing in ISO 17065) primarily for the BRCGS Global Standard for Consumer Products. Josie's qualifications include, ISO 9000 Lead Assessor qualification, ISO 22000 Lead Assessor qualification, RIPHH Advanced HACCP Certificate, BRC Food and Consumer Products Auditor. Josie is a Fellow of the Institute of Food Science and Technology (FIFST), a Member of the Royal Society of Chemistry (MRSC) and is a Chartered Scientist and Chemist. She also runs her own business as a consultant, coach and mentor.

Rebecca Clarkson, Environment Manager, Aquaculture New Zealand

Rebecca Clarkson has over 15 years' experience in a variety of roles within the New Zealand aquaculture industry, particularly focussing on regional and central government policy and planning, advocacy, environmental management and quality programmes. Her role at Aquaculture New Zealand is currently divided between policy advice and advocacy and implementing the recently launched A+ Sustainable Management Framework for New Zealand aquaculture. Her particular areas of expertise are providing advice and advocacy on legislative and regional policy and planning matters. She also has a broad understanding of environmental certification schemes and has knowledge and experience relating to current science and research into the interactions of marine farms and their environment.

Lee Cocker, Aquaculture Manager, Seafish

As Seafish Aquaculture Manager, the domestic aquaculture sectors in the UK are Lee Cocker's primary focus - working with key stakeholders in industry and Government to best support and facilitate a collaborative approach to the delivery of local and national growth strategies. With various post-graduate qualifications including Sustainable Aquaculture from Stirling University, Lee's initial experience of aquaculture was on the UK's first tilapia farm. He has also worked on aquaculture projects in Africa (Madagascar and Uganda), Southeast Asia (Aquaculture Advisor for WWF Vietnam), and has been an independent consultant; writing reports on African aquaculture for NEPAD, and consumer reports for Seafood Watch.

Gregg Small, Adjunct Faculty, Food Science Innovation Center at Washington State University

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.

James Baros, Director of Sustainability, Sunnyside Seafood Inc (Guolian Aquatic China)

James has been working in the seafood business for six years and holds a master's degree from the University of Miami in Marine Affairs and Policy with a concentration in aquaculture management. As the Director of Sustainability for Sunnyside Seafood, James is responsible for maintaining SSC's aquaculture footprint through regulatory compliance, audits and certifications throughout the supply chain, sustainability initiatives, and responsible sourcing policy aligning our suppliers with the needs of customers. James spends a portion of the year in the field working with aqua farmers and processors in SE Asia and China ensuring consistent supply, compliance with customer's specifications, and building lasting partnerships with forward-thinking seafood producers. In his role at Sunnyside, James is focused on implementing change that will drive sustainability through the entire seafood industry and increase seafood consumption. He oversees participation in pre-competitive collaborations with a number of NGOs and private companies that are developing programs designed to manage the environmental and social impacts of the sector and communicate these efforts to the public to improve public perception of the industry.

# SUMMARY



## 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** → GSSI BENCHMARK REPORT:

**Section** → **A** SUMMARY: GOVERNANCE OF SEAFOOD

**Performance Area number** → **A.1**

**Performance Area** → **SCHEME GOVERNANCE**

**Topic** → **Governance**

**Element** → **Legal status** **A.1.01** **A.1.01.01** **I**

**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.

**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 Essential Component of Performance Area 2 in section A.**

**GSSI Components which are not applicable are marked with “NA”.**

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

SCHEME GOVERNANCE		SCHEME MANAGEMENT	
ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS
<b>Governance</b>		<b>Logo use and claims</b>	
Legal status	A.1.01 A.1.01.01 I	Claim policy	A.2.01
Impartiality	A.1.02	Relevant claims	A.2.02 A.2.02.01 I
Operational procedures	A.1.03 A.1.03.01 I	Claims-making requirements	A.2.03
Transparency of governance	A.1.04	Logo management	A.2.04
Governance complaints	A.1.05	Certificate content management	A.2.05
Governance participation	A.1.06	Minimum percentage-based claims	A.2.06
<b>Scope and objectives</b>			
Scheme scope	A.1.07		
Scheme objectives	A.1.08 A.1.08.01 I		
	A.1.08.02 I		
<b>Non-discrimination</b>			
Non-discrimination – openness	A.1.09 A.1.09.01 I		
Non-discrimination – market access	A.1.10		
<b>Scheme integrity monitoring program</b>			
Internal review	A.1.11 A.1.11.01 I		

**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 JSD 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**

I ISEAL Code of Good Practice for Setting Social and Environmental Standards V6, 2014





























I ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (Impacts Code)

I ISO/IEC 17067:2013, Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes

I 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





# A

## SUMMARY: GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

A.1			A.2			A.3		
SCHEME GOVERNANCE			SCHEME MANAGEMENT			STANDARD SETTING AND MAINTENANCE		
ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS
<b>Governance</b>			<b>Logo use and claims</b>			<b>Standard setting body</b>		
Legal status	<b>A.1.01</b>	A.1.01.01  	Claims policy	<b>A.2.01</b>		Standard setting body	<b>A.3.01</b>	
		A.1.01.02 	Relevant claims	<b>A.2.02</b>	A.2.02.01  	Central focal point	<b>A.3.02</b>	
Impartiality	<b>A.1.02</b>		Claims-making requirements	<b>A.2.03</b>		<b>Standard setting procedures</b>		
Operating procedures	<b>A.1.03</b>	A.1.03.01 	Logo management	<b>A.2.04</b>		Standards development and maintenance procedure	<b>A.3.03</b>	
Transparency of governance	<b>A.1.04</b>		Certificate content management	<b>A.2.05</b>		Work program	<b>A.3.04</b>	
Governance complaints	<b>A.1.05</b>		Minimum percentage-based claims	<b>A.2.06</b>		Terms of reference	<b>A.3.05</b>	A.3.05.01 
Governance participation	<b>A.1.06</b>					Decision making process	<b>A.3.06</b>	A.3.06.01  
<b>Scope and objectives</b>								A.3.06.02  
Scheme scope	<b>A.1.07</b>							A.3.06.03  
Scheme objectives	<b>A.1.08</b>	A.1.08.01 						A.3.06.04  
		A.1.08.02  						<b>NA</b>
<b>Non-discrimination</b>						Complaints	<b>A.3.07</b>	A.3.07.01  
Non-discrimination – openness	<b>A.1.09</b>	A.1.09.01 				Standards review and revision	<b>A.3.08</b>	
Non-discrimination – market access	<b>A.1.10</b>					Proposals for revisions	<b>A.3.09</b>	
<b>Scheme integrity monitoring program</b>						Record keeping	<b>A.3.10</b>	A.3.10.01  
Internal review	<b>A.1.11</b>	A.1.11.01 				<b>Participation and consultation</b>		
						Public summary	<b>A.3.11</b>	
						Balanced participation	<b>A.3.12</b>	
						Public consultation	<b>A.3.13</b>	A.3.13.01 
						Public announcement	<b>A.3.14</b>	
						Stakeholder consultation	<b>A.3.15</b>	A.3.15.01 
								A.3.15.02 
						Transparency comments received	<b>A.3.16</b>	
						Taking comments into account	<b>A.3.17</b>	A.3.17.01 


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

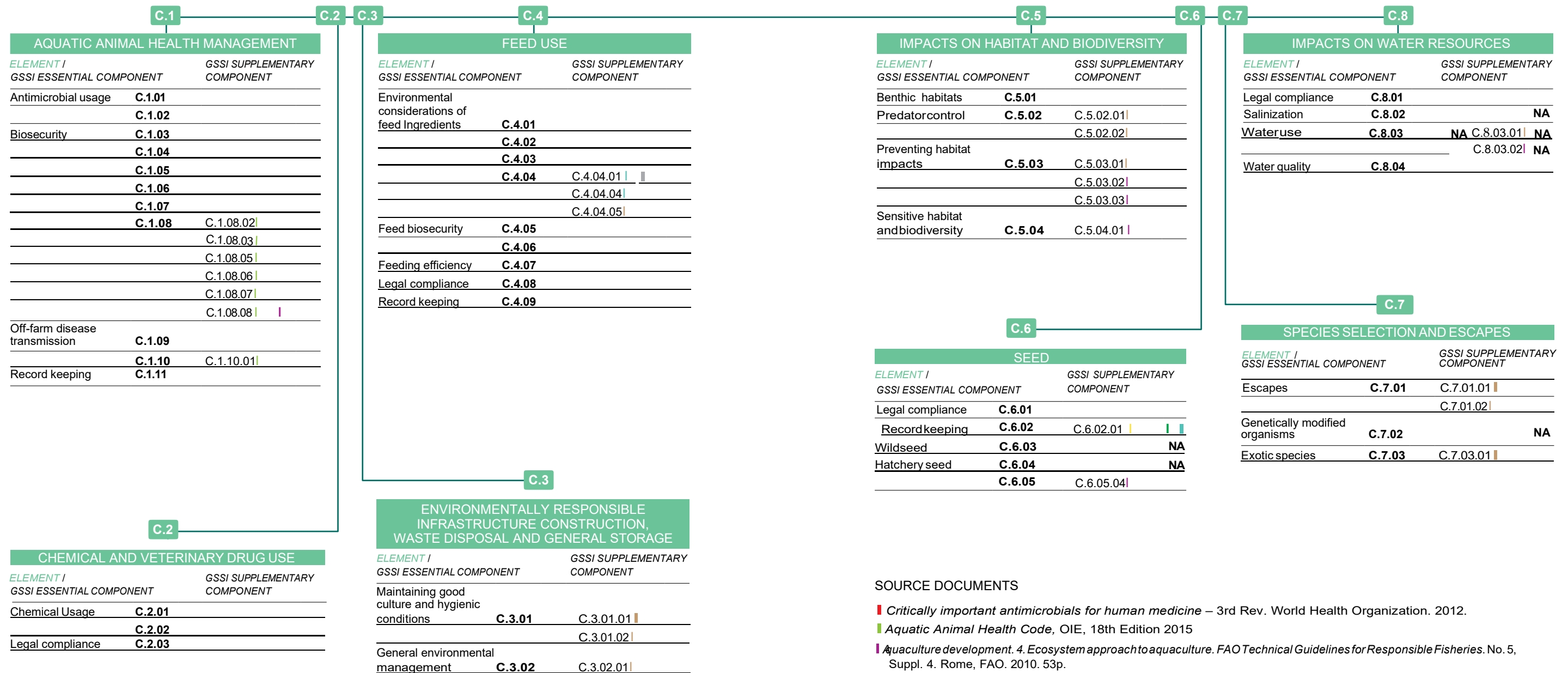
B.1		B.2		B.3	
ACCREDITATION		CERTIFICATION		CHAIN OF CUSTODY	
ELEMENT / GSSI ESSENTIAL COMPONENTS		ELEMENT / GSSI ESSENTIAL COMPONENTS		ELEMENT / GSSI ESSENTIAL COMPONENTS	
ISO-17011 compliance	B.1.01	<b>Certification process</b>		Segregation	B.3.01
Non-discrimination	B.1.02	ISO-17065 compliance	B.2.01	Enterprises to be audited	B.3.02
Specified requirements	B.1.03	Fee structure	B.2.02	Records for traceability	B.3.03
Transition period	B.1.04	Certification cycle	B.2.03	Sub-contractors	B.3.04
Accreditation body – Competencies	B.1.05	Surveillance	B.2.04	Auditing methods and frequency	B.3.05
External review	B.1.06	Assessment methodology	B.2.05	Non-conformity/corrective actions	B.3.06
Organizational transparency	B.1.07		B.2.05.01  	Audit report	B.3.07
Office audit	B.1.08		B.2.05.02  		B.3.08
Field audit	B.1.09	Termination, suspension, withdrawal	B.2.06	Record keeping	B.3.09
		Multi-site certification	B.2.07	Multi-site Chain of Custody audit	B.3.10
		Audit reports	B.2.08	Multi-site Chain of Custody internal verification	B.3.11
		Stakeholder input	B.2.09		
			B.2.09.01  		
			B.2.09.02 		
		Non-compliances	B.2.10		
		Site audit	B.2.11		
			B.2.11.01  		
		Transparency on certified entities	B.2.12		
		Transparency on audit reports	B.2.13		
					NA
			B.2.14		
			B.2.14.01 		
			B.2.14.02 		
		Notification of changes	B.2.15		
		Timeline for corrective action	B.2.16		
		<b>Auditor competence</b>			
		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		

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 - SALMON



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 capture based 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](http://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/](http://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](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)

C SUMMARY: AQUACULTURE CERTIFICATION STANDARDS - SHRIMP

C.1			C.2			C.3			C.4			C.5			C.6			C.7			C.8		
AQUATIC ANIMAL HEALTH MANAGEMENT			CHEMICAL AND VETERINARY DRUG USE			ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE			FEED USE			IMPACTS ON HABITAT AND BIODIVERSITY			SEED			IMPACTS ON WATER RESOURCES			SPECIES SELECTION AND ESCAPES		
ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT	ELEMENT / GSSI ESSENTIAL COMPONENT		GSSI SUPPLEMENTARY COMPONENT
Antimicrobial usage	C.1.01		Chemical Usage	C.2.01		Maintaining good culture and hygienic conditions	C.3.01		Environmental considerations of feed Ingredients	C.4.01		Benthic habitats	C.5.01	NA	Legal compliance	C.6.01		Legal compliance	C.8.01		Escapes	C.7.01	
	C.1.02	C.1.02.01 ●●● C.1.02.02 ●		C.2.02	C.2.02.01 ●●●		C.3.01.01 ● C.3.01.02 ●			C.4.02		Predator control	C.5.02		Record keeping	C.6.02		Salinization	C.8.02				
Biosecurity	C.1.03		Legal compliance	C.2.03		General environmental management	C.3.02	C.3.02.01 ●		C.4.03					Wildseed	C.6.03	C.6.03.01 ●	Water use	C.8.03	NA	C.8.03.01 ●		
	C.1.04									C.4.04	C.4.04.02 ● C.4.04.04 ●				Hatchery seed	C.6.04							
	C.1.05															C.6.05	C.6.05.01 ●●●						
	C.1.06																						
	C.1.07	NA																					
	C.1.08																						
		C.1.08.05 ● NA C.1.08.07 ●																					
Off-farm disease transmission	C.1.09																						
	C.1.10	C.1.10.01 ● NA																					
Record keeping	C.1.11																						

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 capture based 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](http://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/](http://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](http://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*



*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*



*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 Benchmark Report**

**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 Essential Component A.1.01**

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

**SCHEME GOVERNANCE**

**GOVERNANCE**

**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**

**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**

**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.*



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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the detail provided within the Deed of Incorporation of Stichting Aquaculture Stewardship Council Foundation. However, the document submitted is not signed and is an unofficial translation on the ASC web site.

The document was issued by Hermans Schuttevaer which is a law consultancy specialising in Foundations and Associations. The company is based in Utrecht.

The document itself is comprehensive incorporating some 24 articles in relation to governance.

Point of note; those named in the final declaration within the document are no longer involved with ASC as an employee or on the Supervisory Board.

It is noted that on the Financial Statements, 02\_ASC Combined Accounts 2015 there is a Company Registration Number 08172832.

On website there is also reference to a Chamber of commerce no:34389683, a Charity No: 1150418 and a Company No: 0817283 registered as a charity under UK law.

The original Deed of Incorporation of Stichting Aquaculture Stewardship Council Foundation was seen during the office audit and the document was signed by an authorised ASC official.

##### REFERENCESS

- 1) Deed Stichting ASC Foundation\_English translation - Page 1 - Incorporation of a Foundation
- 2) [http://www.asc-aqua.org/wp-content/uploads/2017/07/100407-Deed-Stichting-ASC-Foundation\\_English-translation.pdf](http://www.asc-aqua.org/wp-content/uploads/2017/07/100407-Deed-Stichting-ASC-Foundation_English-translation.pdf)
- 3) <http://beta.charitycommission.gov.uk/charity-details/?regid=1150418&subid=0>

## A.I

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements V2 Dec 2015 clearly defines the relationship between those requesting certification and ASC.

The ASI Service and License Agreement once again clearly defines the relationship between ASI, ASC and CAB's. Within the Preamble Page 1 - ASI will operate its accreditation activities independent from any commercial pressure of CABs, actors in the supply chain or any other involved in ASC certification.

Note there is no mention of ISO 17011:2004 which requires the AB to abide with the principles of impartiality under section 4.3.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements V.2
- 2) Service Agreement ASC/ASI 2016

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the Organisational Chart has been revised to include the TAG and the proposed SAG and the relationship with the Supervisory Board. This is now in line with the Deed Stichting ASC Foundation\_English translation and is what would have been expected to be in place. A copy is retained by the IE.

The SAG is still being considered at this stage with a possible MSC approach being reviewed, however the TAG and Board are made up of a highly diverse profile of companies/ organisations and the benefits of the SAG must be assessed. The question of funding was discussed in detail and ASC is a registered charity and has therefore got to legally adhere to charity legislative requirements in both UK and the Netherlands. The only monies coming into ASC is that from the training of auditors and the monies gained by ASCI relates the logolicensing and not direct income from accreditation or certification activities.

The job description of the Head of ASC Standardme Integrity has now been received and reviewed. The key responsibilities and key tasks are in line with expectations. The document is retained by the IE. Key tasks 17/10/2017

Key tasks will include:

- Oversee the development and improvement of ASC certification and accreditation requirements
- Make sure that the auditing capacity and competence to meet the growing demand for the programme (auditor training, guidance, interpretation) is properly and adequately built up

##### REFERENCES

- 1) organization Chart June 2017
- 2) Deed Stichting ASC Foundation\_English translation
- 3) ASC Regulations for Supervisory Board
- 4) ASC TAG TOR and Rules
- 5) ASC Regulations for Executive Board
- 6) ASC Certification and Accreditation Requirements V.2
- 7) ASC Standard Setting Procedure\_v.1.0 - Page 4/14 - 6. Governance structure and responsibility
- 8) ASC Whistle-blower Policy
- 9) ASC Complaints Procedure
- 10) TOR Supply Chain Integrity Manager
- 11) ASC Combined Accounts 2015 - Directors report

## 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 ASC Salmon Standard is in alignment because there is a high element of transparency of governance through the ASC website and a significant number of key documents readily available to download from the website. See references  
In relation to the highly detailed Standard Setting Procedure the document itself states it is publicly available on the ASC website.

#### REFERENCES

- 1) ASC Website on Governance via <https://www.asc-aqua.org/about-us/governance/> and associated web links on page to specific documents e.g. Minutes TOR
- 2) ASC Website on Farm Standards via <https://www.asc-aqua.org/what-we-do/our-standards/farm-standards/>
- 3) 05\_ASC Standard Setting Procedure\_v.1.0 Page 6

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is well defined and publicly available complaints procedure which has a number of scopes in relation to the type of complaint and how each will be dealt with 11\_ASC Complaints Procedure Page 4.

There is also a whistle-blowing policy publicly available which again specifies scope and procedures.

The document 04\_ASC Certification and Accreditation Requirements V.2.pdf has, as would be expected a number of sections relating to complaints in relation to certification and accreditation processes.

As would be expected under ISO 17011 principles ASI has a published dispute mechanism upon its website together with incident management, complaints and appeals.

##### REFERENCES

- 1) ASC Complaints Procedure via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Complaints-Procedure\\_V1.0-1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Complaints-Procedure_V1.0-1.pdf)
- 2) ASC Whistle-blower Policy
- 3) ASC Certification and Accreditation Requirements V.2.pdf
- 4) <http://www.accreditation-services.com/dispute-management/incidents>
- 5) <http://www.accreditation-services.com/dispute-management/complaints>
- 6) <http://www.accreditation-services.com/dispute-management/appeals>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is provision of a Stakeholder Advisory Group within the Deed Stichting ASC Foundation Page 10 and within ASC Regulations for Supervisory Board Section 6.

As well, there are differing types of stakeholders on Boards and Committees e.g. Supervisory Board 2 Industrial Reps and 5 Non Industry Reps, TAG 1 Industry Rep, 3 Non Industry Reps and 3 others. TWG on Group Certification Requirements 1 Industry Rep, 4 Non Industry Rep and 1 other and Steering Committee for Feed Standard Development 10 Industry Reps and 5 Non Industry Reps. <https://www.asc-aqua.org/about-us/governance/>

Additionally, there is a section on the website which facilitates and encourages active participation of stakeholders <https://www.asc-aqua.org/what-you-can-do/participate/> and <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>

There is provision of online comment on <https://www.asc-aqua.org/what-you-can-do/participate/how-you-can-participate/> and <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>. Within these web pages there is the clear provision of a telephone number and e mail address as well as defined complaints and objections procedures and an ASC Whistle Blowing Policy.

##### REFERENCES

- 1) Deed Stichting ASC Foundation
- 2) ASC Regulations for Supervisory Board
- 3) ASC Website on Governance via <https://www.asc-aqua.org/about-us/governance/>
- 4) ASC Website on participation via <https://www.asc-aqua.org/what-you-can-do/participate/>
- 5) ASC Website on participation via <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>
- 6) Draft Minutes of the Supervisory Board Meeting held on 18th and 19th April 2018, minute 5, entitled TAG Governance and Stakeholder Advisory Board Group (confidential)
- 7) ASC TAG TOR and Rules v.1.0 Sept 27, 2012, Page 2
- 8) TAG13\_Agenda\_Final.docx, (confidential)
- 9) E mail of debrief of this meeting TAG-13 by Michiel Fransen dated 1st July 2018 (confidential).
- 10) SB34-DRAFT minutes-v.2.0 to SB.docx, (confidential)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the requirements for certification (Section 17.1).

In addition, the scope of certification is clearly defined in the ACS Shrimp Standard V1.0 (pages 7 & 15) and the ASC Salmon Standard V 1.1 (pages 5 & 12). These documents were readily available on the ASC website.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASI (ASC appointed accreditation body) website was reviewed. A list of CABs accredited for ASC was available. The certificates of accreditation were available including the specific ASC standards the CAB's can certify against.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017), pages 21-25.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) ACS Shrimp Standard V 1.0, March 2014.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0.pdf)
- 3) ASC Salmon Standard V 1.1, April 2017.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)
- 4) ASC Website via <https://www.asc-aqua.org>
- 5) ASC Website via <http://www.asi-assurance.org/s/find-a-cab>

## 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 publicly 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 Aquaculture Stewardship Council (ASC) Certification Scheme (for the scope of the Salmon and Shrimp standard) is in alignment with this GSSI component because the objectives of the scheme are clearly defined on the ASC website.

In addition, the standard specific objectives are defined within each standard document (example ASC Shrimp Standard V1.0 (pages 2 & 15) & ASC Salmon Standard V1.1 (pages 4 & 12). These documents were readily available on the ASC website.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the current operational reviews of the ASC Shrimp and Salmon Standards were reviewed on the ASC website.

##### REFERENCES

- 1) ASC Website via <https://www.asc-aqua.org/about-us/about-the-asc>
- 2) ACS Shrimp Standard V 1.0 March 2014.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0.pdf)
- 3) ASC Salmon Standard V 1.1, March 2014.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0.pdf)
- 4) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-shrimp>
- 5) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-salmon-smolt>
- 6) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/review-salmon-pti>

## A.I

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the service agreement between ASI requires ISO 17011 equivalence and the Certification and Accreditation Requirements ensure that CABs comply with ISO17065.

Within both ISO standards, ISO 17011:2004 Clause 4.3.3 and ISO 17065:2012 Clause 4.4, have explicit nondiscriminatory conditions.

##### REFERENCESS

- 1) Service Agreement ASC/ASI 2016
- 2) ASC Certification and Accreditation Requirements V.2
- 3) ISO 17011:2004
- 4) ISO 17065:2012

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the service agreement between ASI requires ISO 17011 equivalence and the Certification and Accreditation Requirements ensure that CABs comply with ISO17065.

Within both ISO standards, ISO 17011:2004 Clause 4.3.3 and ISO 17065:2012 Clause 4.4, have explicit non discriminatory conditions.

#### REFERENCESS

- 1) Service Agreement ASC/ASI 2016
- 2) ASC Certification and Accreditation Requirements V.2
- 3) ISO 17011:2004
- 4) ISO 17065:2012
- 5) <https://www.asc-aqua.org/what-we-do/our-approach/our-approach/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is evidence of performance review within the Logical Framework 2017-2019.

Within the Deed Stichting ASC Foundation there is also a requirement under section 14 ,2 for the Supervisory Board to meet at least once per year to consider the annual report and financial statements and at least one meeting to consider the operational plan and budget.

Minutes of the ASC Assurance System Review held on 29th March in London were reviewed.  
Under the Service and License Agreement between ASC an ASI under section 5 Obligations of the Parties, clause 5.8, there is an obligation to attend an annual meeting to review contract implementation and performance and other critical issues.

##### REFERENCES

- 1) Logframe January 2017 V3 ( Minutes of meetings were reviewed at the Office Audit)
- 2) Deed Stichting ASC Foundation
- 3) Minutes of system review\_Mar2017
- 4) Service Agreement ASC/ASI 2016

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there are highly defined rules in relation to logo use and claim provision, all of which are publicly available on the ASC website.

The logo claims section of the website is in a number of different languages.

##### REFERENCES

1) ASC User guide Oct 2012

**ASC Website on logo via:**

- 2) <https://www.asc-aqua.org/our-logo/>
- 3) <http://www.asc-aqua.org/our-logo/logo-user-guide/>
- 4) <http://www.asc-aqua.org/our-logo/report-misuse-of-the-asc-logo/>
- 5) <http://www.asc-aqua.org/our-logo/logo-user-guide/>
- 6) <https://www.asc-aqua.org/our-logo/marketing-tool-kit/>
- 7) <https://www.asc-aqua.org/our-logo/our-logo-claims/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is registration under WIPO dating back to March 2013 so there is a level of assurance on copyright.

In relation to the clarity of the use of logo and claims, once again this is covered by the ASC User guide which is easy to read understand and is comprehensive.

In addition there is added protection as there is a register of logo users under the control of ASCI based in the UK which has formal logo licensing agreements with logo users where the duties and responsibilities of the licensee is clearly defined and agreed (Section 4 page 3).

ASC is a UK and Netherlands registered charity and owns ASCI. ASCI gain income from logo licensing.

There is complete data sharing between the organisations and there are regular meetings in Utrecht and London. The license system is outsourced and operated by MSC, as this links to the CoC standard and requirements. The operation is outsourced to MSC. Data is therefore validated. There is an MOU between ASC and MSC which once again will be shared during a Skype call and not in hard copy as this document is commercially very sensitive.

The ASC/MSC MoU was reviewed during a Skype call on 25th October.

The document was signed by both parties in June 2015 and is still current. There is a 12 months termination notice period for both parties. The content of the document was as expected giving clear scoping to the activities of CoC certification and licensing between the organisations.

The organisations have met on a 3 month basis over the last two years and will be moving to 6 monthly meetings as the relationship is working well.

**REFERENCES**

- 1) WIPO\_overview - first page of ASC logo registration internationally
- 2) ASC\_usersguide\_oct2012
- 3) ASC LLA EN - Logo Licensing Agreement
- 4) ASC Website on Logo usage via <http://www.asc-aqua.org/our-logo/logo-user-guide/>
- 5) ASC/MSC MoU (Confidential however reviewed via skype link)

## 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:

- publicly 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements V2 under section 3 MSC Chain of Custody Certification and the ASC logo (page v) are in place, but defined in detail with section 4.10 Use of the ASC and CAB trademarks section 4.10 page 5. Reference again is made to ISO 17065 on use of logo.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements V.2
- 2) ASC LLA EN
- 3) ASC\_usersguide\_oct2012 via <http://www.asc-aqua.org/our-logo/logo-user-guide/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because in addition to the publicly available information concerning logo use, there are formalized arrangements for the permission for the usage of logo by ASCI.

It was established at the office audit that data is shared and the register is available to ASC but ASCI hold the data in a separate location.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements V.2
- 2) ASC LLA EN
- 3) ASC Certified Fish Farm Undertaking
- 4) ASC Certifier Undertaking
- 5) Media Undertaking

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is a requirement for CAB's to comply with specific certification content under ISO 17065 : 2012 section 7.7 Certification Documentation.

It is confirmed at the office audit that the outcome of certificate generation is acceptable, as the requirements of ISO 17065 must be met; however there is no certificate template; this was in hand at the time of the office audit and the new IT platform was under development and progressing.

There a a significant number of certificates on the ASC website and a number were reviewed to assess the level of information. The information was consistent with respect to meaning but wording varied slightly; examples seen were:

- date of certification with date of issue/valid until
- Valid from and to e.g. 30 Jan 2016 to 29 Jan 2019. I regard valid date as equivalent to issue date.

There is no ASC address as such on the certificate but ASC is always referred within the scope and the ASC address sits predominantly on the ASC website.

Ref ISO 17065 Sections 7.7.1.

## REFERENCES

- 1) ISO 17065:2012
- 2) ASC Certification and Accreditation Requirements V.2
- 3) Aquafarm Nusantara\_Lontung Farm\_CERTIFICATE (example)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the MSC certified percentage rules apply, however the 95% rule is not specifically stated with ASC documentation with the exception of two references within the logo user guide section of the website (<https://www.asc-aqua.org/our-logo/logo-user-guide/>) which have to be opened <https://www.asc-aqua.org/wp-content/uploads/2017/08/Guidelines-Non-ASC-certified-seafood-ingredients.pdf> and [https://www.asc-aqua.org/wp-content/uploads/2017/06/42\\_Non-ASC-certified-seafood-ingredients.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/06/42_Non-ASC-certified-seafood-ingredients.pdf)

## REFERENCES

- 1) ASC User Guide Section 4  
[https://www.asc-aqua.org/wp-content/uploads/2017/06/ASC-Logo-User-Guide\\_Dec2017\\_FINAL\\_21122017.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/06/ASC-Logo-User-Guide_Dec2017_FINAL_21122017.pdf)
- 2) <https://www.msc.org/documents/scheme-documents/msc-scheme-requirements/certified-ingredient-percentage-rules/>
- 3) <https://www.msc.org/documents/logo-use/asc-msc-co-labelling-rules>
- 4) <https://www.asc-aqua.org/our-logo/logo-user-guide/>
- 5) <https://www.asc-aqua.org/wp-content/uploads/2017/08/Guidelines-Non-ASC-certified-seafood-ingredients.pdf>
- 6) [https://www.asc-aqua.org/wp-content/uploads/2017/06/42\\_Non-ASC-certified-seafood-ingredients.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/06/42_Non-ASC-certified-seafood-ingredients.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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC has a clearly defined organization structure and procedures regarding the setting of standards.

##### REFERENCES

- 1) Deed Stichting ASC Foundation\_English
- 2) ASC Certification and Accreditation Requirements V.2
- 3) ASC Standard Setting Procedure\_v.1.0

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because on the ASC website within the Standards page there is information regarding the Utrecht office, a telephone number +31302393110 and a general inquiry e mail address of [info@asc-aqua.org](mailto:info@asc-aqua.org).

In addition within the website there is a section concerning personnel at ASC with specific job roles. In each case there is access to send an e mail to a specific team member and a direct contact telephone number.

**REFERENCES**

- 1) <https://www.asc-aqua.org/what-we-do/our-standards/farm-standards/>
- 2) <https://www.asc-aqua.org/what-we-do/our-standards/farm-standards/>
- 3) <http://www.asc-aqua.org/about-us/team/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is in place a well defined standard setting procedure which are publicly available.

With respect to standards review there are review processes in place which are highlighted within the website (<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/>)- 'To ensure the continued relevance and effectiveness of the standards, we coordinate periodical operational standards reviews that are open to the public.

Based on the outcome of the review, the standards are amended to reflect changes in science and technology.' There are currently three on the website Pangasius, salmon and freshwater trout. <https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/operational-review-salmon-pangasius-tilapia-standards/> and <https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/operational-review-freshwater-trout-standard/> I would also refer to an e mail from Michiel Fransen regarding 7 documents for public consultation.

##### REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) E mail from M Fransen dated 29th August to GSSI

##### ASC Website on Review:

- 3) <https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/>
- 4) <https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/operational-review-salmon-pangasius-tilapia-standards/>
- 5) <https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/operational-review-freshwater-trout-standard/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because although there is not a formal 'work programme' as a single document and the reference given within the desk top submission was inappropriate but during the office audit it was established that within the ASC website there are references to standards development and review.

(<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/>) and there are individual standards reviews and development plans with timescales examples being:

Core standard development (<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/core-standard-development/>)

ASC-MSC Seaweed Standard (<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/asc-msc-seaweed-standard/>)

New Farm Standards (<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/new-farm-standards/>)

Operational review pangasius salmon (<https://www.asc-aqua.org/what-we-do/programme-improvements/operational-review-salmon-pangasius-tilapia-standards/>)

Operational review freshwater trout (<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/operational-review-freshwater-trout-standard/>)

**REFERENCES**

- 1) ASC Website on Farm Standards via <http://www.asc-aqua.org/what-we-do/our-standards/farm-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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the main Standard Setting document defined requirements and TOR are developed for each new standard or revision. In the case of a revision TOR the existing TOR will be updated where applicable (ASC Standard Setting Procedure\_v.1.0 page 8 section 8.3.)

##### REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) <http://www.asc-aqua.org/what-we-do/our-standards/development-and-review/operational-review-freshwater-trout-standard/>
- 3) Salmon Standard Review process <https://www.asc-aqua.org/what-we-do/programme-improvements/operational-review-salmon-pangasius-tilapia-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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because holistically within the organization there is strict compliance with the Deed Stichting ASC Foundation document which is the core of the organization governance process has specific requirements for decision making of the Executive Board and Board voting rules for the Supervisory Board.

The Standard Setting Process is one of consultation and consensus ASC Standard Setting Procedure\_v.1.0, Page 4 section 6, on Page 12 section 8.10.9 explains the acceptance process for a new standard and steps that the Supervisory Board may take before approval through increased consultation.

In addition within the TAG TOR there is reference to voting processes at meetings of the Groups (Page 8 sections 4.7.to 4.10). Also there are examples where there are individual TOR for specific standards where there is reference to decision making procedures and agreement is difficult to reach (ToR Feed\_v.1.1\_website page 12).

The Supervisory Board (SB) is the ultimate decision-making body of the ASC and approves the final version of any standards newly developed or revised, based on recommendations of the Technical and Stakeholder advisory groups. There is clear evidence of consensus decision making for the Supervisory Board which is defined within the ASC Standard Setting Procedure (ref ASC Standard Setting Procedure v1.0 Nov 2014, section 6.6, page 4 and section 8.11.1, page 12).

##### REFERENCES

- 1) Deed Stichting ASC Foundation
- 2) ASC Standard Setting Procedure\_v.1.0
- 3) ASC TAG TOR and Rules
- 4) ToR Feed\_v.1.1\_website
- 5) ASC Standard Setting Procedure v1.0 Nov 2014, section 6.6, page 4 and section 8.11.1, page 12
- 6) Deed Stichting ASC Foundation 2011, Article 14, Page 8, Points 4,5,6,7 and 8
- 7) TAG meeting No 11 in December 2017 (confidential)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there are clearly defined requirements in place within the ASC Standard Setting Procedure\_v.1.0 on page 13 under sections 11.2 and 11.3.

Specific reference is made within section 8.3.2 j of ASC Standard Setting Procedure\_v.1.0 regarding procedural complaints.

There is also in place a publicly available Complaints Procedure ref <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>

##### REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) ASC Website via <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is a defined requirement to review existing standards at least every five years (05\_ASC Standard Setting Procedure\_v.1.0 Section 8.1.1) or less than five years in the event of the recognition of issues arise for existing standards (05\_ASC Standard Setting Procedure\_v.1.0 Section 8.1.2). The example provided in relation to four standards is relevant.

**REFERENCES**

- 1) ASC Standard Setting Procedure\_v.1.0 Section 8.1.1
- 2) ASC Standard Setting Procedure\_v.1.0 Section 8.1.2

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is a specific requirement to encourage stakeholder and other interested parties comments on the ASC website.

In addition with the ASC Standard Setting Procedure\_v.1.0 within section 8 there are a number of references to encouragement of comment which ties into the standards revision process. Reference is made in section 8.1.4 of communication and documentation within the Issue Log.

## REFERENCES

- 1) ASC Website on Providing Input via <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>
- 2) ASC Standard Setting Procedure\_v.1.0 Section 8  
Example of Trout Issue Log

## 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 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ToR for the development of standards; the ToR for developing ASC Responsible Aquaculture Feed Standards are in place and enacted. A detailed review how the GSSI requirement has been met were reviewed during the office audit.

In addition a copy of the Feed Standard Summary- Stakeholder Feedback was reviewed and ASC were able to demonstrate how the document can be regarded as a synopsis and how each comment is responded to.  
(Ref ToR for developing ASC Responsible Aquaculture Feed Standard V1.1 15Dec 2015 and Feed Standard Summary Stakeholder Feedback)

## REFERENCES

- 1) ASC Responsible Aquaculture Feed Standard V1.1 15Dec 2015
- 2) Feed Standard Summary Stakeholder Feedback
- 3) ASC Website on Feed Standard via <https://www.asc-aqua.org/what-we-do/our-standards/feed-standard/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is a comprehensive process set down within the document ASC Standard Setting Procedure\_v.1.0, (specifically section 8.3.2 and Annex 13) which covers the scope of the requirement. This is supplemented with website information.

##### REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0 (section 8.3.2 and Annex 13)
- 2) Various web site references e.g.  
<https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>  
<https://www.asc-aqua.org/what-we-do/programme-improvements/>  
<https://www.asc-aqua.org/what-we-do/our-standards/development-and-review/>  
<https://www.asc-aqua.org/what-you-can-do/participate/provide-input/> and committee/board TOR.

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within the Deed Stichting ASC Foundation\_English translation - Page 1 - Incorporation of a Foundation Article 10 (4) requires the Supervisory Board membership to reflect a balanced representation of areas of expertise and backgrounds and the members of the stakeholder groups are reflected within standard setting groups (<http://www.asc-aqua.org/about-us/governance/>).

The Supervisory Board has a diverse membership.g. Supervisory Board 2 Industrial Reps and 5 Non Industry Reps, TAG 1 Industry Rep, 3 Non Industry Reps and 3 others . TWG on Group Certification Requirements 1 Industry Rep, 4 Non Industry Rep and 1 other and Steering Committee for Feed Standard Development 10 Industry Reps and 5 Non Industry Reps.

The selection of these decision making groups is defined within the SB Nominations Protocol to provide some assurance of diversity and a broad profile.

The standard setting process ASC Standard Setting Procedure\_v.1.0 also defined in section 8.3.2 (e) and Annex 3. Examples reference support the requirement [http://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed\\_v.1.1\\_website.pdf](http://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed_v.1.1_website.pdf) and the ToR for developing the ASC Responsible Aquaculture Feed Standard

The additional reference to the Minutes of the ASC Feed Project meeting in Vancouver in 2015 was good where the need for the participation of auditors was recognised.

##### REFERENCES

- 1) Deed Stichting ASC Foundation\_English translation - Page 1 - Incorporation of a Foundation Article 10 (4)
- 2) ASC Standard Setting Procedure\_v.1.0
- 3) ToR Feed\_v.1.1, accessible via [http://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed\\_v.1.1\\_website.pdf](http://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed_v.1.1_website.pdf)
- 4) ASC Feed Project\_8th SC meeting 30 October 2015\_Minutes

## 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 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Standard Setting Procedure\_v.1.0 section 8.6.11 states the public consultation period (30-60 days). Also, there is a second public consultation which if added together gives a total of at least 60 days.

However in ASC Standard Setting Procedure\_v.1.0 section 8.8 the second consultation may be skipped or period shortened. It was found during the Office Visit that there had been no instances of a reduction and it was stated that a reduction would only take place if there were little or no comment on the initial consultation.

The GSSI requirement is to allow for a 60 days period for comment submission. This is fulfilled because any draft standard has two consultation period of at least 30 up to 60 days. This results in a public comment period of 60 to 120 days.

This approach is reasonable and meets GSSI requirements regarding 60 day rule, but the wording and clarity of ASC Standard Setting Procedure\_v.1.0 could be improved.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0 section 8.6.1, section 8.6.1 and 8.9
- 2) Example Feed Standard  
<https://www.asc-aqua.org/what-we-do/our-standards/feed-standard/> section Timelines and Important Dates
- 3) <https://www.asc-aqua.org/what-we-do/programme-improvements/operational-review-salmon-pangasius-tilapia-standards/op>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Secretariat announces the public consultation period as the Supervisory Committee sign if the first draft of the standard. The media for notification is press release, website and via ISEAL.

The examples given are relevant e.g. <https://www.asc-aqua.org/what-we-do/our-standards/feed-standard/>.

There are also regular newsletters that are on the ASC website which can be used to communicate with stakeholders.

**REFERENCES**

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) <http://www.asc-aqua.org/what-we-do/our-standards/feed-standard/>
- 3) [http://mailchi.mp/asc-aqua/asc-enewsletter-april-2017?e=\[UNIQID\]](http://mailchi.mp/asc-aqua/asc-enewsletter-april-2017?e=[UNIQID])

## 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 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because ASC have a number of mechanisms allowing stakeholders to participate in the consultation process. This is clearly defined within ASC Standard Setting Procedure\_v.1.0 sections 8.6.3, 8.6.4 and 8.6.5.

Stakeholder consultation will take place when the Variance Request Committee has made a decision that a variance is required; this is after review with the applicant and appointed technical experts. The decision will be posted for comment as part of a draft audit report public comment period. Stakeholders shall be encouraged to raise any points of disagreement or add references to relevant material.

##### REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) <https://www.asc-aqua.org/what-you-can-do/participate/support-us/>
- 3) <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>
- 4) <https://www.asc-aqua.org/what-you-can-do/participate/support-us/>
- 5) <https://www.asc-aqua.org/what-you-can-do/participate/provide-input/>
- 6) ASC Certification and Accreditation Requirements v 2.1 August 2017, Page 77
- 7) ASC Variation Request (VR) Procedure Draft V0.1 section 5.9 page 6, Confidential
- 8) <http://variance-requests.asc-aqua.org>
- 9) Variance Requests- 20180703-1.xlsx
- 10) QAs-20180703.xlsx

## 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 publicly 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is non attributable reference and organizations are named and specifically no individuals are named or identified. The Feedback From Public Consultation 1 FINAL for Feed names stakeholders as organizations, their feedback (brief summary), rationale behind feedback and their proposed changes.

ASC have stated no issues have been raised since introducing this approach and they regard this as being an appropriate level of transparency. They have also stated that the GSSI needs clarity as this requirement is somewhat open to interpretation.

## REFERENCES

- 1) Example Feedback From Public Consultation 1 FINAL for Feed  
<https://www.asc-aqua.org/what-we-do/our-standards/feed-standard/>
- 2) Consultation Documents Feedback from 2nd Public Consultation  
<https://www.asc-aqua.org/wp-content/uploads/2017/07/OR-Second-Stakeholder-Feedback-Synopsis.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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because here is a requirement within ASC Standard Setting Procedure\_v.1.0 sections 8.7.2 and 8.7.3 and more importantly 8.7.5.

The example presented regarding the Summary of Public Comments received on the first draft of the ASC Responsible Feed Standard is relevant.

## REFERENCES

- 1) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed\\_v.1.1\\_website.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed_v.1.1_website.pdf)
- 2) Consultation Documents Feedback from 2nd Public Consultation  
<https://www.asc-aqua.org/wp-content/uploads/2017/07/OR-Second-Stakeholder-Feedback-Synopsis.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 Aquaculture Stewardship Council (ASC) Certification Scheme (for the scope of the Salmon and Shrimp standard) is in alignment with this GSSI component because the ASC Standard Setting Procedure V1.0 (Sections 8.5.1-8.5.8) clearly defines the principles relating to the drafting and content of the standards.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the current operational reviews of the ASC Shrimp (started April 2018) and Salmon Standards (smolt/pti/3.1.7) were reviewed on the ASC website.

##### REFERENCES

- 1) ASC Standard Setting Procedure V.1.0, Nov. 2014. (pages 9 & 10). Accessible via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure\\_v.1.0\\_including-forms.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf)
- 2) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-shrimp>
- 3) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-salmon-smolt>
- 4) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/review-salmon-pti>
- 5) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/3-1-7>
- 6) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/aligned-standard/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme (for the scope of the Salmon and Shrimp standard) is in alignment with this GSSI component because the process for standard setting is clearly documented in Section 8 of the ASC Standard Setting Procedure V1.0.

In addition, further evidence of field testing was referenced in the Terms of Reference (ToR) Developing New ASC Farm Standards (page 10).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the following document was reviewed: Summary of Public Comments Received During the Second Public Consultation Period ASC Sea Bass, Sea Bream, and Meagre Standard – ASC Tropical Marine Finfish Standard – ASC Flatfish Standard.

During the office visit on 15/5/19 the background to the Salmon & Shrimp standard development was discussed. The history is on the website (see reference 4). The development of the Shrimp & the Salmon standards did not follow the current process. The current process for standard development has been put in place subsequently & it followed for new standards.

However, both the shrimp and the salmon standard are currently going through the formal review process.

##### REFERENCES

- 1) ASC Standard Setting Procedure V.1.0, Nov. 2014 (pages 5-12).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure\\_v.1.0\\_including-forms.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf)
- 2) Terms of Reference (ToR) Developing New ASC Farm Standards V3.0 July 2017.  
<https://www.asc-aqua.org/wp-content/uploads/2017/07/TOR-New-ASC-Farm-Standards>
- 3) <https://www.asc-aqua.org/wp-content/uploads/2017/07/Summary-of-Public-Comments-Received-for-the-Second-Public-Consultation-Period-ASC-Sea-Bass-Sea-Bream-and-Meagre-Standard-ASC-Tropical-Mari>
- 4) <https://www.asc-aqua.org/what-we-do/our-standards/history-of-our-standards/>
- 5) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-shrimp/>
- 6) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/review-salmon-pti/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC guiding principles of standard setting clearly documented in Section 7 of the ASC Standard Setting Procedure V1.0.

In addition the standard specific objectives are defined within each standard document (example ASC Shrimp Standard V1.0 (pages 2 & 15) & ASC Salmon Standard V1.1 (pages 4 & 12). These documents were readily available on the ASC website.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the current operational reviews of the ASC Shrimp (started April 2018) and Salmon Standards (smolt/pti/3.1.7) were reviewed on the ASC website.

## REFERENCES

- 1) ASC Standard Setting Procedure V.1.0, Nov. 2014 (page 5).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure\\_v.1.0\\_including-forms.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf)
- 2) ACS Shrimp Standard V 1.0, March 2014.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0.pdf)
- 3) ASC Salmon Standard V 1.1, March 2014.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0.pdf)
- 4) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-salmon-smolt>
- 5) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/review-salmon-pti>
- 6) <https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/aligned-standard/>

## 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 interpretation guidance.
- assessment or monitoring reporting indicating where locally specific guidance is required.

##### CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC guiding principles of standard setting are clearly documented in Section 7 of the ASC Standard Setting Procedure V1.0.

In addition, The ASC request for Interpretation or variance procedure is described in detail in the ASC Certification and Accreditation Requirements V.2.1 (pages 77 & 78).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the master list of documents available on the ASC website. This included links to all the Standards (including Salmon and Shrimp), the audit manuals (in English) & a number of these documents translated into different languages.

##### REFERENCES

- 1) ASC Standard Setting Procedure V.1.0, Nov. 2014 (page 5).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure\\_v.1.0\\_including-forms.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf)
- 2) ASC Certification and Accreditation Requirements (V2.1 August 2017),  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist\\_19.04.2018.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist_19.04.2018.pdf)
- 4) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Audit-Manual\\_v1.1-1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Audit-Manual_v1.1-1.pdf)
- 5) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because ASC has the series of their standards publicly available upon their website in alignment s within ASC Standard Setting Procedure\_v.1.0 section 8.11.2.

Examples can be found on the ASC website on link <https://www.asc-aqua.org/what-we-do/our-standards/>

**REFERENCES**

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) <https://www.asc-aqua.org/what-we-do/our-standards/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within the ASC Standard Setting Procedure\_v.1.0 clause 8.10.2 states 'The final draft together with a proposed road map for transition period (in case of revision) and proposal for local/regional interpretation and translation into languages (if need be) are submitted to the SC for endorsement.'

ASC is in alignment as all standards are published in English, as the master language.  
See comments in 3.21.

There is also now a listing of all standards and languages upon the ASC website (ref <https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist-1.pdf>) and it is evident that main markets are covered.

Examples Abalone is in English [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Abalone-Standard\\_v1.01.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Abalone-Standard_v1.01.pdf) e.g. Pangasius Standard is in English and Vietnamese

[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Pangasius-Standard\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Pangasius-Standard_v1.0.pdf)

[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Pangasius-Standard\\_v1.0-Vietnamese1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Pangasius-Standard_v1.0-Vietnamese1.pdf)

##### REFERENCES

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.

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is evidence of e-mail dispatch informing CB's. The ASC Standard Setting Procedure\_v.1.0 is not explicit within the descriptive text that stakeholders are pro-actively informed. There is a mismatch regarding the flow diagram on page 6 of ASC Standard Setting Procedure\_v.1.0 (the penultimate task states Publish (revised) standard and inform stakeholders) and within section 8.11, where there is no reference to this task. I would suggest to consider adding an additional clause 8.11.4, which confirms stakeholders are informed.

On questioning at the office audit it was established that in practice this activity is done and evidence of emails to stakeholders were reviewed and I would regard ASC as being in alignment. This was agreed.

Evidence reviewed were copies of e mails from Michiel Fransen on 12 May 2017 (ref Salmon Standard v1.2 and the Pangasius Standard v1.1) and 8th June 2017 (Salmon Standard v1.2)

There are two e mails from Michiel Fransen dated 12th May 2017 regarding new versions of ASC Salmon and ASC Tilapia Standards and dated 8th June 2017 regarding the new version of the ASC Salmon Standard and Audit Manual Within the e mail dated 12th May 2017 the phrase Please make sure to communicate this with your clients. We'll also share this information with our contacts of the certified farms as well. There is no listing of recipients of the e mail as the e mail is linked to the database but there is strong evidence that the requirement is met.

##### REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) email - 12/5/2017 Informing existing farms of changes in Salmon
- 3) email - 8/6/2017 Informing CABs of changes to Salmon standard v.1.1

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the outcome of the current process is seen to be equivalent.

It has been suggested the final sentence in section 8.10.7 of ASC Standard Setting Procedure\_v.1.0 be changed to 'The typical transition period will vary between 6 months and 12 months' as more concise wording would clarify.

With respect to the transition period, some standards have a 6 month duration, however it was stated this is where there have been 'minor' changes and one must appreciate that the review process itself has taken over 12 months with significant stakeholder consultation. A good example of this approach is the ASC Salmon standard.

The approach by ASC is to make improvements sooner rather than later, without jeopardizing any certification status, based on risk assessed within the review process. This is believed to be a reasonable and proportionate approach. 8.10.6 When proposing the effective date of a new standard, the time needed for setting up the implementation scheme (e.g. audit manual, training, etc.) needs to be taken into account to have a realistic timeframe.

8.10.7 The length of the transition period depends on the extent of changes introduced and time needed to revise accompanying documents (e.g. audit manual, checklist, report template, etc.) and other preparatory activities (e.g. translation, training for auditor and farms/factories, etc.). An average transition period ranges from 6 to 12 months.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0 Sections 8.10.6 and 8.10.7

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the Standard Masterlist <https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist-1.pdf> has columns stated as version, effective date and publication date. Please note all stakeholders are informed; see A.3.24 above.

The only standards that have been revised from the original Aquaculture Dialogue Standards are salmon and tilapia, my example confirms this. (Ref page 3 Responsibility of Standard [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Abalone-Standard\\_v1.01.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Abalone-Standard_v1.01.pdf))

The Tilapia Standard Rev 1.1 of April 2017 has "effective from" references in page 3 Responsibility of Standard <https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Tilapia-Standard-v1-1-Clean.pdf>

It is suggested that on the Masterlist <https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist-1.pdf> there be an additional column with a stated 'Effective From Date' to eliminate any ambiguity.

It is also suggested that on the cover of all standards, there shall be an issue date and effective from date alongside the version number, once again eliminating any ambiguity.

I would also point out given the lines of communication and transparency (webinars, work shops and newsletters) there are alternative methods to ensure effective from dates are made known publicly.

**REFERENCES**

- 1) Standard Masterlist  
<https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist-1.pdf>



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

## A.I

Evidence of alignment with implemented GSSI Supplementary Components  
for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## &gt; 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the review of the Directors' Report and Combined Financial Statements (31 Dec 2015) indicates there is strong evidence of financial stability and good governance. On page 4 there is a description of a robust risk management plan and on Page 5 there is a detailed description of the Reserves Policy which holds sufficient reserves in place given the size of the organization. Within the notes of the Statement on Page 11 there is a section 'Going Concern' where there is confirmation of adequate reserves and the ability of the organization to withstand any unforeseen issues.

In addition it is pointed out within the Statement that the organization is within a growth market and income reflects this. The organization is highly reliant upon one AB, ASI, which is therefore a risk. The ASI Annual Report and incorporated Balance Sheet suggests ASI has few financial issues in relation to its management and wellbeing.

## REFERENCES

- 1) ASC Combined Accounts 2015
  - 2) ASI\_ANNUAL-2015
- Incorrect references submitted but correct references found by IE

## A.I

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## A.1 01 02 LEGAL STATUS

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner provides, within its means, translations into appropriate languages of its standard-setting procedures, most recent work program, and draft and final versions of its standards.

*Rationale: Strengthens transparency and accessibility to stakeholders based on scope of activities and geographic regions.*

## GUIDANCE

Scheme owner has a process for determining the need for translation and publication of documents in appropriate language to ensure access and transparency based on scope of activities and geographies. The procedure includes an assessment in order to ensure accurate translation.

Examples of evidence for scheme alignment :

- relevant policy and procedure document control system,
- work plans covering language needs assessment,
- process for ensuring accuracy of translations.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within ASC Standard Setting Procedure\_v.1.0 there is a requirement for translation and publication of documents and during the office audit clarity was sought regarding some minor wording of procedure e.g. 'as deemed necessary' and the actual operation of the procedure. ASC has agreed to amend the Procedure but evidence was gained that they are in alignment.

Translations are in fact made as demonstrated by the examples of the Tilapia Standard, Trout Standard, Shrimp Standard and the Seriola Cobia Standard. A Master List of all ASC Standards has now been published in August 2017 (Ref <https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist-1.pdf>). All translations are proposed within the development process ASC Standard Setting Procedure\_v.1.0 (8.10.2) and carried through as a proposal of the TWG and approved by the Supervisory Board ASC Standard Setting Procedure\_v.1.0 (8.11.1).

The wording of ASC Standard Setting Procedure\_v.1.0 8.10.2 should be amended to remove 'if need be' to 'where there is demand in relation to a specific market'.

ASC Standard Setting Procedure\_v.1.0 8.11.1 should be amended to incorporate in the first sentence 'and the proposal of the TWG'. The Standards were originally owned by WWF and therefore many of the translations were already in place.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0

## A.1

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## A.1 03 01 OPERATING PROCEDURES

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner carries out a regular performance review of its top decision-making body, with results that are made publicly available.

*Rationale: Supports competent and professional operations, and a level of transparency to stakeholders.*

## GUIDANCE

Scheme owner ensures continuous improvement of its operations by undertaking an annual performance review of its governance body. Results are made publicly available to ensure transparency and accountability.

Examples of evidence for scheme alignment:

- online performance review findings and defined actions,
- annual report which includes summary of review,
- findings and actions.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because as within document 02 ASC Combined Accounts 2016 - Directors report and the ASC Annual Report 2016, there are several references to achievements and performance and also plans for the future where there are a number of initiatives for improvement and development.

## REFERENCES

- 1) ASC Combined Accounts 2015 - Directors report Page 3-5
- 03\_ASI\_ANNUAL-2015
- 2) ASC Website via <https://www.asc-aqua.org/wp-content/uploads/2017/06/ASC-2016-Combined-Accounts-Website.pdf>

## A.1

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## ➤ SCOPE AND OBJECTIVES

## A.1 08 01 SCHEME OBJECTIVES

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has a documented monitoring and evaluation system through which it collects data on its performance indicators, and uses this to inform the revision of its standard.

*Rationale: Provides the data for understanding and communicating on progress towards scheme objectives. A foundation for a continuous improvement model.*

## GUIDANCE

The Scheme Owner has a documented system to monitor and assess its defined performance indicators. Monitoring information is shared with standards committee.

Examples of evidence for scheme alignment:

- monitoring system including data collected
- previous monitoring information has been assessed and documented inputs developed for the next standard revision process,
- requirement for full ISEAL members.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because it has an M&E programme in place which has been independently assessed to be in full compliance with the ISEAL Impacts code as of 14 January 2018.

## REFERENCES

- 1) ASC M&E programme
- 2) CompiledData\_20161128 (Made available at the office audit)
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/CBA\\_summary-findings-1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/CBA_summary-findings-1.pdf)

## SCHEME GOVERNANCE

### A.1 08 02 SCHEME OBJECTIVES

#### GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner can demonstrate it has delivered against its scheme objectives through outcome and impact evaluations of its scheme.

*Rationale: Independent evaluations reinforce the findings of the monitoring and evaluation and provide a level of independence that increases integrity.*

#### GUIDANCE

The Scheme Owner has a system to periodically conduct in-depth assessments of its performance. The number, regularity and extent of outcome or impact evaluations should be commensurate with the maturity, scale and intensity of the activities of the standards system.

Examples of evidence for scheme alignment:

- documented outcome or impact evaluations,
- requirement for full ISEAL members.

#### CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because it has an M&E programme in place which has been independently assessed to be in full compliance with the ISEAL Impacts code as of 14 January 2018.

#### REFERENCES

- 1) Synthesis\_Case studies\_Infographic (Made available at the office audit)
- 2) ASC\_Farmers study\_questionnaire vs5- FINAL
- 3) Database\_Salmon & Shrimp
- 4) Data Protocol - ASC shrimp improvement analysis
- 5) CBA\_summary findings Technical Report\_ASC Impact Chile\_HR
- 6) Doc 22 new doc
- 7) Cost benefit data

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within the ASC Standard Setting Procedure there is reference to Accessibility of the Standards Clause 7.6 page 5 and this is illustrated by the example provided within the ASC Shrimp Standard where there are B-EIA requirements for defined large, medium and small ponds.

In addition there are program developments currently within consultation for group and multisite certification which will have significant benefits for smaller suppliers.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) ASC Shrimp Standard\_v1.0
- 3) <https://www.asc-aqua.org/what-we-do/programme-improvements/group-certification/>
- 4) <https://www.asc-aqua.org/what-we-do/programme-improvements/multi-site-certification/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the Supervisory Board meets at least 4 times per year and their responsibilities are clearly laid down in ASC Supervisory Board Regulations. Van will provide Minutes of the last meeting August 2017 during a Skype call, but not in hard copy for confidentiality reasons. These Minutes reflected that stakeholder issues and concerns are addressed.

ASC Supervisory Board Regulations, Article 2 where activities regarding management review matters are defined.

Management review activities are marked in red;

- Hiring, review of performance, and firing of the Chief Executive Officer of the Executive Board;
- Advising the Executive Board;-Ensuring that the Executive Board functions effectively (by appointing, assessing and removing Executive Board members and by acting as the employer of the Executive Board members in a general sense);
- Monitoring and, where necessary, improving the functioning of the individual members of the Executive Board;
- Promoting a targeted and effective use of the resources of the Foundation;
- Ensuring effective internal supervision (by appointing, assessing and removing (members of) the Supervisory Board);
- Functioning as an advisor and a sounding board (sparring partner) for the Executive Board as a whole and for the Executive Board members individually;
- Overseeing the policies pursued by the Executive Board and the general running of the organization;
- Signing a Supervisory Board Code of Conduct which describes the role and duties of the Supervisory Board and the commitment of the members to the goals of the ASC;
- In accordance with the ASC Dispute Resolution Policy, reviewing judgements made by the dispute resolution panel on appeals to certifications to make a final and duly motivated decision whether a certification should stand or be recalled;

## REFERENCES

- 1) Deed Stichting ASC Foundation Supervisory Board Article 10 (4)
- 2) TOR Operational Review\_June 2016  
08Article 2 no3 and no4
- 3) Minutes of Supervisory Board Aug 2017  
were reviewed during a Skype call on 25th October.  
The minutes confirmed that the Board meeting took place over a two day period 24/25 August. The full board was present and a number of ASC staff and invited experts.  
There were 32 items recorded with actions assigned. There were a number of management issues discussed examples of which are Governance documentation, revision of categories and tiering, specific expertise requirements within the TAG, auditor capacity issues, logo use, CAB capacity building and human resource review.

## A.2

*Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes***SCHEME MANAGEMENT****LOGO USE AND CLAIMS****A.2 02 01 RELEVANT CLAIMS****GSSI SUPPLEMENTARY COMPONENT**

The Scheme Owner has data to substantiate claims about meeting its scheme objectives, e.g. with impacts data or monitoring and evaluation results.

**GUIDANCE**

The Scheme Owner ensures claims (e.g. in a publications or on a website) are accurate and supported by data such as through outcome or impacts reports. This could be through a system and/or assignment of responsibility to check claims or statements made by the scheme itself.

Examples of evidence for scheme alignment:

- Review claims by schemes of meeting its objectives (this may be in the form of an annual update, 10 year success booklets, internet news, presentation materials for fairs, or other advertising materials).
- For such claims, a documented assessment of the publicly available in the form of outcome or impact reports supporting the claim/results.
- ISEAL Improvement criteria

**CONCLUSION**

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment because of the information on the ASC website with regard to monitoring and evaluation, which references the use the ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (Impacts Code). The procedures are set out in the ASC Monitoring & Evaluation System document.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component the findings of a cost benefit analysis were reviewed.

**REFERENCES**

- 1) ASC Impact page  
<http://www.asc-aqua.org/what-we-do/how-we-ake-a-difference/>
- 2) ASC Monitoring & Evaluation System September 2017
- 3) CBA\_summary findings of the cost-benefit analysis of ASC certification for Pangasius and Shrimp farms in Vietnam  
([http://www.asc-aqua.org/wp-content/uploads/2017/07/CBA\\_summary-findings.pdf](http://www.asc-aqua.org/wp-content/uploads/2017/07/CBA_summary-findings.pdf))

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## ➤ STANDARD SETTING PROCEDURES

A.3

05

01

## TERMS OF REFERENCE

## GSSI SUPPLEMENTARY COMPONENT

The terms of reference also include:

- A justification of the need for the standard, including an assessment of the most important environmental issues falling within the scope of the standard; whether the proposed standard will meet an expressed need; and documentation of what other standards exist or are in the process of development which meet all or part of the expressed need;
- An assessment of risks in implementing the standard and how to mitigate for these.

*Rationale: Additional requirements ensure the Scheme Owner has done due diligence in determining the need and positive impact of developing a new standard.*

## GUIDANCE

The terms of reference for standard development and revision includes justification of need, issues and risks and how the standard addresses these.

Examples of evidence for scheme alignment:

- documented due diligence process,
- preamble of terms of reference covering these aspects.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within the main Standard Setting document there is a defined content for TOR. On review of the ASC Standard Setting Procedure section 8.3 Develop / update Terms of Reference, I would regard 8.3.2 c and 8.3.2 d as being the equivalent to the assessment of risks in implementing the standard and how to mitigate for these.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is a process by which nominations are identified by ASC for Supervisory Board membership. The protocol clearly lays down requirements in relation to competence and there is a selection process before appointment. There is also a wide range of skills defined. There is a statement regarding the need for broad representation of views and experience, gender balance, geographic diversity and a balance between the private and public sectors.

The protocol relates to the Supervisory Board only however the flowchart also highlights Technical Advisory Groups.

"The Supervisory Board (SB) is the ultimate decision-making body of the ASC. It takes the decision to develop a new standard or to revise a current one. The SB also approves the final version of any standards newly developed or revised, based on recommendations of the Technical and Stakeholder advisory groups."

Examples were reviewed during the office audit and found to be acceptable.

## REFERENCES

- 1) Final\_ASC SB Nominations Protocol (Confidential IE has copies provided)
- 2) Final\_ASC SB Nominations Protocol flowchart ( Confidential IE has copies provided)
- 3) ASC Supervisory Board Regulations 2011, Article 1, Page 1 Role of the Supervisory Board
- 4) ASC Standard Setting Procedure [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure\\_v.1.0\\_including-forms.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf)
- 5) ASC Supervisory Board Regulations 2011, Article 4

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the Supervisory Board has a diverse membership e.g. Supervisory Board 2 Industrial Reps and 5 Non Industry Reps, TAG 1 Industry Rep, 3 Non Industry Reps and 3 others. TWG on Group Certification Requirements 1 Industry Rep, 4 Non Industry Rep and 1 other and Steering Committee for Feed Standard Development 10 Industry Reps and 5 Non Industry Reps.

The selection of these decision making groups is defined within the SB Nominations Protocol to provide some assurance of diversity and a broad profile.

"The Supervisory Board (SB) is the ultimate decision-making body of the ASC. It takes the decision to develop a new standard or to revise a current one. The SB also approves the final version of any standards newly developed or revised, based on recommendations of the Technical and Stakeholder advisory groups."

## REFERENCES

- 1) <http://www.asc-aqua.org/about-us/governance/>
- 2) Final\_ASC SB Nominations Protocol (Confidential IE has copies provided)
- 3) Deed Stichting ASC Foundation 2011, Article 14, Page 8, Points 4,5,6,7 and 8
- 4) ASC Supervisory Board Regulations 2011, Article 4
- 5) <https://www.asc-aqua.org/news/latest-news/asc-appoints-four-new-members-to-supervisory-board/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because although the Stakeholder Advisory Group is not in place as yet, however there are a number of issues that support this requirement as being in alignment, namely;

- The diversity of the Supervisory Board , Steering committee and TWG members
- Within the ToR, ASC Standard Setting Procedure v1.0 section 4 there is stakeholder mapping for any standard; when asked to illustrate how the information is gathered a number of e-mails were reviewed regarding the freshwater trout standard. More information is gathered at work shops and training sessions held in different countries.
- In Annex 3 of ToR ASC Standard Setting Procedure v1.0, there is a spreadsheet regarding stakeholders participation monitoring.

## REFERENCES

- 1) Deed Stichting ASC Foundation\_English
- 2) ASC Standard Setting Procedure v1.0

## 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

Not applicable

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there are clearly laid down within ASC Standard Setting Procedure\_v.1.0.

Page 10 section Prepare and publish synopsis of comments received (8.7) there is also a second publication regarding the second synopsis Page 11 Point 8.10.1.

List of Comments - 1st/2nd Public Consultation(Annex 5).

Example of Summary of Public Comments on 1st Draft for ASC Responsible Feed Standard where the SC response are evident for each comment.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0
- 2) Feed Standard\_Summary stakeholder feedback

## A.3

Evidence of alignment with implemented GSSI Supplementary Components  
for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 07 01 COMPLAINTS

## GSSI SUPPLEMENTARY COMPONENT

Decisions taken on complaints and justifications for those decisions are made publicly available.

*Rationale: Improves transparency of the complaints resolution process.*

## GUIDANCE

Decisions on complaints related to standard setting and justification for decision are publicly available (e.g. online on website).

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the decisions made by the Supervisory Board regarding complaints are posted on the ASC website within 10 working days of the decision and available publicly for a minimum of 12 months.  
In relation to 'justification', detailed documentation relating to the complaint will be held and only released to stakeholders at the discretion of the ASC.

During the office audit the ASC Complaints Procedure - Page 6 - 7.1.4 was discussed and it has been suggested that the wording of this section be revised to include the 'justification' on decision by the Supervisory Board. This was agreed by ASC. It must be noted, that to date, no formal complaints have been received and therefore the procedure is in place but untested. During discussion it was agreed to consider the publication of the complaint form in a number of languages.

## REFERENCES

- 1) ASC Complaints Procedure - Page 6 - 7.1.4

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 10 01 RECORD KEEPING

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes records in A.3.10 available to interested parties upon request.

*Rationale: Support transparency in record-keeping.*

## GUIDANCE

The Scheme Owner has a mechanism to ensure records described in A.3.10 are provided to stakeholders on request for the last revision process.

Examples of evidence for scheme alignment:

- policy/procedure describing system and process to provide information,
- online form for request, past actual requests and action taken,
- possibly request records through online contact.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within ASC Standard Setting Procedure\_v.1.0 section 9.2 Records states all records available on ASC website for minimum 3 years or after 3 years upon request ASC Standard Setting Procedure\_v.1.0 section 9.3. Records are available upon request.

In relation to A.3.10 above, the comments, feedback and the results on public consultations are available on the ASC website. Examples reviewed were;

Feed ToR 20/1- 20/2 2014

Feed 1st Draft 30/6 - 11 Sept 2015

Feed 2nd Draft 21/8 - 21 Oct 2017

Reference - Feedback \_ Form\_Public\_ Consultation1\_Final

(<https://www.asc-aqua.org/what-we-do/our-standards/feed-standard/>)

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0 section 9.3
- 2) Feedback \_ Form\_Public\_ Consultation1\_Final
- 3) (<https://www.asc-aqua.org/what-we-do/our-standards/feed-standard/>)

## A.3

*Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE****A.3 13 01 PUBLIC CONSULTATION****GSSI SUPPLEMENTARY COMPONENT**

The Scheme Owner requires at least two rounds for comment submissions on the draft standard by interested parties, with one round of at least 60 days and the other of at least 30 days.

**GUIDANCE**

The Scheme Owner has a mechanism in place to ensure comment periods as per Supplementary Component.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public comment periods in line with Supplementary Component.
- terms of reference review previous comments and dates for submission on draft standards.

**CONCLUSION**

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Standard Setting Procedure v.1.0 sections 8.6 & 8.8 covers the procedure for a two-stage consultation process. The 1st stage can be 30-60 days and the second stage can be 60, 30 or none. The circumstances for a shorter/skipped consultation period are covered in the 8.8.1 and it was interpreted that this would not take place in the development of a new standard.

It is recommended that the t section be updated to clarify that the process complies with A.13.3/A13.3.1 for a new standard (i.e. stage 1 minimum 60 days & stage 2 minimum 30 days).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the consultation processes for previous standards were reviewed and observed to be in alignment. Please see below:

Both the Shrimp and the Salmon standards were developed before the ASC Standard setting procedure (2014). However information of their development is available on the website.

See summary below:

Shrimp – 1st round = 2 months, 2nd round = 3 months. Total approx. 5 months

Salmon – 1st round = 3 month3, 2nd round = 2 months. Total approx. 5 months

Summary of sample of consultation periods of other standards in development:

Feed Standard – 1st round 72 days, 2nd round 61 days

Flatfish Standard – 1st round 61 days, 2nd round 31 days

Tropical Finfish - 1st round 61 days, 2nd round 31 days

Plan for Shrimp Review:

1st round - Mar/Apr, 2nd round – Aug/Sept

**REFERENCES**

ASC Website, several URL:

[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure\\_v.1.0\\_including-forms.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf)

<https://www.worldwildlife.org/pages/creating-standards-for-responsibly-farmed-salmon>

<https://www.worldwildlife.org/pages/creating-standards-for-responsibly-farmed-shrimp>

<https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/new-feed/>

<https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/flatfish/>

<https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/tropical-marine-finfish/>

<https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/op-review-shrimp/>

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 15 01 STAKEHOLDER CONSULTATION

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner identifies stakeholders who will be directly affected by the standard and those that are not well-represented in consultations and proactively seeks their contributions.

*Rationale: Puts the onus on the Scheme Owner to take steps to strengthen the balance and participation of key stakeholders.*

## GUIDANCE

The Scheme Owner documents directly affected stakeholders and identifies those not as represented in past consultations or have potential barriers to participate to proactively seek their input through alternative mechanisms and tools that are that are accessible and culturally appropriate for the stakeholder groups in question such online or in in-person workshops.

Examples of evidence for scheme alignment:

- stakeholder mapping including participation in past consultations
- meeting minutes, announcements, publications and or email communication indicate that the Scheme Owner is proactively seeking the input of specific stakeholder groups.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because during the office audit it is established there is alignment as within ASC Standard Setting Procedure\_v.1.0 section 8.3.2 (e) and 8.3.2 (f), there is reference to stakeholder identification and strategies to actively communicate.

The example reviewed was the Feed Standard where there is evidence of identifying stakeholders (Ref [https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed\\_v.1.1\\_website.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed_v.1.1_website.pdf)) where outreach strategies, communication methods and participation goals are quoted.

Within the example given, there were workshops in 5 different countries, ( new workshop in Lima, Peru). Webinars are now being used, but are not recorded and shared on line; this will be carried out in the future.

## REFERENCES

1)ASC Standard Setting Procedure\_v.1.0 section 8.3.2 (e) and 8.3.2 (f)

**Example**

2)[https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed\\_v.1.1\\_website.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed_v.1.1_website.pdf)

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 15 02 STAKEHOLDER CONSULTATION

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes efforts to address constraints to participation in standard-setting faced by disadvantaged stakeholders such as small-scale operations and vulnerable groups.

*Rationale: Supports participation by stakeholders who may face constraints to active engagement.*

## GUIDANCE

The Scheme Owner defines disadvantaged stakeholders and addresses potential barriers to participation such as language, culture, access to internet, costs, technical accessibility, etc. through alternative mechanisms and tools that are that are accessible and culturally appropriate for the stakeholder groups in question.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because of the evidence gained under A.3.15.01. The evidence gained is equally applicable.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0 section 8.3.2 (e) and 8.3.2 (f)

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 17 01 TAKING COMMENTS INTO ACCOUNT

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes publicly available a synopsis of how these comments were addressed and sends the synopsis to all parties that submitted comments.

*Rationale: Ensures stakeholders can see how their input was addressed in standards revisions.*

## GUIDANCE

The Scheme Owner develops a summary of how comments were addressed, makes publicly available as well as sends to everyone who submitted comments.

Examples of evidence for scheme alignment:

- system, internal procedure/quality handbook that describes how comments are summarized and made available publicly and to commenters,
- review of current and past standard public consultation information flow including synopsis.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Standard Setting Procedure\_v.1.0 sections 8.7.2 and 8.7.3 defines this requirement.

The example reviewed was the Steering Committee response to the Feed Standard consultation which is available on the ASC website.

## REFERENCES

- 1) ASC Standard Setting Procedure\_v.1.0 sections 8.7.2 and 8.7.3
- 2) Feed Standard\_Summary stakeholder feedback
- 3) Steering Committee's responses  
(<http://www.asc-aqua.org/upload/Summary%20stakeholder%20feedback.pdf>)

# 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because it is evident within documentation and the office audit, that the appointed AB ASI fulfills the requirements of ISO 17011:2004. There are stated and agreed obligations that the ASC Accreditation Program is consistent with ISO 17011 requirements. This is confirmed within the service Agreement between ASC and ASI within the section regarding obligations of ASI (7.2.1) and within TOR where ISO 17011 is mentioned.

Within the Service Agreement the wording could be improved as the wording 'that is aimed to be consistent with' . Like IAF based AB ASI is peer reviewed by a competent third party. this was confirmed within the office audit. The Annual Report of ASI does state compliance with ISEAL Assurance Code and ISO 17011.

**REFERENCES**

- 1) Service Agreement ASC:ASI 2016
- 2) ASI\_Annual\_Report\_2016  
<http://www.accreditation-services.com/archives/committed-to-quality-iseal-evaluates-asi-against-iso-17011>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because in accordance with ISO 17011 section 4.3.3 '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.'

Within the ASI Policy statements is the following 'ASI is non-discriminatory and accepts applications from CABs operating anywhere in the world. CABs are invoiced based on cost in accordance with a publicly available fee schedule.'  
The listed ASC CAB appears to be highly diverse.

##### REFERENCES

- 1) ISO 17011:2004
- 2) Service Agreement ASC:ASI 2016
- 3) SI-POL-20-109-ASI-Impartiality-Policy-V1.1
- 4) <http://www.accreditation-services.com/archives/standards/asc>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the conformity requirements of CAB's are defined within the ASC Certification and Accreditation Requirements V.2 in that they must conform to ISO 17065 and all requirements for the scope of accreditation dictated by the appropriate standard. It may be more relevant to emphasize this within the Service and License Agreement within Annex 2 section 1 (1.1.1 to 1.1.5).  
Downloaded reference of example from ASI website

**REFERENCES**

- 1) ISO 17065
- 2) ASC Certification and Accreditation Requirements V.2
- 3) Service Agreement ASC:ASI 2016

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the document governing requirements is the ASC Certification and Accreditation Requirements V.2 where clearly on the front cover where there is a defined effective from date of 1st December 2015 and a mandatory date of 1st June 2016 and within the document control footnote there is again reference to these dates.

Examples of mails to CAB's are clear and concise regarding initial introduction and extended transition period. There is clear information on the ASC website concerning issue date (<https://www.asc-aqua.org/news/latest-news/asc-releases-revised-certification-and-accreditation-requirements-car/>)

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements V.2
- 2) <https://www.asc-aqua.org/news/latest-news/asc-releases-revised-certification-and-accreditation-requirements-car/>
- 3) email Communication to CABs and ASI\_ASC CAR v.2

## B.1

*Evidence of alignment with applicable GSSI Essential Components***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 includes 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the Service Agreement with ASI (Annex 2 section 2) requires a defined set of competencies that would reflect those expected to be in place for an accreditation assessor in this sector. In addition the programme manager and one lead assessor must attend an annual calibration workshop.

There were three examples of CV's provided for review.

Names known by IE and CV held in confidence.

The CV's were very impressive and correlated to the defined requirements.

From the Annual Report the assessors are defined against the scheme and in the ASI Annual Report there are only three assessors which are those named above so I will accept this but would test within the office audit if as ASC grows how new assessors are approved. REF ISO 17011 section 6.1. All meet competence expectations.

**REFERENCES**

- 1) Service Agreement ASC/ASI 2016
- 2) 3 Auditor CVs
- 3) ISO 17011

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Salmon Standard requires a periodic review of the accreditation body performance by a competent third party within the Service Agreement (Annex 2 section 1.1.6). This is undertaken at the same time as a review against the ISEAL Assurance Code by representatives from two organisations. This was undertaken in Dec 2013 and the defined reference is only a summary of findings. This was assessed within the office audit. See point B.1.01.

A Skype call was made with Van Roetert of ASC and Boris Sulzberger of ASI on 10th October. Boris is the ASI account manager for ASC. During the call the screen was formatted to share the ISEAL Report undertaken on ASC in 2016. The draft report was reviewed on the screen and the full and final report is under review by ISEAL. The audit was made with two appointed ISEAL auditors of significant experience. The office audit was made between 2/8/2016 to 11/8/2016 and the witness audit was made on 16/8/2016 and 17/8/2016. The draft report was dated 11/9/2016. The report was some 20 pages in length and was broken down into ISO 17011 requirements and ISEAL requirements. It was clear from the report that the audit plan assessed every individual requirement of ISO 17011.

**REFERENCES**

- 1) Service Agreement ASC/ASI 2016
- 2) ISO 17011
- 3) ISEAL-Peer-Review-Summary-of-Findings-Report\_Dec2013

## 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**

Schemeownerensures accreditation body transparency  
regardingorganizational structure and financial support.

The Scheme Owner requires disclosure of this information directly from the accreditation body.

Examples of evidence for schemealignment:

- 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because ASI have sufficient transparency through the publication of its Annual Report regarding finance and corporate/management structure. The finance generated by ASI activities other than accreditation services is not defined but believe this is acceptable given the significant differences between the two revenue streams.

**REFERENCES**

- 1) ASI Annual Report 2015
- 2) ASI Annual Report 2016
- 3) Service Agreement ASC/ASI 2016

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because under the Service Contract with ASI, ASI have obligations defined in section 7 of the Service Agreement.

In relation to ISO 17011 requirements under section 7.7, ASI is expected to conduct assessment at the premises of the CAB where key activities are performed and where relevant to perform witness at other selected locations. There is a major difference between on site assessment which may involve an audit at the CAB main offices and witness audits with CAB auditors. REF ISO 17011 3.21.

It is therefore concluded that an on site assessment is equivalent to the office assessment undertaken by ASI and is probably with respect to terminology more accurate.  
This is reflected within the main ASI procedures relation to Accreditation.

**REFERENCES**

- 1) ISO 17011:2004
- 2) ASI-PRO-20-101-ASI-Accreditation-V4.0

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there are specific references within ASI normative documents regarding the review of CAB performance and sampling of auditors. The main reference is ASI-PRO-20-101-ASI-Accreditation-V4.0 (section 9 Initial Assessment and Initial Accreditation Decision sections 9.2.1, 9.2.2 and 9.2.3)

Also within ASI-PRO-20-105-Surveillance & Sampling-V6.2 (Sections 5.2 Assessment Plan and 5.3 Band Sampling Plan, 5.3.2) Further detailed reference is confirmed within documents ASI-PRO-20-111-Witness-Compliance-Assessments-V1.1 and ASI-INF-20-108-ASI-2017-Assessment-Schedule.

## REFERENCES

- 1) ASI-PRO-20-101-ASI-Accreditation-V4.0
- 2) ASI-PRO-20-111-Witness-Compliance-Assessments-V1.1
- 3) ASI-INF-20-108-ASI-2017-Assessment-Schedule

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1 August) clearly define the requirements for CABs to conform to the requirements of ISO 17065 (4.2.1)

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the Service agreement between ASC & ASI was reviewed and the requirements for compliance with the ASC Certification and Accreditation Requirements were included. (Annex 2 page 20). In addition the agreement requires the ASI assessor to have proven competence against ISO 17065 (Annex 2.2 page 20).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASI (ASC appointed accreditation body) website was reviewed. A list of CABs accredited for ASC was available. The certificates of accreditation were available including the specific ASC standards the CAB's can certify against.

As further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the accreditation for SCS Global Services and Bureau Veritas Certification Holding SAS were reviewed. Both CAB's were specifically accredited for both ASC-Salmon Std V1.1 & ASC-Shrimp Std V1.0.

As further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the audit records for Sandhya Marine Limited ASC-F-SCS-045 who a certified against ASC-Shrimp Std V1.0 were reviewed on the ASC website. The CAB who conducted the certification was SCS Global Services. In addition, the audit records for DEVI Seafoods Limited ASC-F-BVFN-020-IND who a certified against ASC-Shrimp Std V1.0 were reviewed on the ASC website. The CAB who conducted the certification was Bureau Veritas Certification Holding SAS.

**REFERENCES**

- 1) Service Agreement ASC:ASI 2016
- 2) ASI\_Annual\_Report\_2016  
<http://www.accreditation-services.com/archives/committed-to-quality-iseal-evaluates-asi-against-iso-17011>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because ASC audit reports contains timelines of different activities of an audit, number of auditors in the team, duration reported by CBs.

In addition ASC multi-site and group certification methodologies have a risk-based approach to calculating the number of sites/farms to be visited and number of interviews to be conducted. These factors are the basis for CBs to calculate the total audit duration.

**REFERENCES**

- 1) Audit report template\_1.1\_201705262  
+ Tab I. Audit Report - Opening - Page 6/8 Section 8.1
- 2) ASC Group calculator
- 3) ASC Multi-site sample size combined calculator (2 tabs including interviews calculator)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there are clear and concise requirements in relation to the validity of the certification; this will be a maximum of three years from date of issue in relation to the specific standard (Ref ASC Certification and Accreditation Requirements V.2) and a maximum of three years in relation to chain of custody certification ( Ref MSC CoC Certification Requirements v2.0).

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements V.2
- 2) MSC CoC Certification Requirements v2.0

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within the ASC Certification and Accreditation Requirements V.2 under section 17.15 Surveillance there are clearly defined requirements in relation to frequency and process.

Particular reference to 17.15.1 and 17.15.6.

The examples given of Marine Harvest 1st and 2nd Surveillance Reports are valid.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements V.2
- 2) Marine Harvest Norway\_Brudevik Farm\_SURVEILLANCE1 (The report is confidential and is held by IE)
- 3) Marine Harvest Norway\_Brudevik Farm\_SURVEILLANCE2 (The report is confidential and is held by IE)

## 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 certificationbody,
- 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines a number of methods which the CAB's need to follow in order to apply the standards consistently. Specific examples reviewed:

- Section 4 - General Requirements (4.8 - CAB's to attend ASC calibration workshops.)
- Sections 6.1 / 16.1 - Resource Requirements.
- Section 8.1 - Management System Requirements for CAB's.
- Section 20 - Annex B Auditor Qualifications & Competence.

In addition, The ASC request for Interpretation or variance procedure is described in detail in the ASC Certification and Accreditation Requirements V.2.1 (pages 77 & 78).

The ASC Certification and Accreditation Requirements (V2.1) requires that the CAB's have documented complaint handling procedure in place (Section 7.7 page 16).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the auditor training section of the ASC website was reviewed. Future courses were available in different locations & bookable through the website.

As additional evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the master list of documents available on the ASC website. This included links to all the Standards (including Salmon and Shrimp), the audit manuals (in English) & a number of these documents translated into different languages.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017) (pages 2-7, 11, 17, 20, 49-6)2.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <https://www.asc-aqua.org/resources/for-certifiers/auditor-training-courses-2017/>
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist\\_19.04.2018.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Masterlist_19.04.2018.pdf)
- 4) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Audit-Manual\\_v1.1-1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Audit-Manual_v1.1-1.pdf)
- 5) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)
- 6) ASCshrimpCaseStudies\_BV\_CC\_Dec18\_FM(2)
- 7) Auditors database\_20190319
- 8) <https://www.asc-aqua.org/what-we-do/programme-assurance/quality-check-of-asc-audit-reports/>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because not only is there an ISO 17065 requirement under section 7.11 but in addition with ASC Certification and Accreditation Requirements V.2 there is a section 7.6 which relates to suspension, cancellation or withdrawal of certification and procedures that must be followed. In relation to suspension post audit there is reference to suspension in the event that major conformities are not closed out after a six month period. It is the decision of the CAB to determine when suspension or withdrawal is warranted and there cannot be a list of the exact requirements when this can occur; this requirement is focused on the ISO 17065 section 7.11 which is more detailed.

Also, ASC specified the conditions that lead to suspension of a certificate (CAR v 2.1 August 2017, Page 33 section 17.10.1.2 f) ): "The CAB shall suspend the certificate if a major non-conformity remains open after six (6) months and follow requirement in Section 7.6 of this document."

Suspended farms are named on ASC website. If farms cannot address reasons of suspension, the certificate will be withdrawn. E.g. <http://asc.force.com/Certificates/ASCCertDetails2?id=a0124000008RwkuAAC>. On the ASI website (<http://www.accreditation-services.com/archives/standards/asc>) there is a list of accredited CB's, Applicant CB's (1) and Terminated/Withdrawn CB's (3), providing evidence that ASI is pro-actively enforcing the implementation of the ASC Certification and Accreditation criteria.

**REFERENCES**

- 1) ISO 17065 7.11
- 2) ASC Certification and Accreditation Requirements V.2 7.6
- 3) ASC Certification and Accreditation Requirements V.2.1 August 2017, Section 7.6 Page 15
- 4) ISO 17065:2012 section 7.11, page 18
- 5) [http://variance-requests.asc-aqua.org/questions/qa2\\_car\\_v-2-0\\_7-6/](http://variance-requests.asc-aqua.org/questions/qa2_car_v-2-0_7-6/)
- 6) <http://asc.force.com/Certificates/servlet/servlet.FileDownload?retURL=%2FCertificates%2Fapex%2FASC%2FCertDetails2%3Fid%3Da012400000KG32MAAT&file=00P1o000012JNarEAG>
- 7) <http://asc.force.com/Certificates/servlet/servlet.FileDownload?retURL=%2FCertificates%2Fapex%2FASCCertDetails2%3Fid%3Da0124000018u7aCAAQ&file=00P1o00000t959iEAA>
- 8) <http://asc.force.com/Certificates/servlet/servlet.FileDownload?retURL=%2FCertificates%2Fapex%2FASCCertDetails2%3Fid%3Da0124000008RwkuAAC&file=00P1o00000mu9TAEAY>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because recent development have meant the publication of requirements in relation to multi site certification. Development work has been completed and will be launch within three months; this is acceptable to meet GSSI requirements. Ref <https://www.asc-aqua.org/what-we-do/programme-improvements/multi-site-certification/>

[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)

There is also within the web site a calculator for sampling multisite applicants ASC multi-site sample size combined calculator Mar 3, 2017.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements V.2
- 2) <https://www.asc-aqua.org/what-we-do/programme-improvements/multi-site-certification/>
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 4) ASC multi-site sample size combined calculator Mar 3, 2017 protected

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the audit report format (17.12.1 page 34 & Annex C page 63).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Shrimp Audit Manual (V.1) and a completed shrimp audit report for Zhanjiang Guolian Aquatic Products Co.,Ltd. ASC80009 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Salmon Audit Manual (V1.1) and a completed salmon audit report for Norway Royal Salmon DK010303-1 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017). [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400001KnEj3AAF>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a011000001VC4w7AAD>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1 August) clearly defines the certification process in Sections 7 & 17 (Process Requirements). The requirements for stakeholder engagement are specifically covered in 17.8.

In addition, the certification process is clearly outlined on the ASC website.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Shrimp Audit Manual (V.1) and a completed shrimp audit report for Zhanjiang Guolian Aquatic Products Co., Ltd. ASC80009 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content. In section 8.5 (page 9) there is provision for stakeholder comments.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Salmon Audit Manual (V1.1) and a completed salmon audit report for Norway Royal Salmon DK010303-1 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content. In section 8.8 (page 8 of Form 3) there is provision for stakeholder comments.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017). Pages 12-17, 21-38.  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <https://www.asc-aqua.org/what-you-can-do/get-certified/farms/>
- 3) <http://asc.force.com/Certificates/ASCertDetails2?id=a012400001KnEj3AAF>
- 4) <http://asc.force.com/Certificates/ASCertDetails2?id=a011o00001VC4w7AAD>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly covers Audit Findings in Section 17.10 (pages 31-33) and defines the Major and Minor Non-Conformity in the ASC Vocabulary on page 44.

In addition the ASC Certification and Accreditation Requirements (V2.1) requires that the CAB's have documented complaint handling procedure in place (7.7 page 16).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Shrimp Audit Manual (V.1) and a completed shrimp audit report for Zhanjiang Guolian Aquatic Products Co., Ltd. ASC80009 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content. In section 11 (pages 64-67) there was evidence of close out of non-compliances.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Salmon Audit Manual (V1.1) and a completed salmon audit report for Norway Royal Salmon DK010303-1 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content. In section 11 Findings of CAR v 2.0 - Audit report - closing p1/1 there was evidence of close out of non-compliances.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400001KnEj3AAF>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a011o00001VC4w7AAD>

## 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.

B.2 11 01

**CONCLUSION**

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1 August) clearly defines the Surveillance requirements in 17.15.6 (page 35) and Recertification Audit requirements in 17.16 (page 16).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the audit records for Sandhya Marine Limited ASC-F-SCS-045 who a certified against ASC-Shrimp Std V1.0 were reviewed on the ASC website. A record of Form 3 - Public Disclosure Form had been published for the future surveillance audit.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the audit records for Mowi Ireland ASC-SAI-015 who a certified against ASC-Salmon Std V1.1 were reviewed on the ASC website. A record of Form 3 - Public Disclosure Forms had been published for the future surveillance audits.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400000yI3JIAA0>  
<http://asc.force.com/Certificates/servlet/servlet.FileDownload?retURL=%2FCertificates%2Fapex%2FASCCertDetails2%3Fid%3Da012400000yI3JIAA0&file=00P1o00000xdUBAEA2>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a0124000008RwISAAS>  
<http://asc.force.com/Certificates/servlet/servlet.FileDownload?retURL=/Certificates/apex/ASCCertDetails2?id=a0124000008RwISAAS&file=00P1o00001VRHfEAP>

## 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 publicly 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is publicly available information regarding farms, suppliers and product on the ASC website.

**REFERENCES**

- 1) ASC website
- 2) <https://www.asc-aqua.org/what-you-can-do/take-action/find-a-farm/>
- 3) <https://www.asc-aqua.org/what-you-can-do/take-action/find-a-product/>
- 4) <https://www.asc-aqua.org/what-you-can-do/take-action/find-a-supplier/>

## 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**

Not applicable

**REFERENCES**

Not applicable

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the Audit Report requirements in Section 21 (Annex C pages 63 & 64).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, audit reports were observed to be publicly accessible through the ASC website.

As further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a sample of 5 audit records (including reports) were reviewed. This was reviewed in relation to this GSSI component and not for technical content.

Audit records reviewed:

- 1) West Coast Frozen Foods Private Limited ASC-F-SCS-047 (ASC-Shrimp Std V1.0)
- 2) Camimex Company Limited CUP-C835628-ASC-02-2018-SH (ASC-Shrimp Std V1.0)
- 3) Sopac SA ASC-F-BVVN-022-FRA (ASC-Shrimp Std V1.0)
- 4) Exportadora Los Fiordos ASC-F-SCS-093 (ASC-Salmon Std V1.0)
- 5) Cermaq Norway DK010819-1 (ASC-Salmon Std V1.0)

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400000tRUSNAA4>
- 4) <http://asc.force.com/Certificates/ASCCertDetails2?id=a0124000008RwIDAAS>
- 5) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400000oCS2yAAG>
- 6) <http://asc.force.com/Certificates/ASCCertDetails2?id=a011o00001VC0MaAAL>
- 7) <http://asc.force.com/Certificates/ASCCertDetails2?id=a0124000018trMQAAY>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the AB, CAB and certified companies are notified of relevant changes to rules and procedures by formal notification with respect to the AB (ref Service Agreement ASC/ASI 2016 sections 4.3.1 6.1 and 6.2).

CAB and and certified companies are notified by e mail and the examples provided by ASC are relevant. There are also sections within the ASC website that provide information regarding changes e.g. . <https://www.asc-aqua.org/2017/news/> and [http://mailchi.mp/asc-aqua/asc-enewsletter-april-2017?e=\[UNIQID\]](http://mailchi.mp/asc-aqua/asc-enewsletter-april-2017?e=[UNIQID])

**REFERENCES**

- 1) Service Agreement ASC/ASI 2016
- 2) Copies of e mails to relevant parties regarding changes
- 3) <https://www.asc-aqua.org/2017/news/>
- 4) ASC Newsletters

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly covers Audit Findings in Section 17.10 (pages 31-33) and defines the Major and Minor Non-Conformity on page 44.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, audit reports were observed to be publicly accessible through the ASC website. The audit reports include documented corrective action close out.

As further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a sample of 5 audit records (including reports) were reviewed. This was reviewed in relation to this GSSI component and not for technical content.

Audit records reviewed:

- 1) West Coast Frozen Foods Private Limited ASC-F-SCS-047 (ASC-Shrimp Std V1.0)
- 2) Camimex Company Limited CUP-C835628-ASC-02-2018-SH (ASC-Shrimp Std V1.0)
- 3) Sopac SA ASC-F-BVVN-022-FRA (ASC-Shrimp Std V1.0)
- 4) Exportadora Los Fiordos ASC-F-SCS-093 (ASC-Salmon Std V1.0)
- 5) Cermaq Norway DK010819-1 (ASC-Salmon Std V1.0)

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400000tRUSNAA4>
- 4) <http://asc.force.com/Certificates/ASCCertDetails2?id=a0124000008RwIDAAS>
- 5) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400000oCS2yAAG>
- 6) <http://asc.force.com/Certificates/ASCCertDetails2?id=a011o00001VC0MaAAL>
- 7) <http://asc.force.com/Certificates/ASCCertDetails2?id=a0124000018trMQAAY>

## 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 publicly 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the requirements for auditor qualifications and competence in Sections 6.1 / 16.1 - Resource Requirements (pages 11 & 20) and Section 20 - Annex B Auditor Qualifications & Competence (pages 49-62).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the Service agreement between ASC & ASI was reviewed and the requirements for compliance with the ASC Certification and Accreditation Requirements were included (Annex 2 Terms of reference page 20). This states that ASI is to ensure that CAB's and their auditors (are competent to) perform ASC audits.

As further evidence of alignment this was followed up at the office visit on 15/5/19. The compliance of CAB's with the auditor competence/ training requirements in the ASC Certification and Accreditation Requirement (CAR) requirements is assessed by ASI.

The ASI accreditation requirements. As evidence of implementation of this component a major non-conformance raised by ASI on 26/7/2018 (190647) with regard to auditor competence during an office assessment of SCS.

As further evidence of alignment, a sample of 10 audit reports were taken & the auditor who completed the audit was checked against the ASC auditor database to ensure that they were approved for the respective audit standard. All the auditors from the sampled audits were approved.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) ASC:ASI Service & License Agreement (2016).
- 3) 190647 ~ ASI PORTAL(2)REF
- 4) Approvedauditcheck150519

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the requirements for auditor training in 6.1.2.2, 6.1.3 (page 11) and Section 20 - Annex B Auditor Qualifications & Competence (B2 - auditor training, B21 - Lead Auditor training, B40 - ASC Auditor Training for Social Auditors) pages 49-62.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the auditor training section of the ASC website was reviewed. Future courses were available in different locations & bookable through the website.

In addition as further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the training manuals for the Shrimp & Salmon standards were reviewed during the office visit on 15/05/19.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <https://www.asc-aqua.org/resources/for-certifiers/auditor-training-courses-2017/>
- 3) ASC\_Salmon\_Training\_Manual1.1
- 4) ASC Shrimp Auditor Training Manual - Version 1\_Nov13 - FINAL(1)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because within Annex B of the ASC Certification and Accreditation Requirements V.2 there is a requirement for auditor training B20.

See B.2.17 above. There was evidence when reviewing the ASI portal during the office audit that some deficiencies had been identified but had promptly been acted upon. ASC is in alignment with GSSI requirements.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements V.2

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the requirements for auditor competence in 6.1.2.2 and the Maintenance of Competence in 6.1.3 (page 11).

As evidence of alignment of the ASC Certification Scheme with this GSSI component, the Service agreement between ASC & ASI was reviewed and the requirements for compliance with the ASC Certification and Accreditation Requirements and specifically auditor competence in Annex 2: Terms of Reference (Overall Objective).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the map of ASI assessments was reviewed on the ASI website during the office visit on 15/5/19. A number of publicly available reports were reviewed. An assessment was picked which was not publicly available on the website (Control Union Peru SAC of La Tremblade 8-9/2/18). The report was shared during the office visit on 15/5/19

In addition the ASI Procedure for Witness and Compliance Assessments was reviewed on the ASI website.

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) ASC:ASI Service & License Agreement (2016).
- 3) Link to map <http://www.asi-assurance.org/s/map>
- 4) Assessment Report Public (1) (La Tremblade)
- 5) ASI-PRO-20-111-Witness & Compliance Assessments-V2.1  
[https://asi-login.my.salesforce.com/sfc/p/#A00000000aGza/a/120000000GKdfJyFDEdbdnj\\_qHotX7mJRDcjYsq1cbW2jXHgVGmqPE](https://asi-login.my.salesforce.com/sfc/p/#A00000000aGza/a/120000000GKdfJyFDEdbdnj_qHotX7mJRDcjYsq1cbW2jXHgVGmqPE)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines in Section 16 - Resource Requirements for requirements for a ASC Lead auditor (page 20) and Section 20 - Annex B Auditor Qualifications & Competencies (B21 - Lead Auditor training) pages 49-62.

As further evidence of alignment of the ASC Certification Scheme with this GSSI component, this was followed up at the office visit on 15/5/19. The compliance of CAB's with the auditor competence/training requirements detailed in the ASC Certification and Accreditation Requirement (CAR) requirements is assessed by ASI. As evidence of implementation of this component a report was reviewed containing a major non-conformance raised by ASI on 26/7/2018 (190647) with regard to auditor competence during an office assessment of SCS.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) 190647 ~ ASI PORTAL(2)REF

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) in 6.1.3.1 (page 11) covers the requirement for CAB's to regular performance evaluations on CAB personnel and in Section 20 (Annex B Auditor Qualifications & Competencies (B21 - Lead Auditor training.)) page 53. Lead auditors are required to undertake additional training on changes to legislation, specific requirements, codes or conventions as appropriate.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the map of ASI assessments was reviewed on the ASI website during the office visit on 15/5/19 & the ASI Procedure for Witness and Compliance Assessments was reviewed on the A+I41:I42SI website.

**REFERENCES**

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) Link to map <http://www.asi-assurance.org/s/map>
- 3) ASI-PRO-20-111-Witness & Compliance Assessments-V2.1  
[https://asi-login.my.salesforce.com/sfc/p/#A0000000aGza/a/120000000GKD/fJyFDEdbdnj\\_qHotX7mJRDcjYsq1cbW2jXHgVGmqPE](https://asi-login.my.salesforce.com/sfc/p/#A0000000aGza/a/120000000GKD/fJyFDEdbdnj_qHotX7mJRDcjYsq1cbW2jXHgVGmqPE)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because segregation is principle 3 for chain of custody in on the MSC website.

The MSC Chain of Custody Standard: Default V4 covers segregation in Principle 3 of the standard on page 8.

The requirement for segregation is also cover in the MSC Chain of Custody Certification Requirements in sections 8.2.7 (page 36) and 8.4.3 (page 44).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a list of certified CoC sites were publicly available on the MSC website.

## Comments:

The Chain of Custody certification programme is shared between MSC (Marine Stewardship Council) and ASC.

The Chain of Custody certification programme is applied across all ASC +I41:I42standards and that functioning of the total system is evaluated, including the shrimp and salmon standard.

## REFERENCES

- 1) <https://www.msc.org/standards-and-certification/chain-of-custody-standard>
- 2) MSC Chain of Custody Standard: Default V4.  
20th February 2015  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc\\_chain\\_of\\_custody\\_standard\\_default\\_v4-0.pdf?sfvrsn=c89131f7\\_20](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc_chain_of_custody_standard_default_v4-0.pdf?sfvrsn=c89131f7_20)
- 3) MSC Chain of Custody Certification Requirements V2.0 (20th February 2015)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa\\_18](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa_18)
- 4) <http://cert.msc.org/supplierdirectory/VController.aspx?Path=be2ac378-2a36-484c-8016-383699e2e466&xf=1&Species=Seabob shrimp>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because this requirement is covered in ASC Certification and Accreditation Requirements (V2.1 August) (Pages v & vi).

In addition, these elements are covered in the MSC Chain of Custody Certification Requirements V2 in the general introduction on page 7 & in the Scope on page 9.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a list of certified CoC sites were publicly available on the MSC website. The scope of operations/activities were clearly defined for each supplier.

Comments:

- The Chain of Custody certification programme is shared between MSC (Marine Stewardship Council) and ASC.
- The Chain of Custody certification programme is applied across all ASC standards and that functioning of the total system is evaluated, including the shrimp and salmon standard

##### REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) MSC Chain of Custody Certification Requirements V2.0 (20th February 2015)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa\\_18](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa_18)
- 3) <http://cert.msc.org/supplierdirectory/VController.aspx?Path=be2ac378-2a36-484c-8016-383699e2e466&xf=1&Species=Seabob shrimp>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the MSC Chain of Custody Standard Default Standard V4 requires that certified products are traceable and volumes recorded (Principle 4 - page 9).

In addition, the MSC Chain of Custody Certification Requirements V2 defines the requirement for CABs to conduct record verification exercises (8.2.9-8.2.11).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the audit records for Suriname Atlantic seabob shrimp who a certified against MSC Fisheries Standard were reviewed on the MSC website. This was reviewed in relation to this GSSI component and not for technical content. I43:144

##### REFERENCES

- 1) MSC Chain of Custody Standard: Default V4.  
20th February 2015  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc\\_chain\\_of\\_custody\\_standard\\_default\\_v4-0.pdf?sfvrsn=c89131f7\\_20](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc_chain_of_custody_standard_default_v4-0.pdf?sfvrsn=c89131f7_20)
- 2) MSC Chain of Custody Certification Requirements V2.0 (20th February 2015)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa\\_18](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa_18)
- 3) <https://fisheries.msc.org/en/fisheries/suriname-atlantic-seabob-shrimp/@assessments>

## 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

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, because the requirements are covered in 5.3 (Subcontractors, transport and contract processing) of the MSC Chain of Custody Standard Default Standard V4 (page 13).

In addition, the MSC Chain of Custody Certification Requirements V2 specifies the procedures on the evaluation of subcontractors in 8.4 (page 44).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component - no evidence was reviewed.

Comments:

- The Chain of Custody certification programme is shared between MSC (Marine Stewardship Council) and ASC.
- The Chain of Custody certification programme is applied across all ASC standards and that functioning of the total system is evaluated, including the shrimp and salmon standard

## REFERENCES

- 1) MSC Chain of Custody Standard: Default V4.  
20th February 2015  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc\\_chain\\_of\\_custody\\_standard\\_default\\_v4-0.pdf?sfvrsn=c89131f7\\_20](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc_chain_of_custody_standard_default_v4-0.pdf?sfvrsn=c89131f7_20)
- 2) MSC Chain of Custody Certification Requirements V2.0 (20th February 2015)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa\\_18](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa_18)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because there is a specific requirement within the MSC Chain of Custody Standard Default Standard V4 under the introduction section requires chain of custody certification and periodic surveillance over a three year period.

Once again the MSC Chain of Custody Certification Requirements V2 specifies the approach to be taken and there is specific reference to risk factors and how this correlates to audit frequency.

**REFERENCES**

- 1) MSC Chain of Custody Certification Requirements V2
- 2) MSC Chain of Custody Standard Default Standard V4

## 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, contractor agreement specifying requirements, mandatory template reports.
- Chain of Custody audit report.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the requirements for audit findings are covered in sections 9.2-9.4 in the MSC Chain of Custody Certification Requirements V2 (pages 45-51).

In addition, Certificate suspension is covered in 7.4 of the MSC General Certification Requirements V2.3 (pages 28-33).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a list of suspended fisheries were observed to be publicly accessible through the MSC website.

Comments:

- The Chain of Custody certification programme is shared between MSC (Marine Stewardship Council) and ASC.
- The Chain of Custody certification programme is applied across all ASC standards and that functioning of the total system is evaluated, including the shrimp and salmon standard

## REFERENCES

- 1) MSC Chain of Custody Certification Requirements V2.0 (20th February 2015)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa\\_18](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa_18)
- 2) MSC General Certification Requirements V2.3  
 (31st August 2018)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/general-certification-requirements/msc-general-certification-requirements-v2-3.pdf?sfvrsn=f055d4ac\\_7](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/general-certification-requirements/msc-general-certification-requirements-v2-3.pdf?sfvrsn=f055d4ac_7)
- 3) <https://fisheries.msc.org/en/fisheries/@@search?q=suspended&search=>

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the report formats are available on the MSC website, example: Chain of Custody Single and Multi-Site CoC Audit Checklist and Reporting Template, v 3.01 (September 2015)

In addition, the report format is referenced in both the MSC Chain of Custody Certification Requirements V2.0 (9.1.2, page 45).

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component two example Chain of Custody reports were reviewed during the office visit on 15/5/19 (reports are not publicly available on the website). The reports which were reviewed were:

- 1) Vietnam Clean Seafood Corporation-Ton Vu Farm (BVC) on 30 July 2018.
- 2) C P Vietnam Corporation - Hue Frozen Branch (BVC) on 6 December 2018.

##### REFERENCES

- 1) <https://www.msc.org/for-business/certification-bodies/supporting-documents/4>
- 2) MSC Chain of Custody Standard: Default V4. 20th February 2015  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc\\_chain\\_of\\_custody\\_standard\\_default\\_v4-0.pdf?sfvrsn=c89131f7\\_20](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc_chain_of_custody_standard_default_v4-0.pdf?sfvrsn=c89131f7_20)
- 3) MSC Chain of Custody Certification Requirements V2.0 (20th February 2015)  
[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa\\_18](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc-coc-certification-requirements-v2-0.pdf?sfvrsn=80290faa_18)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the MSC Chain of Custody Certification Requirements V2 section 9.9.1.2 states the CAB shall send the CoC audit checklist with all audit findings to the client within 10 days of the audit.

This is achieved by uploading of information onto the scheme database.

ASI also have specific requirements of this process.

**REFERENCES**

- 1) MSC Chain of Custody Certification Requirements V2
- 2) ASI-PRO-20-101-ASI-Accreditation-V4.0.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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the requirements are specified in section 5.1.3 (page 11) of the MSC Chain of Custody Standard Default V4.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component - no evidence was reviewed. Evidence of certification was publicly available on the MSC website.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component two example Chain of Custody reports were reviewed during the office visit on 15/5/19 (reports are not publicly available on the website). The reports which were reviewed were:

- 1) Vietnam Clean Seafood Corporation-Ton Vu Farm (BVC) on 30 July 2018.
- 2) C P Vietnam Corporation - Hue Frozen Branch (BVC) on 6 December 2018. Copies of the reports were not retained due to confidentiality.

## REFERENCES

- 1) MSC Chain of Custody Standard: Default V4. 20th February 2015

[https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc\\_chain\\_of\\_custody\\_standard\\_default\\_v4-0.pdf?sfvrsn=c89131f7\\_20](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-program-documents/msc_chain_of_custody_standard_default_v4-0.pdf?sfvrsn=c89131f7_20)

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because they use the MSC Chain of Custody Standard Group Version V1.0 which meets the requirements of the GSSI regarding multiple site certification.

Options relating to the type of certification are defined in the MSC Chain of Custody Certification Requirements V2 section 6.2.

## REFERENCES

- 1) MSC Chain of Custody Standard Group Version V1.0

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because they use the MSC Chain of Custody Standard Group Version V1.0 which meets the requirements of the GSSI regarding multiple site certification.

With regard to assessment as part of the internal audit during the validity of the certification this is achieved as the MSC Chain of Custody Standard Group Version V1.0 requires annual internal audits by the group.

## REFERENCES

- 1) Service Agreement ASC:ASI 2016
- 2) ASI\_Annual\_Report\_2016 <http://www.accreditation-services.com/archives/committed-to-quality-iseal-evaluates-asi-against-iso-17011>

# 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

## 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 Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines in Section 17 (pages 20-33) the process requirements which covers sampling methodology and frequency of audits.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Shrimp Audit Manual (V.1) and a completed shrimp audit report for Zhanjiang Guolian Aquatic Products Co.,Ltd. ASC80009 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, the ASC Salmon Audit Manual (V1.1) and a completed salmon audit report for Norway Royal Salmon DK010303-1 (which included the embedded audit checklist) was reviewed. This was reviewed in relation to this GSSI component and not for technical content.

## REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400001KnEj3AAF>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a011o00001VC4w7AAD>

## 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: publicly available information for stakeholder input, public announcements, audit work plans, requests for input,
- audit reports with documented stakeholder input.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1 August) clearly defines the certification process in Sections 7 & 17 (Process Requirements). The requirements for stakeholder engagement are specifically covered in 17.8.

In addition, the certification process is clearly outlined on the ASC website.

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component see section B.2.9

## REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <https://www.asc-aqua.org/what-you-can-do/get-certified/farms/>
- 3) <http://asc.force.com/Certificates/ASCCertDetails2?id=a012400001KnEj3AAF>
- 4) <http://asc.force.com/Certificates/ASCCertDetails2?id=a011o00001VC4w7AAD>

## 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: publicly 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

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because although this relates to fisheries ASC allows for comment from stakeholders; comment within 15 days of the issue of the report. Ref ASC Certification and Accreditation Requirements V.2 Annex 3- CAB to allow stakeholder comment on audit reports.

## REFERENCES

- 1) ASC Certification and Accreditation Requirements V.2

## B.2

## Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

## CERTIFICATION

## B.2 11 01 SITE AUDIT

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner requires that CBs conduct unscheduled audits.

*Rationale: Provides a mechanism to assess enterprises without a lot of advance warning, to get a more truthful assessment of practices.*

## GUIDANCE

'Unscheduled' means without significant advance warning. The Scheme Owner defines this requirement for certification bodies to conduct unscheduled (without significant advance warning) or surprise audits. The Scheme Owner defines process for determining audits and methodologies to ensure consistent implementation.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body,
- certification requirements/methodologies specifying requirement and conditions for unscheduled audits (e.g. risk, context, complaints received),
- guidance specifying procedures and process to ensure consistency,
- audit reports.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1 August) references the requirement for the CAB's to have procedures relating to unannounced audits in 17.15.14

As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component this subject was followed up during the office visit.

During the office visit on 15/5/19 this GSSI component was discussed. The compliance of CAB's with the ASC Certification and Accreditation Requirement (CAR) requirements is assessed by ASI through CAB office assessments.

The requirement for unannounced audits is not very clearing the CAR however evidence was observed that ASI cover this requirement in their CAB assessments. The office assessment report for DMV was reviewed on screen with ASI during the office visit on 15/5/19 & an NC was raised against 17.15.14.

In addition, the Public Disclosure Form 3 for an unannounced audit was reviewed. The audit was completed by Control Union Peru SAC on 12/7/18 on Truc anh Farm.

## REFERENCES

- '1) ASC Certification and Accreditation Requirements (V2.1 August 2017), (page 37).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) ASC.FORM3.L01\_02\_2.1 - Truc Anh farm unannounced audit 12.07  
<http://asc.force.com/Certificates/servlet/servlet.FileDownload?retURL=/Certificates/apex/ASCCertDetails2?id=a012400000R8ZUOAA3&file=00P1o00001jMTznEAG>

## B.2

## Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

## CERTIFICATION

## B.2 14 01 TRANSPARENCY ON AUDIT REPORTS

## GSSI SUPPLEMENTARY COMPONENT

For aquaculture, the Scheme Owner requires Certification Bodies to make summary audit reports available on request after certification has been granted, that include the following information:

- 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.

*Rationale: Supports transparency and empowers stakeholders to understand the performance of an enterprise*

## 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, available upon request that include all of the information defined in the *Supplementary Component*. If the scheme does not allow mass balance, then that information requirement is considered aligned. 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 the certification body and certified entity with this requirement,
- certification requirements/ methodologies specifying requirement
- guidance specifying the information to be included in summary audit reports
- certification body website for posted reports.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the Audit Report requirements in Section 21 (Annex C pages 63 & 64). As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, audit reports were observed to be publicly accessible through the ASC website.

As further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a sample of 5 audit records (including reports) were reviewed. This was reviewed in relation to this GSSI component and not for technical content.

Audit records reviewed:

- 1) West Coast Frozen Foods Private Limited ASC-F-SCS-047 (ASC-Shrimp Std V1.0)
- 2) Camimex Company Limited CUP-C835628-ASC-02-2018-SH (ASC-Shrimp Std V1.0)
- 3) Sopac SA ASC-F-BVFN-022-FRA (ASC-Shrimp Std V1.0)
- 4) Exportadora Los Fiordos ASC-F-SCS-093 (ASC-Salmon Std V1.0)
- 5) Cermaq Norway DK010819-1 (ASC-Salmon Std V1.0)

## REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017). [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/>
- 3) <http://asc.force.com/Certificates/ASCertDetails2?id=a012400000tRUSNAA4>
- 4) <http://asc.force.com/Certificates/ASCertDetails2?id=a0124000008RwIDAAS>
- 5) <http://asc.force.com/Certificates/ASCertDetails2?id=a012400000oCS2yAAG>
- 6) <http://asc.force.com/Certificates/ASCertDetails2?id=a011o00001VC0MaAAL>
- 7) <http://asc.force.com/Certificates/ASCertDetails2?id=a0124000018trMQAAY>

## B.2

## Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

## CERTIFICATION

## B.2 14 02 TRANSPARENCY ON AUDIT REPORTS

## GSSI SUPPLEMENTARY COMPONENT

For aquaculture, the Scheme Owner requires certification bodies to make full audit reports on request after certification has been granted, while excluding commercially sensitive information

*Rationale: Supports transparency and empowers stakeholders to understand the performance of an enterprise*

## GUIDANCE

Applicable only to Aquaculture. For Fisheries "Not Applicable". The Scheme Owner defines this requirement for certification bodies to make full audit reports, certification has been granted, publicly available 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 the 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.

## CONCLUSION

The Aquaculture Stewardship Council (ASC) Certification Scheme is in alignment with this GSSI component because the ASC Certification and Accreditation Requirements (V2.1) clearly defines the Audit Report requirements in Section 21 (Annex C pages 63 & 64). As evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, audit reports were observed to be publicly accessible through the ASC website.

As further evidence for implementation of alignment of the ASC Certification Scheme with this GSSI component, a sample of 5 audit records (including reports) were reviewed. This was reviewed in relation to this GSSI component and not for technical content.

Audit records reviewed:

- 1) West Coast Frozen Foods Private Limited ASC-F-SCS-047 (ASC-Shrimp Std V1.0)
- 2) Camimex Company Limited CUP-C835628-ASC-02-2018-SH (ASC-Shrimp Std V1.0)
- 3) Sopac SA ASC-F-BVVN-022-FRA (ASC-Shrimp Std V1.0)
- 4) Exportadora Los Fiordos ASC-F-SCS-093 (ASC-Salmon Std V1.0)
- 5) Cermaq Norway DK010819-1 (ASC-Salmon Std V1.0)

As further evidence of alignment this was followed up at the office visit on 15/5/19. It was established that ASC does not have any formal agreement with CAB's. It is the responsibility of ASI to determine the compliance of CAB's with the ASC Certification and Accreditation Requirement (CAR).

In addition, The ASI Accreditation Procedure & the 2019 Schedule of ASI Assessments were reviewed on the ASI website during the office visit on 15/5/19. The ASI Surveillance & Sampling procedure & the ASI Assessment Findings document were also reviewed. These documents were publicly available on the ASI website.

## REFERENCES

- 1) ASC Certification and Accreditation Requirements (V2.1 August 2017).  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean.pdf)
- 2) <http://asc.force.com/Certificates/>
- 3) <http://asc.force.com/Certificates/ASCcertDetails2?id=a012400000tRUSNAA4>
- 4) <http://asc.force.com/Certificates/ASCcertDetails2?id=a0124000008RwIDAAS>
- 5) <http://asc.force.com/Certificates/ASCcertDetails2?id=a012400000oCS2yAAG>
- 6) <http://asc.force.com/Certificates/ASCcertDetails2?id=a011o00001VC0MaAAL>
- 7) <http://asc.force.com/Certificates/ASCcertDetails2?id=a0124000018trMQAAY>
- 8) ASI-PRO-20-101-ASI Accreditation-V4.3  
[https://asi-login.my.salesforce.com/sfc/p/#A00000000aGza/a/120000000G3l/1shnaQiY\\_HMAH8A9Wu62xsSYuYRLy5gLQY0CeSPBO2Q](https://asi-login.my.salesforce.com/sfc/p/#A00000000aGza/a/120000000G3l/1shnaQiY_HMAH8A9Wu62xsSYuYRLy5gLQY0CeSPBO2Q)



EVIDENCE OF ALIGNMENT  
WITH APPLICABLE **GSSI ESSENTIAL  
COMPONENTS** FOR AQUACULTURE  
CERTIFICATION STANDARDS  
**SALMON**

## C.I

*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 ASC Salmon Standard is in alignment because the standard includes indicators that:

- 1) prohibits prophylactic use of antibiotics,
- 2) requires all medication events to be prescribed by a veterinarian, and,
- 3) requires on-farm documentation of all chemicals and therapeutants used in the most recent production cycle, the amounts used, date of usage, which groups of fish where treated, against which disease, proof of proper dosing and all disease/pathogens detected on the site.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.2.1, 5.2.3, and 5.2.7.
- 3) ASCWebsite [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) on-farm documentation that includes, at a minimum, detailed information on all chemicals and therapeutants used during the most recent production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing, and all disease and pathogens detected on the site,
- 2) no allowance for use of therapeutic treatments that include antibiotics or chemicals that are banned in any of the primary salmon producing or importing countries,
- 3) all medication events are prescribed by a veterinarian,
- 4) compliance with all withholding periods after treatments,
- 5) no allowance for prophylactic use of antimicrobial treatments,
- 6) no allowance for use of antibiotics listed as critically important for human medicine by the World Health Organization (WHO), and
- 7) evidence of compliance with the OIE Aquatic Animal Health Code.

##### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.2.1, 5.2.2, 5.2.3, 5.2.4, 5.2.7, 5.2.8, and 5.4.3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

*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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) farm will need to develop and implement a Fish Health Management Plan - which includes assurances of staff training as is further required under 6.11.1 Evidence that the company regularly performs training of staff in fish husbandry, general farm and fish escape management and health and safety procedures. Elaboration on this can be found in the rationale under Criterion 6.11 "Workers employed in husbandry activities require specific and adequate training and are aware of their responsibilities in aquatic animal health management practices,"
- 2) farms have to be in full compliance with the entire OIE Aquatic Animal Health Code - which requires training, and
- 3) during an on-site audit an auditor will verify if the most recent version of the OIE Aquatic Animal Health Code is translated into management policies and procedures and that staff is trained to understand these procedures and policies and implements them correctly.

#### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicators 5.1.1, 5.4.3, 6.11.1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

*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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) water quality parameters (dissolved oxygen, water quality targets demonstrating siting in water quality classified as "good" or "very good", or, nitrogen and phosphorus levels are equal between the farm site and the reference site) in and near the site of operation are good, and
- 2) development and implementation of a Fish Health Management Plan which takes into account the various factors that can influence the health & performance of the fish on site - ranging from disease control & diagnosis, feed, survival rates, biosecurity, net cleaning, etc.

#### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicators 2.2.1 - 2.2.6 and 5.1.1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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

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## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.1.1 and 5.4.2 -5.4.4.a
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

*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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) a Fish Health Management Plan is developed and implemented that, among other items, covers this topic,
- 2) monthly site visits by a fish health manager, and quarterly site visits by a veterinarian are conducted,
- 3) dead fish are removed and disposed of in a responsible manner
- 4) under the ABM-requirements, monitoring of disease uprisings is required,
- 5) in areas with out-migrating wild salmon, the farm is required to conduct - or participate - in sampling and monitoring of sea lice levels on wild fish, and
- 6) farms have to be in full compliance with the entire OIE Aquatic Animal Health Code - which requires monitoring

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.1.6, 5.1.1, 5.1.2, 5.4.2, 5.4.3, and 5.1.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

*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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) dead fish are removed and disposed of in a responsible manner, and
- 2) all removed mortalities are recorded, classified and received a post-mortem analysis.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicators 5.1.3 and 5.1.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) a Fish Health Management Plan is developed and implemented - for both the grow-out site and the smolt site - that, among other items, covers this topic. The Farm Health Management Plan is developed in collaboration with, and signed-off by, a veterinarian, and
- 2) compliant smolts are 100% vaccinated for selected diseases that are known to present a significant risk in the region and for which an effective vaccine exists.

##### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.1.1 and 8.12.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

*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](http://www.oie.int/index.php?id=171&L=0&htmfile=chapitre_aquatic_animal_waste.htm)).

#### CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) 100% of dead fish are removed and disposed of in a responsible manner, and
- 2) evidence of compliance with the OIE Aquatic Animal Health Code.

#### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.1.3 and 5.4.3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) all dead fish are removed and disposed of in a responsible manner,
- 2) all salmon on the site are a single year class,
- 3) if the farm suspects an unidentifiable transmissible agent, or if the farm experiences unexplained increased mortality, the farm has to:
  - report the issue to the ABM and to the appropriate regulatory authority
  - increase monitoring and surveillance on the farm and within the ABM
  - promptly made findings publicly available,
- 4) farms operate in compliance with the OIE Aquatic Animal Health Code,
- 5) if an OIE-notifiable disease is confirmed on the farm, evidence that:
  - the farm has, at minimum, immediately culled the pen(s) in which the disease was detected
  - the farm immediately notified the other farms in the ABM
  - the farm and the ABM enhanced monitoring and conducted rigorous testing for the disease
  - the farm promptly made findings publicly available,
- 6) participation in an Area-Based Management (ABM) scheme for managing disease and resistance to treatments that includes coordination of stocking, fallowing, therapeutic treatments and information sharing. Detailed requirements are in Appendix II-1,
- 7) establishment and annual review of a maximum sea lice load for the entire ABM and for the individual farm as outlined in Appendix II-2,
- 8) frequent on-farm testing for sea lice, with test results made easily publicly available within seven days of testing,
- 9) in areas with wild salmonids, evidence of data and the farm's understanding of that data, around salmonid migration routes, migration timing and stock productivity in major waterways within 50 kilometers of the farm,
- 10) in areas of wild salmonids, monitoring of sea lice levels on wild out-migrating salmon juveniles or on coastal sea trout or Arctic char, with results made publicly available. See requirements in Appendix III-1, and
- 11) in areas of wild salmonids, maximum on-farm lice levels during sensitive periods for wild fish. See detailed requirements in Appendix II, subsection 2.

##### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.1.1, 3.1.3 - 3.1.7, 5.1.3, 5.4.1, 5.4.2, 5.4.3, and 5.4.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

*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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) on-farm documentation that includes, at a minimum, detailed information on all chemicals and therapeutants used during the most recent production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing, and all disease and pathogens detected on the site,
- 2) 100% of medication events that are prescribed by a veterinarian, and
- 3) compliance with all withholding periods after treatments.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicators 5.2.1, 5.2.3, and 5.2.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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](http://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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of a fish health management plan for the identification and monitoring of fish diseases, parasites and environmental conditions relevant for good fish health, including implementing corrective action when required,
- 2) site visits by a designated veterinarian at least four times a year, and by a fish health manager at least once a month,
- 3) on-farm documentation that includes, at a minimum, detailed information on all chemicals and therapeutants used during the most recent production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing, and all disease and pathogens detected on the site,
- 4) no allowance for use of therapeutic treatments that include antibiotics or chemicals that are banned in any of the primary salmon producing or importing countries,
- 5) 100% of medication events that are prescribed by a veterinarian, and
- 6) no allowance for use of antibiotics listed as critically important for human medicine by the World Health Organization (WHO).

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.1.1, 5.1.2, 5.2.1, 5.2.2, 5.2.3, and 5.2.8.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) for farms with a cumulative PTI  $\geq 6$  in the most recent production cycle, demonstration that parasiticide load is at least 15% less than that of the average of the two previous production cycles. Requirement: Yes, by June 2017,
- 2) no allowance for prophylactic use of antimicrobial treatments,
- 3) no allowance for use of antibiotics listed as critically important for human medicine by the World Health Organization (WHO),
- 4) if more than one antibiotic treatment is used in the most recent production cycle, demonstration that the antibiotic load is at least 15% less than that of the average of the two previous production cycles. Requirement: Yes, by June 2017,
- 5) evidence of compliance with the OIE Aquatic Animal Health Code,
- 6) for farms that use copper-treated nets, evidence that nets are not cleaned or treated in situ in the marine environment,
- 7) for any farm that cleans nets at on-land sites, evidence that net-cleaning sites have effluent treatment,
- 8) for farms that use copper nets or copper-treated nets, evidence of testing for copper level in the sediment outside of the AZE, following methodology in Appendix I-1,
- 9) evidence that copper levels are  $<34$  mg Cu/kg dry sediment weight, OR, in instances where the Cu in the sediment exceeds 34 mg Cu/kg dry sediment weight, demonstration that the Cu concentration falls within the range of background concentrations as measured at three reference sites in the water body,
- 10) evidence that the type of biocides used in net antifouling are approved according to legislation in the European Union, or the United States, or Australia, and
- 11) appropriate controls are in place that maintains good culture and hygienic conditions on the farm which extends to all chemicals, including veterinary drugs, thereby ensuring that adverse impacts on environmental quality are minimised.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.2.6, 5.2.6 - 5.2.8, 5.2.10, 5.4.3, 4.7.1 - 4.7.5.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) presence of documents demonstrating compliance with local and national regulations and requirements on land and water use,
- 2) presence of documents demonstrating compliance with regulations and permits concerning water quality impacts,
- 3) evidence that the type of biocides used in net antifouling are approved according to legislation in the European Union, or the United States, or Australia,
- 4) no allowance for use of therapeutic treatments that include antibiotics or chemicals that are banned in any of the primary salmon producing or importing countries, and
- 5) no allowance for use of antibiotics listed as critically important for human medicine by the World Health Organization (WHO).

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 1.1.1, 1.1.4, 4.7.5, 5.2.2, and 5.2.8.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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](http://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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) appropriate controls are in place that maintains good culture and hygienic conditions on the farm which extends to all chemicals, including veterinary drugs, thereby ensuring that adverse impacts on environmental quality are minimised,
- 2) presence and evidence of a functioning policy for proper and responsible treatment of non- biological waste from production (e.g., disposal and recycling),
- 3) evidence that non-biological waste (including net pens) from grow-out site is either disposed of properly or recycled,
- 4) for any farm that cleans nets at on-land sites, evidence that net-cleaning sites have effluent treatment,
- 5) 100% of dead fish removed and disposed of in a responsible manner,
- 6) percentage of workers trained in health and safety practices, procedures and policies on a yearly basis, and
- 7) presence of a health and safety risk assessment and evidence of preventive actions taken.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.2.6, 4.5.1, 4.5.2, 4.7.2, 5.1.3, 6.5.1, and 6.5.3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of escape prevention planning and related employee training, including: net strength testing; appropriate net mesh size; net traceability; system robustness; predator management; record keeping and reporting of risk events (e.g., holes, infrastructure issues, handling errors, reporting and follow up of escape events); and worker training on escape prevention and counting technologies,
- 2) presence and evidence of a functioning policy for proper and responsible treatment of non- biological waste from production (e.g., disposal and recycling), and
- 3) evidence that non-biological waste (including net pens) from grow-out site is either disposed of properly or recycled.
- 4) evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I-3.
- 5) For smolt production, evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains the same components as the assessment for grow-out facilities under 2.4.1.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.4.4, 4.5.1, 4.5.2, 2.4.1 and 8.3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of traceability, demonstrated by the feed producer, of feed ingredients that make up more than 1% of the feed,
- 2) prior to achieving 4.3.1, the FishSource score for the fishery(ies) from which all marine raw material in feed is derived. Requirement: All individual scores  $\geq 6$ , and biomass score  $\geq 6$ ,
- 3) prior to achieving 4.3.1, demonstration of third-party verified chain of custody and traceability for the batches of fishmeal and fish oil which are in compliance with 4.3.2, and
- 4) feed containing fishmeal and/or fish oil originating from: none by-products or trimmings from IUU catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, whole fish and fish meal from the same species and family as the species being farmed.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.1.1 and 4.3.2 - 4.3.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes an indicator that requires that feed does not contain fishmeal and/or fish oil originating from: none by-products or trimmings from IUU catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, whole fish and fish meal from the same species and family as the species being farmed.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicator 4.3.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires feed does not contain fishmeal and/or fish oil originating from by-products or trimmings from IUU catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, whole fish and fish meal from the same species and family as the species being farmed.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 4.3.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) timeframe for all fishmeal and fish oil used in feed to come from fisheries certified under a scheme that is an ISEAL member and has guidelines that specifically promote responsible environmental management of small pelagic fisheries,
- 2) prior to achieving 4.3.1, demonstration of third- party verified chain of custody and traceability for the batches of fishmeal and fish oil which are in compliance with 4.3.2,
- 3) presence and evidence of a responsible sourcing policy for the feed manufacturer for marine ingredients that includes a commitment to continuous improvement of source fisheries.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.3.1, 4.3.2, and 4.3.5.ASC
- 3) Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the ASC interpretation platform includes the following statement: It is not allowed for ASC-certified salmon farms to feed whole fish, or parts of, at any stage of the production cycle. CABs are required to verify if FCR and FFDRm/o calculations reflect realistic extruded feed volumes being used against the declared production volume.

**REFERENCES**

- 1) ASC Interpretations Platform: Q&A26\_Salmon\_v.1.1\_4.2
- 2) [http://variance-requests.asc-aqua.org/questions/qa26\\_salmon\\_v-1-1\\_4-2/](http://variance-requests.asc-aqua.org/questions/qa26_salmon_v-1-1_4-2/)

## 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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires that feed does not contain fishmeal and/or fish oil originating from by-products or trimmings from IUU catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, whole fish and fish meal from the same species and family as the species being farmed.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 4.3.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) Fishmeal Forage Fish Dependency Ratio (FFDR<sub>m</sub>) for grow-out (calculated using formulas in Appendix IV- 1). Requirement: < 1.2,
- 2) Fish Oil Forage Fish Dependency Ratio (FFDR<sub>o</sub>) for grow-out (calculated using formulas in Appendix IV- 1). Requirement: FFDR<sub>o</sub> < 2.52, and
- 3) Evidence that the company regularly performs training of staff in fish husbandry, general farm and fish escape management and health and safety procedures.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.2.1, 4.2.2, and 6.11.1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard requires compliance with all applicable national laws and regulations (Principle 1). In addition, the ASC Responsible Feed Standard requires full compliance with all relevant local, regional and national laws regarding operation of the feed mill including possession of necessary legal permits.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017
- Principle 1.
- 3) ASC Responsible Feed Standard v0.1
- Indicator 1.1.2.
- 4) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)
- 5) ASC Website on Responsible Feed Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Responsible-Feed-Standard\\_v0.1\\_FINAL.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Responsible-Feed-Standard_v0.1_FINAL.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of traceability, demonstrated by the feed producer, of feed ingredients that make up more than 1% of the feed,
- 2) Fishmeal Forage Fish Dependency Ratio (FFDR<sub>m</sub>) for grow-out (calculated using formulas in Appendix IV- 1). Requirement: < 1.2, and
- 3) Fish Oil Forage Fish Dependency Ratio (FFDR<sub>o</sub>) for grow-out (calculated using formulas in Appendix IV- 1). Requirement: FFDR<sub>o</sub> < 2.52.

In addition, the ASC Salmon Audit manual requires that producers maintain detailed records of all feed suppliers and purchases including contact information and purchase and delivery records. The Audit Manual also requires that producers maintain a detailed inventory of the feed used including quantities used of each formulation.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicators 4.1.1, 4.2.1, and 4.2.2.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)
- 4) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Audit-Manual\\_v1.1-1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Audit-Manual_v1.1-1.pdf)

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) redox potential or sulphide levels in sediment outside of the Allowable Zone of Effect (AZE), following the sampling methodology outlined in Appendix I-1. Requirement: Redox potential > 0 millivolts (mV) OR Sulphide ? 1,500 microMoles / l,
- 2) faunal index score indicating good to high ecological quality in sediment outside the AZE, following the sampling methodology outlined in Appendix I-1. Requirement: AZTI Marine Biotic Index (AMBI6) score ? 3.3, or Shannon-Wiener Index score > 3, or Benthic Quality Index (BQI) score ? 15, or Infaunal Trophic Index (ITI) score ? 25,
- 3) number of macrofaunal taxa in the sediment within the AZE, following the sampling methodology outlined in Appendix I-1. Requirement: ? 2 highly abundant7 taxa that are not pollution indicator species, and
- 4) definition of a site-specific AZE based on a robust and credible modeling system.

#### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.1.1 - 2.1.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information.

##### RELATED SUPPLEMENTARY COMPONENTS

C.5 02 01 C.5 02 02

##### CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes an indicator that requires that the number of mortalities of endangered or red-listed marine mammals or birds on the farm is 0. In addition, Appendix I-3 (Biodiversity-focused impact assessment) requires identification of endangered and sensitive species that could be impacted by farm operations.

##### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 2.5.2 and Appendix I-3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes principles and indicators that require:

- 1) compliance with all applicable national laws and regulations (Principle 1),
- 2) conservation of natural habitat, local biodiversity and ecosystem function (Principle 2).
- 3) evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I-3,
- 4) Appendix I-3 states: "Particular attention to be paid to species listed on International Union for the Conservation of Nature (IUCN) or national threatened/endangered lists and on any areas that have been identified as HCVAs, areas important for conservation/biodiversity or the equivalent". A review of national threatened/endangered lists would require inclusion of biodiversity/habitat regulatory frameworks,
- 5) in the AM it is stated that: "Note: If a farm has previously undertaken an independent assessment of biodiversity impact (e.g. as part of the regulatory permitting process), the farm may use such documents as evidence to demonstrate compliance with Indicator 2.4.1 as long as all components in Appendix I-3 are explicitly covered," and
- 6) review of habitat and biodiversity laws is done under "Allowance for the farm to be sited in a protected area or High Conservation Value Areas (HCVAs)."

##### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Principle 1, Indicators 1.1.1, 1.1.4, 2.4.1, and 2.4.2, Appendix I-3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I-3, and
- 2) Appendix I-3 Biodiversity Focussed impact assessment (under point 4) reads the exact same indicator as provided by GSSI: "Where damage of sensitive habitats has been caused by the farm (as defined in the impact assessment) 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."

##### REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.4.1 and 2.4.2, Appendix I-3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes a principle and indicators that require:

- 1) compliance with all applicable national laws and regulations (Principle 1),
- 2) if a non-native species is being produced, demonstration that the species was widely commercially produced in the area by the date of publication of the ASC Salmon Standard, and
- 3) percentage of fish that are vaccinated for selected diseases that are known to present a significant risk in the region and for which an effective vaccine exists.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Principle 1, Indicators 3.2.1 and 8.12.
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires evidence of a fish health management plan for the identification and monitoring of fish diseases, parasites and environmental conditions relevant for good fish health, including implementing corrective action when required. The FHMP requires that stocking is recorded. In Appendix II, point 2, Stocking: Records must demonstrate that all stocked fish within the ABM are of the same year class and that stocking dates were coordinated with other farms.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 3.1.1, Appendix II - point 2.
- 3) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 increase (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

Not applicable.

## REFERENCES

Not applicable.

## 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

Not applicable.

## REFERENCES

Not applicable.

## 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



## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) 100% of smolt groups tested for select diseases of regional concern prior to entering the grow-out phase on farm,
- 2) 100% of fish that are vaccinated for selected diseases that are known to present a significant risk in the region and for which an effective vaccine exists,
- 3) evidence of a fish health management plan, approved by the designated veterinarian, for the identification and monitoring of fish diseases and parasites,
- 4) detailed information, provided by the designated veterinarian, of all chemicals and therapeutants used during the smolt production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing and all disease and pathogens detected on the site,
- 5) no allowance for use of therapeutic treatments that include antibiotics or chemicals that are banned in any of the primary salmon producing or importing countries, and
- 6) evidence of compliance with the OIE Aquatic Animal Health Code.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 8.11 - 8.15, 8.17, and 8.18.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## 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 must 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) a maximum number of escapees in the most recent production cycle of 300,
- 2) accuracy of the counting technology or counting method used for calculating stocking and harvest numbers of ? 98%,
- 3) estimated unexplained loss of farmed salmon is made publicly available, and
- 4) evidence of escape prevention planning and related employee training, including: net strength testing; appropriate net mesh size; net traceability; system robustness; predator management; record keeping and reporting of risk events (e.g., holes, infrastructure issues, handling errors, reporting and follow up of escape events); and worker training on escape prevention and counting technologies.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017 Indicators 3.4.1 - 3.4.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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**

Not applicable. The ASC Salmon Standard prohibits the culture of transgenic salmon.

**REFERENCES**

Not applicable.

## 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 ASC Salmon Standard is in alignment because the standard includes a principle and indicators that require:

- 1) Compliance with all applicable national laws and regulations (Principle 1),
- 2) Appendix I-3 states: "Particular attention to be paid to species listed on International Union for the Conservation of Nature (IUCN) or national threatened/endangered lists and on any areas that have been identified as HCVA's, areas important for conservation/biodiversity or the equivalent". A review of national threatened/endangered lists would require to include also biodiversity/habitat regularoty frameworks,
- 3) In the AM it is stated that: "Note: If a farm has previously undertaken an independent assessment of biodiversity impact (e.g. as part of the regulatory permitting process), the farm may use such documents as evidence to demonstrate compliance with Indicator 2.4.1 as long as all components in Appendix I-3 are explicitly covered,"
- 4) If a non-native species is being produced, demonstration that the species was widely commercially produced in the area by the date of publication of the ASC Salmon Standard, and
- 5) If a non-native species is being produced, evidence of scientific research completed within the past five years that investigates the risk of establishment of the species within the farm's jurisdiction and these results submitted to ASC for review.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Principle 1, Indicators 2.4.1, 3.2.1, and 3.2.2.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) presence of documents demonstrating compliance with local and national regulations and requirements on land and water use, and
- 2) presence of documents demonstrating compliance with regulations and permits concerning water quality impacts.

**REFERENCES**

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 1.1.1 and 1.1.4.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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
<p>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.</p>
GUIDANCE
<p>An exemption for standards that do not cover land-based saline water systems is expected.</p> <p>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.</p>
CONCLUSION
<p>Not applicable.</p>
REFERENCES
<p>Not applicable.</p>

## 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

Not applicable.

## REFERENCES

Not applicable.

## 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



## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) weekly average percent saturation of dissolved oxygen (DO) on farm, calculated following methodology in Appendix I-4 of ? 70%,
- 2) maximum percentage of weekly samples from 2.2.1 that fall under 2 mg/liter DO of 5%,
- 3) for jurisdictions that have national or regional coastal water quality targets, demonstration through third-party analysis that the farm is in an area recently classified as having "good" or "very good" water quality,
- 4) for jurisdictions without national or regional coastal water quality targets, evidence of monitoring of nitrogen and phosphorous levels on farm and at a reference site, following methodology in Appendix I- 5, indicating consistency with reference site.
- 5) percentage of fines in the feed at point of entry to the farm (calculated following methodology in Appendix I-2) of < 1% by weight of the feed,
- 6) demonstration of calculation of biochemical oxygen demand (BOD) of the farm on a production cycle basis, and
- 7) appropriate controls are in place that maintains good culture and hygienic conditions on the farm which extends to all chemicals, including veterinary drugs, thereby ensuring that adverse impacts on environmental quality are minimised.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.2.1 - 2.2.6, and 2.3.1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)



EVIDENCE OF ALIGNMENT  
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**  
FOR AQUACULTURE CERTIFICATION STANDARDS

## C.I

## 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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires:

- 1) all mortalities are recorded, classified and receive a post-mortem analysis, and
- 2) If on-site diagnosis is inconclusive, the standard requires off-site laboratory diagnosis. A qualified professional must conduct the diagnosis. Once hundred percent of mortality events shall receive a post-mortem analysis, not necessarily every fish. A statistically relevant number of fish from the mortality event shall be analyzed.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 5.1.4, Footnote 97.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## 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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires evidence of a fish health management plan for the identification and monitoring of fish diseases, parasites and environmental conditions relevant for good fish health, including implementing corrective action when required. The standard requires site visits by a designated veterinarian at least four times a year, and by a fish health manager at least once a month. A designated veterinarian is defined as the professional responsible for health management on the farm who has the legal authority to diagnose disease and prescribe medication. In some countries such as Norway, a fish health biologist or other professional has equivalent professional qualifications and is equivalent to a veterinarian for purposes of these standards.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.1.1, 5.1.2 and Footnote 94.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) compliant smolts are 100% vaccinated for selected diseases that are known to present a significant risk in the region and for which an effective vaccine exists, and
- 2) compliant smolts are tested for select diseases of regional concern prior to entering the grow-out phase on farm.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 8.12 and 8.13.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 08 06 BIOSECURITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to establish, implement, and maintain a written plan for improving survival rate (or similar system that incorporates survival rates (e.g., recovery rate)), including defined annual targets.

*Rationale: Survival rates can be used as performance based metrics to reflect the effectiveness of the disease management systems. This GSSI Supplementary Component shows that the farm understands its current performance and is committed to improving it, this will have additional environmental benefits including reduced severity of disease outbreaks and improving feed efficiencies.*

## GUIDANCE

Verification that a written plan exists and that includes actions directed at increasing the survival rate (such as increasing vaccination, biosecurity, water quality etc.) and that suitable records are kept on survival rate and the factors being considered in the plan, and that the plan is operational (e.g. by interview) is expected.

Aligned standards will also be considered in alignment with C.1.08.01.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes an indicator that requires a farm-specific mortality reduction program that includes defined annual targets for reductions in mortalities and reductions in unexplained mortalities.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 5.1.7.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 08 07 BIOSECURITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires suitable performance based metric limits on survival rate (or similar system that incorporates survival rates (e.g. recovery rate)) or similar criteria that demonstrate that the aquatic health management practices are effective.

*Rationale: By meeting a performance based metric for survival rate the standard verifies that the farm has an effective biosecurity system.*

## GUIDANCE

A suitable performance based metric limit could include those set on a species specific basis using industry average data (e.g., a minimal % relative to say industry average data) or based on farm monitoring records. Other possible criteria may include metric limits on veterinary drug usage. Verification that the metric limits have been met and set based on a suitable monitoring and record keeping system is expected.

Aligned standards will also be considered in alignment with C.1.08.02 and C.1.08.06.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) the maximum viral disease related mortalities on farm during the most recent production cycle do not exceed 10%, and
- 2) the maximum unexplained mortality rate from each of the previous two production cycles, for farms with total mortality >6% has to be equal or below 40%.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 5.1.5 and 5.1.6.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 08 08 BIOSECURITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires a legally binding, appropriately defined, and operational area management system is in place that ensures that all participant aquaculture facilities use common and, where applicable, coordinated practices for the shared management of aquatic animal disease risk.

*Rationale: Disease outbreaks are a limiting factor to the further growth of aquaculture. While maintaining farm level biosecurity practices reduces the chance of disease appearing on an individual farm, that farm system may still be reliant on shared resources such as water bodies. By working together to address the cumulative risk and spread of disease farms within the AMS boundary have the potential to great reducing the severity of disease outbreaks.*

## GUIDANCE

Not applicable where the aquaculture facility is physically or sufficiently isolated that disease transfer is highly unlikely.

Common practices for the shared management of aquatic animal disease risk are expected to include suitable requirements to prevent disease outbreaks, share disease status information, and, where appropriate, coordinate response actions in the presence of a disease, such as the use of veterinary drugs. Requirements are expected to be enforced through an agreement with the regulator or legally binding agreement of the producers in the area (e.g. an MOU or similar document).

An appropriately defined area is expected to have boundaries that are defined according to the ability to realistically manage aquatic disease risk within it.

Verification is expected to include a review evidence of the presence of the system and the common and coordinated practices applied (e.g., such as written records, meeting notes, contractual agreements and/or interviews).

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

1) an Area Based Management Scheme is developed and implemented, that covers at least the following aspects:

- application and rotation of treatments
- stocking
- fallowing
- monitoring schemes
- setting and revising a maximum ABM lice load, and

2) in addition to having an ABM, 4 indicators of the ASC Salmon Standard v1.1 explicitly refer to the ABM as well: 3.1.1, 3.1.3, 5.4.2 and 5.4.4.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.1.1, 3.1.3, 5.4.2, and 5.4.4. Appendix II outlines the entire ABM development/content protocol.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 10 01 OFF-FARM DISEASE TRANSMISSION

## GSSI SUPPLEMENTARY COMPONENT

Where the production system allows the discharge of parasites that are a known concern to local wildlife, the standard requires monitoring and adapting farming practices based on trigger limits of relevant parasite numbers on wild fish where this is feasible.

*Rationale: Aquaculture facilities have the potential to introduce and locally amplify parasite numbers above those generally found in the wild. With a few exceptions, these issues remain poorly understood or studied. However, where these issues are known, these indicators verify that the degree of impact on wild populations is being managed.*

## GUIDANCE

Examples of pathogens or parasites that are a known concern include sea lice on farmed salmon; appropriate practices could be specified in the standard or a suitable risk assessment or other justification could be given to determine whether or not this Supplementary Component is applicable.

The certification scheme or standard is expected to address the monitoring of pathogen or parasite numbers on wild fish or a similar system that is likely to be effective at finding evidence of impact if it's occurring (possibly performed by third parties or government), and that appropriate trigger limits (e.g., expert opinions, scientific literature) and adaptive management plans exist and are employed to reduce the pressure on wild populations (such as by treating fish, fallowing, etc.).

Verification that the system is operational is also expected.

Aligned standards will also be considered in alignment with C.1.10.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) a demonstrated commitment to collaborate with NGOs, academics and governments on areas of mutually agreed research to measure possible impacts on wild stocks,
- 2) establishment and annual review of a maximum sea lice load for the entire ABM and for the individual farm as outlined in Appendix II-2,
- 3) in areas with wild salmonids, evidence of data and the farm's understanding of that data, around salmonid migration routes, migration timing and stock productivity in major waterways within 50 kilometers of the farm,
- 4) in areas of wild salmonids, monitoring of sea lice levels on wild out-migrating salmon juveniles or on coastal sea trout or Arctic char, with results made publicly available. See requirements in Appendix III- 1,
- 5) in areas of wild salmonids, maximum on-farm lice levels during sensitive periods for wild fish. See detailed requirements in Appendix II, subsection 2. Requirement: 0.1 mature female sealice, and
- 6) maximum farm level cumulative parasiticide treatment index (PTI) score as calculated according to the formula in Appendix VII. Requirement: PTI score ? 13.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.1.2, 3.1.3, 3.1.5, 3.1.6, 3.1.7, and 5.2.5.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## 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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires presence and evidence of a functioning policy for proper and responsible treatment of non- biological waste from production (e.g., disposal and recycling).

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 4.5.1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## 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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) appropriate controls are in place that maintains good culture and hygienic conditions on the farm which extends to all chemicals, including veterinary drugs, thereby ensuring that adverse impacts on environmental quality are minimised, and
- 2) presence and evidence of a functioning policy for proper and responsible treatment of non- biological waste from production (e.g., disposal and recycling).

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.2.6 and 4.5.1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## 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 02 01 GENERAL ENVIRONMENTAL MANAGEMENT

## GSSI SUPPLEMENTARY COMPONENT

The standard requires energy use to be monitored and recorded (e.g. total fuels or energy).

*Rationale: The environmental impacts associated with energy use, such as greenhouse gas emissions, are well known but have rarely been considered in aquaculture. The aquaculture facility is required to pay attention to its energy use through monitoring.*

## GUIDANCE

Verification is expected to include a review of evidence that energy use is being appropriately monitored and recorded using appropriate methods.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) presence of an energy use assessment verifying the energy consumption on the farm and representing the whole life cycle at sea, as outlined in Appendix V- 1. Requirement: Yes, measured in kilojoule/MT fish/production cycle,
- 2) records of greenhouse gas (GHG) emissions on farm and evidence of an annual GHG assessment, as outlined in Appendix V-1, and
- 3) documentation of GHG emissions of the feed used during the previous production cycle, as outlined in Appendix V, subsection 2.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.6.1, 4.6.2, and 4.6.3.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.4

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## FEED USE

## C.4 04 01 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires independent verification that the feed manufacturer that sources, for whole fish ingredients greater than 1% content;

- fishmeal and fish oil that are traceable back to the species, fishery and country of origin, and
- fishmeal and fish oil with less risk of detrimental environmental impacts, such as those certified a standard benchmarked at minimum consistent with relevant FAO's ecolabelling guidelines and that uncertified sources must be identified as low risk by independent risk assessment or must come from sources that are part of an effective Fishery Improvement Project (FIP) towards a suitable certification or that have been assessed to show limited impacts on stock status and ecosystem impacts as defined in Principle 3 of the FAO (2011). Aquaculture Development. 5. Use of Wild Fish as Feed in Aquaculture.

*Rationale: Third party audits of feed mill ingredient sourcing practices provide additional assurance that stated goals are being met. The Supplementary Components on sourcing marine feed ingredients are now focused towards more responsible sourcing and builds on the Essential Components which require the avoidance of environmentally damaging sources.*

## GUIDANCE

Verification is expected to include a 3rd party certification or audit of 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.

Effective FIPs could be those consistent with the 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](http://www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf)

Aligned standards will also be considered in alignment with C.4.01, C.4.02, C.4.03, and C.4.04

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of traceability, demonstrated by the feed producer, of feed ingredients that make up more than 1% of the feed,
- 2) prior to achieving 4.3.1, the FishSource score for the fishery(ies) from which all marine raw material in feed is derived. Requirement: All individual scores ? 6, and biomass score ? 6,
- 3) prior to achieving 4.3.1, demonstration of third- party verified chain of custody and traceability for the batches of fishmeal and fish oil which are in compliance with 4.3.2,
- 4) feed containing fishmeal and/or fish oil originating from: none by-products or trimmings from IUU catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, whole fish and fish meal from the same species and family as the species being farmed,
- 5) presence and evidence of a responsible sourcing policy for the feed manufacturer for marine ingredients that includes a commitment to continuous improvement of source fisheries, and
- 6) the policy should be written and include an 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 eco-labelling guidelines or by identified independent risk assessment.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.1.1, 4.3.2, 4.3.3, 4.3.4, 4.3.5, and footnote 72.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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, FFDR<sub>m</sub> (Forage Fish Dependency Ratio for Fish Meal) and FFDR<sub>o</sub> (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 ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) Fishmeal Forage Fish Dependency Ratio (FFDR<sub>m</sub>) for grow-out (calculated using formulas in Appendix IV- 1). Requirement: < 1.2, and
- 2) Fish Oil Forage Fish Dependency Ratio (FFDR<sub>o</sub>) for grow-out (calculated using formulas in Appendix IV- 1), OR, maximum amount of EPA and DHA from direct marine sources (calculated according to Appendix IV-2). Requirement: FFDR<sub>o</sub> < 2.52, OR, (EPA + DHA) < 30 g/kg feed.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.2.1 and 4.2.2.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.4

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## FEED USE

C.4

04

05

## ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that the aquaculture facility sources feed from a manufacturer that assures the fish meal and fish oil used in the production of from aquaculture trimmings (if greater than 1% inclusion) can also be traceable back to the origin fishery and does not come from illegal, unreported, and unregulated fishing (I.U.U.) and does not contain species on the IUCN red list. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill.

*Rationale: The trimmings from the processing of fishery and aquaculture products are sometimes used in aquaculture feeds. This Supplementary Component avoids the use of egregious fishing activity in feed ingredients used to produce the initial product and further dissuades fisheries from these practices.*

## GUIDANCE

Verification is expected to include a 3rd party certification or audit of the feed manufacturer. The standard is expected to apply to other relevant marine feed ingredients, such as from squid and krill.

Verification of the use of compliant feed by the aquaculture facility is expected. Suitable evidence of compliance could include document evidence of sources supplying the feed mill, 3rd party certifications of source aquaculture facilities and/or rendering plants, legal permits or declarations etc.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence of traceability, demonstrated by the feed producer, of feed ingredients that make up more than 1% of the feed,
- 2) feed can not contain fishmeal and/or fish oil originating from by-products or trimmings from IUU catch or from fish species that are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species, whole fish and fish meal from the same species and family as the species being farmed, and
- 3) traceability shall be at a level of detail that permits the feed producer to demonstrate compliance with the standards in this document (i.e., marine raw ingredients must be traced back to the fishery, soy to the region grown, etc.). Feed manufacturers will need to supply the farm with third-party documentation of the ingredients covered under this standard.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 4.1.1 and 4.3.4, Footnote 62.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.5

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 02 01 PREDATOR CONTROL

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that aquaculture facility uses non-lethal predator control measures on birds, mammals, and where relevant, reptiles.

*Rationale: This Supplementary Component verifies that lethal predator control is avoided on all species.*

## GUIDANCE

Verification of the predator controls used is expected. Examples of supporting evidence could include interview, visual inspection, and appropriate signage. Exceptions for human health and welfare and where euthanization is an act of mercy are acceptable and expected. Exclusions for accidental mortalities are also acceptable. This does not apply to pests (e.g., rats). Aligned standards will also be considered in alignment with C.5.02

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence that the following steps were taken prior to lethal action against a predator:
  - a. all other avenues were pursued prior to using lethal action,
  - b. approval was given from a senior manager above the farm manager,
  - c. Explicit permission was granted to take lethal action against the specific animal from the relevant regulatory authority,
- 2) in the event of a lethal incident, evidence that an assessment of the risk of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences, and
- 3) evidence that the following steps were taken prior to lethal action against a predator:
  - a. All other avenues were pursued prior to using lethal action,
  - b. Approval was given from a senior manager above the farm manager,
  - c. Explicit permission was granted to take lethal action against the specific animal from the relevant regulatory authority.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.5.3, 2.5.4, and 2.5.6.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.5

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 02 02 PREDATOR CONTROL

## GSSI SUPPLEMENTARY COMPONENT

The standard excludes aquaculture facilities with a history of repeated accidental or deliberate mortality of endangered species has occurred.

*Rationale: This Supplementary Component verifies the effectiveness of the non-lethal predator control measures by reviewing evidence that there have been no losses of Endangered, Threatened, and Protected Species.*

## GUIDANCE

Accidental mortality can include those as a result of entanglement etc. Repeated mortality means on more than one occasion over a suitable period of time (expected to be over one production cycle). Verification is expected and examples of supporting evidence include employee and local community interviews, appropriate signage, and interaction records.

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](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information.

Aligned standards will also be considered in alignment with C.5.02 and C.5.02.01.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) no mortalities of endangered or red-listed marine mammals or birds on the farm,
- 2) maximum number of lethal incidents on the farm over the prior two years of < 9 lethal incidents, with no more than two of the incidents being marine mammals, and
- 3) in the event of a lethal incident, evidence that an assessment of the risk of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.5.2, 2.5.5, and 2.5.6.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.5

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 03 01 PREVENTING HABITAT IMPACTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires a suitable process was put in place to protect sensitive habitat and endangered species prior to expansions to the aquaculture facility that occur post-initial certification.

*Rationale: Environmental Impact Assessment (EIA) is a management tool designed to understand the impact of an activity on the environment and steps required to limit those impact. Globally EIA's are not always required for aquaculture facilities. This Supplementary Component verifies an EIA is used even if it is not required by law.*

## GUIDANCE

A suitable process could include an EIA that be required to show evidence of negligible impacts to sensitive habitats. 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](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information. Verification is also expected.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) no allowance for the farm to be sited in a protected area or High Conservation Value Areas (HCVAs).
- 2) protected areas are defined as "a clearly defined geographical space, recognized, dedicated and managed through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values,"
- 3) High Conservation Value Areas (HCVA): Natural habitats where conservation values are considered to be of outstanding significance or critical importance. HCVA are designated through a multi-stakeholder approach that provides a systematic basis for identifying critical conservation values both social and environmental and for planning ecosystem management in order to ensure that these high conservation values are maintained or enhanced (<http://www.hcvnetwork.org/>),
- 4) the following exceptions shall be made for Standard 2.4.2:
  - for protected areas classified by the International Union for the Conservation of Nature (IUCN) as Category V or VI (these are areas preserved primarily for their landscapes or for sustainable resource management).
  - for HCVAs if the farm can demonstrate that its environmental impacts are compatible with the conservation objectives of the HCVA designation. The burden of proof would be placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been identified as a HCVA.
  - for farms located in a protected area if it was designated as such after the farm was already in operation and provided the farm can demonstrate that its environmental impacts are compatible with the conservation objectives of the protected area and it is in compliance with any relevant conditions or regulations placed on the farm as a result of the formation/designation of the protected area. The burden of proof would be placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been protected, and
- 5) evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I-3.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.4.1 and 2.4.2, Footnotes 26-28.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.5

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 03 02 PREVENTING HABITAT IMPACTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that environmental monitoring records are made available upon request because of the aquaculture facilities use of a public resource (e.g., water).

*Rationale: Requiring aquaculture facilities to provide relevant records to scientific or governmental institutions allows the institutions to evaluate the environmental impacts and any mitigation efforts of the facilities, and to help ensure that the facilities are in compliance with regulatory requirements. It also provides an incentive for facilities to minimize environmental impacts, and fosters trust and a collaborative relationship between the facility and the institutions.*

## GUIDANCE

Relevant records could include water quality, veterinary drug and chemical use, diseases, escapees, predator incidents. Verification is expected.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence that information about any lethal incidents on the farm has been made easily publicly available,
- 2) frequent on-farm testing for sea lice, with test results made easily publicly available within seven days of testing,
- 3) in areas of wild salmonids, monitoring of sea lice levels on wild out-migrating salmon juveniles or on coastal sea trout or Arctic char, with results made publicly available. See requirements in Appendix III-1,
- 4) estimated unexplained loss of farmed salmon is made publicly available,
- 5) presence of documents demonstrating that the farm has provided buyers of its salmon a list of all therapeutants used in production,
- 6) evidence that if the farm suspects an unidentifiable transmissible agent, or if the farm experiences unexplained increased mortality, the farm has:
  - a. Reported the issue to the ABM and to the appropriate regulatory authority,
  - b. Increased monitoring and surveillance on the farm and within the ABM,
  - c. Promptly made findings publicly available, and
- 7) If an OIE-notifiable disease is confirmed on the farm, evidence that:
  - a. the farm has, at a minimum, immediately culled the pen(s) in which the disease was detected,
  - b. the farm immediately notified the other farms in the ABM,
  - c. the farm and the ABM enhanced monitoring and conducted rigorous testing for the disease,
  - d. the farm promptly made findings publicly available.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.5.4, 3.1.4 - 3.1.6, 3.4.3, 5.2.11, 5.4.2 - 5.4.4, Appendix VI.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.5

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 03 03 PREVENTING HABITAT IMPACTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that ecologically relevant data that maybe useful to other stakeholders or policy makers to better manage shared resources are made public by the aquaculture facility.

*Rationale: Making monitoring records publicly available allows stakeholders to evaluate the environmental impacts of aquaculture facilities and to help ensure that establishments are in compliance with regulatory and any certification requirements. It also provides an incentive for aquaculture facilities to minimize their environmental impacts, and potentially fosters trust and a collaborative relationship between the facility and the local community and other stakeholders.*

## GUIDANCE

Ecologically relevant data is expected to include data that maybe useful to other stakeholders or policy makers to better manage shared resources; for example EIA, escapes, veterinary drug use, water or benthic quality data etc.

Aligned standards will also be considered in alignment with C.5.03.2

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) evidence that information about any lethal incidents on the farm has been made easily publicly available,
- 2) frequent on-farm testing for sea lice, with test results made easily publicly available within seven days of testing,
- 3) in areas of wild salmonids, monitoring of sea lice levels on wild out-migrating salmon juveniles or on coastal sea trout or Arctic char, with results made publicly available. See requirements in Appendix III-1,
- 4) estimated unexplained loss of farmed salmon is made publicly available,
- 5) presence of documents demonstrating that the farm has provided buyers of its salmon a list of all therapeutants used in production,
- 6) evidence that if the farm suspects an unidentifiable transmissible agent, or if the farm experiences unexplained increased mortality, the farm has:
  - a. reported the issue to the ABM and to the appropriate regulatory authority
  - b. increased monitoring and surveillance on the farm and within the ABM
  - c. promptly made findings publicly available, and
- 7) if an OIE-notifiable disease is confirmed on the farm, evidence that:
  - a. the farm has, at a minimum, immediately culled the pen(s) in which the disease was detected,
  - b. the farm immediately notified the other farms in the ABM
  - c. the farm and the ABM enhanced monitoring and conducted rigorous testing for the disease
  - d. the farm promptly made findings publicly available.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 2.5.5, 3.1.4, 3.1.5, 3.4.3, 5.2.11, 5.4.2, and 5.4.3, Appendix VI.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.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 loss) 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 ASC Salmon Standard is in alignment because the standard includes an indicator that requires no allowance for the farm to be sited in a protected area or High Conservation Value Areas (HCVAs).

The following exceptions shall be made for siting in a protected area:

- for protected areas classified by the International Union for the Conservation of Nature (IUCN) as Category V or VI (these are areas preserved primarily for their landscapes or for sustainable resource management).
- for HCVAs if the farm can demonstrate that its environmental impacts are compatible with the conservation objectives of the HCVA designation. The burden of proof would be placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been identified as a HCVA.
- for farms located in a protected area if it was designated as such after the farm was already in operation and provided the farm can demonstrate that its environmental impacts are compatible with the conservation objectives of the protected area and it is in compliance with any relevant conditions or regulations placed on the farm as a result of the formation/designation of the protected area. The burden of proof would be placed on the farm to demonstrate that it is not negatively impacting the core reason an area has been protected.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 2.4.2, Footnote 27.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.6

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SEED

## C.6 02 01 RECORD KEEPING

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that all intentionally stocked seed come from a source hatchery that has been independently-verified to be legally compliant and has an Aquatic Animal Health Management Plan (AAHMP) which is overseen by an aquatic animal health professional and is, at a minimum, consistent with the following *GSSI Essential Components*: C.1.01, C.1.02, C.1.06, C.1.08. Verification that an established, implemented and maintained appropriate system for recording the source, stocking and health status of broodstock (either by the hatchery or through a traceability system back to the broodstock facility).

*Rationale: Many hatchery practices stipulated by national and international law and CITES are essential for reducing the risk of adverse environmental impacts related to fish health, escapes, chemical use, feed, and water quality. Third-party verification of hatchery practices provides an additional layer of certainty that these practices are complied with. It is especially important given that enforcement by national authorities may not be sufficient and may not address relevant international laws and provisions of CITES. Record keeping is critical to verifying practices at the broodstock facility and for tracking the performance of the produced broodstock.*

## GUIDANCE

Legal alignment is expected to include applicable local/international/national laws/CITES laws and cover species introductions and transfers of live aquatic animals requirements (where relevant), including legal brood stock sourcing. Verification is expected to include a review of evidence of the independence and suitability of the hatchery source (e.g., audit report, certificate, benchmarking result). An appropriate records system is expected to include source of the seed, date of purchase, results of disease/health status tests, vaccination record of the seed, stocking density, and stocked brood stock batch identification. Verification that the system is operational and fit for purpose is expected.

Aligned standards will also be considered in alignment with C.6.04, while C.6.03 will not be applicable.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) compliance with local and national regulations on water use and discharge, specifically providing permits related to water quality,
- 2) compliance with labor laws and regulations,
- 3) evidence of a fish health management plan, approved by the designated veterinarian, for the identification and monitoring of fish diseases and parasites,
- 4) 100% of fish that are vaccinated for selected diseases that are known to present a significant risk in the region and for which an effective vaccine exists,
- 5) 100% of smolt groups tested for select diseases of regional concern prior to entering the grow-out phase on farm,
- 6) detailed information, provided by the designated veterinarian, of all chemicals and therapeutants used during the smolt production cycle, the amounts used (including grams per ton of fish produced), the dates used, which group of fish were treated and against which diseases, proof of proper dosing and all disease and pathogens detected on the site,
- 7) no allowance for use of therapeutic treatments that include antibiotics or chemicals that are banned in any of the primary salmon producing or importing countries, and
- 8) evidence of compliance with the OIE Aquatic Animal Health Code.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 8.1, 8.2, 8.11, 8.12, 8.13, 8.14, 8.15, 8.17, and 8.18.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.6

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SEED

## C.6 05 04 HATCHERY SEED

## GSSI SUPPLEMENTARY COMPONENT

The standard requires a legally binding, appropriately defined, and operational area management system is in place that ensures that all participant aquaculture facilities use appropriate common and, where applicable, coordinated practices for sourcing seed in order to maintain biosecurity within the AMS.

*Rationale: The risk of disease is amplified when aquaculture facilities are located in close proximity to each other, principally due to the potential for the water-borne transmission of disease between aquaculture facilities. The efforts of an aquaculture facility with robust fish health management practices can be for naught if disease breaks out at a neighboring, less vigilant farm. Requiring an aquaculture facility to belong to an AMS in which all farms source seed according to GSSI Essential Components helps reduce the disease risk for all aquaculture facilities in the area.*

## GUIDANCE

Not applicable where the aquaculture facility is physically or sufficiently isolated that disease transfer is highly unlikely.

An appropriately defined area is expected to have boundaries that are defined according to the ability to realistically manage aquatic disease risk within it.

Common practices for sourcing seed are expected to include (where applicable) GSSI-Essential Components C.6.03, C.6.04, C.6.05. Where appropriate, coordinate response actions could include harmonized stocking. Verification is expected to include a review evidence of the presence of the system and the common and coordinated practices applied (e.g., such as written records, meeting notes, contractual agreements and/or interviews).

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes an indicator that requires participation in an Area-Based Management (ABM) scheme for managing disease and resistance to treatments that includes coordination of stocking, fallowing, therapeutic treatments and information sharing. Detailed requirements are in Appendix II-1: Area-Based Management (ABM) Scheme. With specific reference to coordinated practices for sourcing seed, Appendix II-1 states that records must demonstrate that all stocked fish within the ABM are of the same year class and that stocking dates were coordinated with other farms.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicator 3.1.1, Appendix II-1.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

## C.7

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SPECIES SELECTION AND ESCAPES

## C.7 01 01 ESCAPES

## GSSI SUPPLEMENTARY COMPONENT

The standard excludes (or decertifies) aquaculture facilities from certification that have repeated escape events over a representative number of production cycles.

*Rationale: An aquaculture facility that has repeated escape events over a number of production cycles and/or a single significant escape event often indicates that the establishment has not taken sufficient precautionary measures to prevent escapes, such as proper siting, "robust" infrastructure materials and installation design, regular infrastructure inspections, and escape prevention planning and training. Not allowing such facility's to become certified provides an incentive for them to implement policies and procedures to reduce escapes.*

## GUIDANCE

Repeated escape events is expected to be considered in terms of the numbers of aquatic animals stocked and the length of the production cycle. Escapes due to factors outside of the aquaculture facility's control can be exempt. Examples of representative number of production cycles include 3 or more for production cycles less than 1.5 years, 2 for production cycles over 1.5 years, 1 for production cycles over 3 years.

Verification is expected to include a review of evidence, such as monitoring records, interviews with employees and the local community.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) a maximum number of escapees in the most recent production cycle of 300,
- 2) accuracy of the counting technology or counting method used for calculating stocking and harvest numbers of ? 98%, and
- 3) the CAB should raise a major non-conformity where minor non conformities are repeatedly raised against a particular requirement.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.4.1 and 3.4.2.
- 3) ASC Certification and Accreditation Requirements v2.1 - August 2017  
CAR 17.10.1.1 b
- 4) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)
- 5) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean-1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean-1.pdf)

## C.7

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SPECIES SELECTION AND ESCAPES

## C.7 01 02 ESCAPES

## GSSI SUPPLEMENTARY COMPONENT

Within detection limitations, the standard requires a stringent maximum cap on the total number of escaped fish that would lead to the loss of certification.

*Rationale: A certified aquaculture facility that has a significant number of escapes may indicate that the establishment's escape prevention measures are inadequate. Loss of certification when a specified number of escapes is exceeded provides a strong and clear incentive for facilities to develop and maintain robust escape prevention measures, and thereby reduce the number of escapes.*

## GUIDANCE

Escapes due to factors outside of the aquaculture facility's control can be exempt. Stringent escape limits are expected to be pragmatic and set to account for the detection limits of the counting system and relevant for the production system and species (e.g., if counting accuracy is +/- 3%, then a stringent limit could be interpreted as 4-6% of the stocked population). Verification is expected to include a review of evidence, such as monitoring records, interviews with employees and the local community.

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) a maximum number of escapees in the most recent production cycle of 300,
- 2) accuracy of the counting technology or counting method used for calculating stocking and harvest numbers of ? 98%, and
- 3) non-conformities leading to loss of certification are addressed in the ASC Certification and Accreditation Requirements.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017
- Indicators 3.4.1 and 3.4.2.
- 3) ASC Certification and Accreditation Requirements v2.1 - August 2017
- 4) CAR 17.10.1.1 b
- 5) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)
- 6) [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1\\_including-multi-site\\_clean-pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_clean-pdf)

## C.7

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SPECIES SELECTION AND ESCAPES

## C.7 03 01 EXOTIC SPECIES

## GSSI SUPPLEMENTARY COMPONENT

Where a non-established, non-native species has been shown to be or has potential to be a successful invasive species, the standard requires that they are controlled by strict effective escape impact prevention and mitigation measures.

*Rationale: The risk of adverse impacts from escapes (impacts from predation, competition, disease transmission, hybridization, and habitat damage) are generally greater when the escaped species are non-native and become established. Requiring strict escape prevention and mitigation measures for non-native species with the potential for establishment -- such as requiring sterile, polyploidy, or mono-sex seed polyploidy to help prevent establishment -- reduces the risk of such impacts.*

## GUIDANCE

Effective measures are expected to include sourcing only sterile, polyploidy, or mono-sex seed or physical isolation. Verification is expected to include a review of evidence of operational and fit for purpose measures (e.g., hatchery records, visual inspection (aquaculture facility and/or aquatic animal)).

## CONCLUSION

The ASC Salmon Standard is in alignment because the standard includes indicators that require:

- 1) if a non-native species is being produced, demonstration that the species was widely commercially produced in the area by the date of publication of the ASC Salmon Standard,
- 2) if a non-native species is being produced, evidence of scientific research completed within the past five years that investigates the risk of establishment of the species within the farm's jurisdiction and these results submitted to ASC for review. Requirement: Yes, by June 2017, and
- 3) exceptions shall be made for production systems that use 100 percent sterile fish or systems that demonstrate separation from the wild by effective physical barriers that are in place and well-maintained to ensure no escapes of reared specimens or biological material that might survive and subsequently reproduce.

## REFERENCES

- 1) ASC Salmon Standard v1.1 - April 2017
- 2) ASC Salmon Audit Manual v1.1 - April 2017  
Indicators 3.2.1 and 3.2.2, Footnote 48.
- 3) ASC Website on Salmon Std via [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard\\_v1.1.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Salmon-Standard_v1.1.pdf)

C.8

Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

IMPACTS ON WATER RESOURCES

C.8 03 01 WATER USE

GSSI SUPPLEMENTARY COMPONENT
<p>Where appropriate (e.g., land-based pond and flow-through systems, particularly in water resource limited region), the standard requires metric limits are placed on the fresh water consumption and prevention of aquifer drawdown.</p> <p><i>Rationale: Impactsonlocaland regional water resources resulting from fresh water consumption by an aquaculture facility are typically increased bythe cumulative consumption of multiple facilitieslocated within the samewatershed and/or drawingwater from the same aquifer.</i></p>
GUIDANCE
<p>Metric limits are expected to be defined (by the facility or by the standard) and intended to prevent aquifer drawdown and minimize negative impacts on freshwater resources and the surrounding environment. Verification that these limits are not exceeded by the aquaculture facility is expected.</p> <p>Aligned standards will also be considered in alignment with C.8.03</p>
CONCLUSION
<p>Not applicable.</p>
REFERENCES
<p>Not applicable.</p>

## C.8

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON WATER RESOURCES

## C.8 03 02 WATER USE

## GSSI SUPPLEMENTARY COMPONENT

The standard requires a legally binding, appropriately defined, and operational area management system is in place that ensures that all participant aquaculture facilities adapt their practices using a planned approach to limit cumulative freshwater abstraction.

*Rationale: Impacts on local and regional water resources resulting from fresh water consumption by an aquaculture facility are typically increased by the cumulative consumption of multiple facilities located within the same watershed and/or drawing water from the same aquifer. Implementing a total water consumption limit for an AMS provides a direct and relatively certain means to reduce the risk of such impacts.*

## GUIDANCE

Not applicable where the aquaculture facility is physically or sufficiently isolated that disease transfer is highly unlikely.

Practices could include setting water abstraction limits for each aquaculture facility based on an assessment of regional abstraction capacity and/or requiring common practices that limit abstraction (e.g., requiring pond linings). Requirements are expected to be enforced through an agreement with the regulator or legally binding agreement of the producers in the area (e.g., an MOU or similar document).

An appropriately defined area is expected to have boundaries that are defined according to the ability to realistically manage aquatic disease risk within it.

Verification is expected to include a review of evidence, such as regional water resources monitoring data and local planning and licensing policies. Please also review guidance for the Essential Components on Water Use.

Aligned standards will also be considered in alignment with C.8.03 and C.8.03.1

## CONCLUSION

Not applicable.

## REFERENCES

Not applicable.



EVIDENCE OF ALIGNMENT  
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**  
FOR AQUACULTURE CERTIFICATION STANDARDS  
**SHRIMP**

## C.I

*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 ASC Shrimp Standard is in alignment because the standard includes narrative guidance on the use of antibiotics that states: "In the event that veterinary medicines and chemicals are used, they must be based on a diagnostic test, and all labeled instructions must be precisely followed. The specialist shall also indicate how to apply, handle and store veterinary medicines and chemicals."

Furthermore, the ASC Interpretations Platform includes the following statement:

"The decision to treat with antimicrobials is made and prescribed by a veterinarian or aquatic animal health professional only after diagnosis in any ASC certified shrimp farms."

**REFERENCES**

- 1) ASC Interpretations Platform
- 2) Q&A82\_Shrimp\_v.1.1\_antimicrobial
- 3) ASC Website via [http://variance-requests.asc-aqua.org/questions/qa82\\_shrimp\\_v-1-1/](http://variance-requests.asc-aqua.org/questions/qa82_shrimp_v-1-1/)

## C.I

## 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 ASC Shrimp Standard is in alignment because the ASC Interpretations Platform states that:

"The application of antimicrobial agents made according to the guidelines outlined in Principles for Responsible and Prudent Use of Antimicrobial Agents in Aquatic Animals of the OIE Aquatic Animal Health Code in any ASC certified shrimp farms. Prescription records should contain at least the applied product / active ingredient, dosage, the treatment date(s), the duration of the treatment, the withdrawal period. This information is part of the operational health plan requested by ASC shrimp standard v1.0 (5.1.1), when antimicrobials are used in the farm."

##### REFERENCES

- 1) ASC Interpretations Platform
- 2) Q&A82\_Shrimp\_v.1.1\_antimicrobial
- 3) [http://variance-requests.asc-aqua.org/questions/qa82\\_shrimp\\_v-1-1/](http://variance-requests.asc-aqua.org/questions/qa82_shrimp_v-1-1/)

## C.I

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) The farm will need to develop and maintain an operational health plan addressing: 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control) 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management) 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals., and 5.3 "Disease management and treatment" ([http://www.oie.int/index.php?id=171&L=0&htmlfile=chapitre\\_antibio\\_resp\\_prudent\\_use.htm](http://www.oie.int/index.php?id=171&L=0&htmlfile=chapitre_antibio_resp_prudent_use.htm))
- 2) Proper use of chemical products by farmworkers.- Evidences of worker awareness / training and instructions are available (5.3.4)
- 3) During a non-site audit an auditor will verify if the most recent version of the WHO list of critically and highly important anti-microbial
  - a Develop Standard Operating Procedures for the use of veterinary medicines, chemicals and biological products (5.3.4.a).
  - b.Ensure that employees are familiar with the SOP (5.3.4.b).

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 5.1.1, 5.3.4a and 5.3.4b
- 2) ASC shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 5.1.1, 5.3.4a and 5.3.4b ).

## C.I

*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 ASC Shrimp Standard is in alignment because the standard includes a Criterion (5.1) for disease prevention. This criterion includes an indicator (5.1.1) that requires the development and maintenance of an operational health plan. The narrative guidance forth is criterion includes consideration of maintenance of suitable growing conditions in the following statement: "At the farm level, biosecurity measures include... taking action to reduce the stress levels of the farm animals (e.g., good pond condition and adequate feed)."

The standard also includes an indicator (5.1.3) that specifies a survival rate as a function of shrimp production intensity. These survival rates are a performance-based indicator of successful disease prevention; including that the species is being farmed in the proper environment to maintain its health, including water quality maintenance and feeding to meet the nutritional requirements of the shrimp crop

#### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Criterion 5.1, Indicators 5.1.1 and 5.1.3  
Narrative guidance, page 72.
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Criterion 5.1, Indicators 5.1.1 and 5.1.3  
Narrative guidance, page 72

## C.I

*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 ASC Shrimp Standard is in alignment because the standard includes an indicator(5.1.1) that requires an operational health management plan that includes responses to disease outbreaks. The Instruction to Auditors states that "The auditor needs to be assured that the farm is not contaminating or spreading disease to the surrounding environment, has enacted good prevention measures adapted to the localized risks and has mechanisms to prevent the spread of infections from one pond to another." The ASC Interpretation Platform includes the statement "The health management plan ... includes an appropriate procedure to prevent and respond to disease outbreaks, which includes informing veterinarian, inform neighboring producers, aquaculture authorities, the Certification Body and the ability to quarantine the aquatic animal where feasible or even shutdown the operation if it is needed."

#### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicator 5.1.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicator 5.1.1
- 3) ASC Interpretations Platform  
Q&A84\_Shrimp\_v.1.1\_disease management  
[http://variance-requests.asc-aqua.org/questions/qa84\\_shrimp\\_v-1-1/](http://variance-requests.asc-aqua.org/questions/qa84_shrimp_v-1-1/)

## C.I

## 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 expeditiously, 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require disease surveillance.

- 1) The farm will need to develop and maintain an operational health plan addressing: 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control) 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management) 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals. The shrimp Industry does not practice quarantine periods for animals. (5.1.1)
  - 2) Auditor will need to verify whether the percent of stocked post larvae (PLs) that are Specific Pathogen Free (SPF) or Specific Pathogen Resistant (SPR) for all important pathogens. clean, unless there is clear, scientifically based evidence that the country is free of that disease, or that the species reared by the farmer is not sensitive to that particular disease = 100% if commercially available, i.e., if for any given species, at least 20% of the PLs stocked in the country are from SPF or SPR stocks, then the supply is deemed commercially available. If not commercially available, PLs screened for all important pathogens can be used. (5.1.4)
  - 3) PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES) = Documentation provided demonstrating compliance within two years of ASC Shrimp Standard publication date for wild monodon broodstock sourced locally; applicable immediately in all other cases. (6.2.1)
- Rationale: Disease problems within the shrimp aquaculture industry have been catastrophic in the past, resulting primarily from poor biosecurity and the transboundary movements of non-indigenous species in particular. The movement of shrimp across borders brought new threats of disease transmission and reduced biodiversity to shrimp farming areas around the globe. The ASC Shrimp Standard mandates compliance with international importation guidelines for the prevention of disease and the use of SPF and PL (see Principle 5). The wild collection of PL added to the disease problems that the shrimp aquaculture industry experienced in addition to causing high by-catch of untargeted marine species and impacts to the health of wild shrimp populations.

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
 Indicators 5.1.1, 5.1.4 and 6.2.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
 Indicators 5.1.1, 5.1.4 and 6.2.1

C.I

Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification

AQUATIC ANIMAL HEALTH MANAGEMENT

C.1 07 BIOSECURITY

GSSI ESSENTIAL COMPONENT
<p>The standard requires that mortalities and moribund aquatic animals are routinely collected, where collection is a feasible practice.</p>
GUIDANCE
<p>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.</p>
CONCLUSION
<p>Component is not applicable. Collection of moribund or dead shrimp is not practical or feasible given their small size and greater stocking density relative to fish and mortality collection not standard practice in shrimp farming.</p>
REFERENCES
<p>Not applicable.</p>

## C.I

## 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



##### CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that require that:

- 1) The farm will need to develop and maintain an operational health plan addressing: 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control) 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management) 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals. Shrimp Industry does not practice quarantine periods for animals. (5.1.1)
- 2) Auditor will need to verify whether the percent of stocked post larvae (PLs) that are Specific Pathogen Free (SPF) or Specific Pathogen Resistant (SPR) for all important pathogens. Clean, unless there is clear, scientifically based evidence that the country is free of that disease, or that the species reared by the farmer is not sensitive to that particular disease" = 100% if commercially available, i.e., if for any given species, at least 20% of the PLs stocked in the country are from SPF or SPR stocks, then the supply is deemed commercially available. If not commercially available, PLs screened for all important pathogens can be used. (5.1.4)
- 3) PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES) = Documentation provided demonstrating compliance within two years of ASC Shrimp Standard publication date for wild monodon broodstock sourced locally; applicable immediately in all other cases. (6.2.1) The ASC Shrimp Standard mandates compliance with international importation guidelines for the prevention of disease and the use of SPF and PL (see Principle 5).

The standard includes narrative guidance that states:

"In the event that veterinary medicines and chemicals are used, they must be based on a diagnostic test, and all labeled instructions must be precisely followed. The specialist shall also indicate how to apply, handle and store veterinary medicines and chemicals."

Furthermore, the ASC Interpretations Platform includes the following statement:

"The decision to treat with antimicrobials is made and prescribed by a veterinarian or aquatic animal health professional only after diagnosis in any ASC certified shrimp farms."

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
 Indicators 5.1.1, 5.1.4 and 6.2.1  
 Narrative guidance, page 77.
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
 Indicators 5.1.1, 5.1.4 and 6.2.1
- 3) ASC Interpretations Platform  
 Q&A81\_Shrimp\_v.1.1\_treatment with antimicrobials  
[http://variance-requests.asc-aqua.org/questions/qa81\\_shrimp\\_v-1-1/](http://variance-requests.asc-aqua.org/questions/qa81_shrimp_v-1-1/)

## C.I

*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](http://www.oie.int/index.php?id=171&L=0&htmfile=chapitre_aquatic_animal_waste.htm)).

#### CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator (7.7.2) that requires responsible handling and disposal of wastes based on risk assessment and possibilities of recycling.

#### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 7.7.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 7.7.2

## C.I

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) the farm will need to develop and maintain an operational health plan addressing:
  - 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control)
  - 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management)
  - 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals. Shrimp Industry does not practice quarantine periods for animals. (5.1.1)
- 2) Auditor will need to verify whether the percent of stocked post larvae (PLs) that are Specific Pathogen Free (SPF)<sup>88</sup> or Specific Pathogen Resistant (SPR)<sup>89</sup> for all important pathogens<sup>90</sup> is clean, unless there is clear, scientifically based evidence that the country is free of that disease, or that the species reared by the farmer is not sensitive to that particular disease" = 100% if commercially available, i.e., if for any given species, at least 20% of the PLs stocked in the country are from SPF or SPR stocks, then the supply is deemed commercially available. If not commercially available, PLs screened for all important pathogens can be used. (5.1.4)
- 3) PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES) = Documentation provided demonstrating compliance within two years of ASC Shrimp Standard publication date for wild monodon broodstock sourced locally; applicable immediately in all other cases. (6.2.1) Rationale: Disease problems within the shrimp aquaculture industry have been catastrophic in the past, resulting primarily from poor biosecurity and the transboundary movements of non-indigenous species in particular.

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.1.1, 5.1.4, 6.2.1 and 7.7.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 5.1.1, 5.1.4, 6.2.1 and 7.7.2

## C.I

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) On-farm documentation that includes: at a minimum, detailed information on all chemicals and therapeutics used during the production cycle. Information on chemical storage and usage = Records of stocks and usage are available for all products. (5.3.3)
- 2) Allowance for the use of antibiotics categorized as critically important by the World Health Organization<sup>97</sup> (WHO), even if authorized by the pertinent national authorities = None (5.3.2).

The standard includes implementation guidance on Use of Antibiotics that states: In the event that veterinary medicines and chemicals are used, they must be based on a diagnostic test, and all labeled instructions must be precisely followed. The specialist shall also indicate how to apply, handle and store veterinary medicines and chemicals.

Footnote 99 states that "All veterinary medicines and chemicals must be approved for aquaculture by national authorities and by FDA list of drugs approved for aquaculture. and by the Council regulation EEC n°2377/90 Annex 1 and not listed on Annex 4. Footnote 99 also calls for respect of the withdrawal period or apply a period of 750 degree-days for those without documented withdrawal period times."

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.3.3 and 5.3.2  
 Implementation guidance narrative, page 77  
 Footnote 99
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 5.3.3 and 5.3.2

## 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](http://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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) on-farm documentation that includes, at a minimum, detailed information on all chemicals and therapeutics used during the production cycle. Information on chemical storage and usage = Records of stocks and usage are available for all products. (5.3.3)
- 2) Allowance for the use of antibiotics categorized as critically important by the World Health Organization (WHO), even if authorized by the pertinent national authorities = None (5.3.2)

- 5) Proper use of chemical products by farmworkers = Evidence of worker awareness/ training and instructions are available. (5.3.4)

The standard includes implementation guidance on Use of Antibiotics that states: In the event that veterinary medicines and chemicals are used, they must be based on a diagnostic test, and all labeled instructions must be precisely followed. The specialist shall also indicate how to apply, handle and store veterinary medicines and chemicals.

Footnote 99 states that "All veterinary medicines and chemicals must be approved for aquaculture by national authorities and by FDA list of drugs approved for aquaculture. and by the Council regulation EEC n°2377/90 Annex 1 and not listed on Annex 4. Footnote 99 also calls for respect of the withdrawal period or apply a period of 750 degree-days for those without documented withdrawal period times."

**REFERENCES**

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.3.3, 5.3.2 and 5.3.4  
Implementation guidance narrative, page 77  
Footnote 99
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 5.3.3, 5.3.2 and 5.3.4

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) on-farm documentation that includes, at a minimum, detailed information on all chemicals and therapeutants used during the production cycle. Information on chemical storage and usage = Records of stocks and usage are available for all products. (5.3.3)
- 2) Allowance for the use of antibiotics categorized as critically important by the World Health Organization 97 (WHO), even if authorized by the pertinent national authorities = None (5.3.2)
- 3) Proper use of chemical products by farm workers = Evidences of worker awareness / training and instructions are available. (5.3.4)

The standard includes implementation guidance on Use of Antibiotics that states: "In the event that veterinary medicines and chemicals are used, they must be based on a diagnostic test, and all labeled instructions must be precisely followed. The specialist shall also indicate how to apply, handle and store veterinary medicines and chemicals."

Footnote 99 states that: "All veterinary medicines and chemicals must be approved for aquaculture by national authorities and by FDA list of drugs approved for aquaculture. and by the Council regulation EEC n°2377/90 Annex 1 and not listed on Annex 4. Footnote 99 also calls for respect of the withdrawal period or apply a period of 750 degree-days for those without documented withdrawal period times."

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.3.3, 5.3.2 and 5.3.4  
 Implementation guidance narrative, page 77
- 2) Footnote 99 ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
 Indicators 5.3.3, 5.3.2 and 5.3.4

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Compliance with local and national laws or regulations = Proof of permits or other relevant documentation available for applicable. (1.1.1)
- 2) Transparency on legal compliance = Government-issued operational permits and licenses are publicly available one month after request (1.1.2)

Footnote 99 states that: "All veterinary medicines and chemicals must be approved for aquaculture by national authorities and by FDA list of drugs approved for aquaculture, and by the Council regulation EEC n°2377/90 Annex 1 and not listed on Annex 4. Footnote 99 also calls for respect of the withdrawal period or apply a period of 750 degree-days for those without documented withdrawal period times."

Guidance for implementation for Indicator 5.3.2 requires that copies of the national regulations must be available for the auditor upon request. Farmers must be able to demonstrate a working knowledge of banned WHO antibiotics and show that they are not using them.

Guidance for implementation for Indicator 5.3.5 requires that producers know the lists of banned or restricted pesticides.

**REFERENCES**

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_change](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_change) Indicators 1.1.1, 1.1.2, 5.3.2 and 5.3.5  
 Footnote 99  
 Guidance for implementation- 5.3.2 and 5.3.5
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
 Indicators 1.1.1, 1.1.2, 5.3.2 and 5.3.5

## 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](http://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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) appropriate controls are in place that maintains good culture and hygienic conditions on the farm which extends to all chemicals, including veterinary drugs, thereby ensuring that adverse impacts on environmental quality are minimized. Information on chemical storage and usage. Records of stocks and usage are available for all products. (5.3.3)
- 2) Responsible handling and disposal of wastes based on risk assessment and possibilities of recycling. Wastes must be managed in compliance with local regulations when they exist. In all cases, wastes must be managed in a way that is safe for human health and the surrounding environment (especially natural waters), in the best possible way depending on local facilities. When appropriate facilities for waste disposal are absent in the area, shrimp farms are allowed to bury non-hazardous solid wastes on site, provided all precautions have been taken to prevent the contamination of surrounding surface and groundwaters. Non-organic wastes must not be burned on site due to their potential emissions of toxic gases. Accredited waste management companies must be used where available. However, the ASC Shrimp Standard appreciates that shrimp farms are generally located in areas where accredited waste management companies are not necessarily established or accessible. Farmers must demonstrate the use of the most responsible disposal solutions based on what is locally available. Where hazardous biological wastes exist, including shrimp off land mortalities, they must be managed according to a plan based on potential risks and national and/or international guidelines, when they exist, and solutions must be identified for the disposal of hazardous non-biological wastes, including used lubricants and chemical containers.

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.3.3 and 7.7.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
<https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimppor 7. Indicators 5.3.3 and 7.7.2>

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) appropriate controls are in place that maintains good culture and hygienic conditions on the farm which extends to all chemicals, including veterinary drugs, thereby ensuring that adverse impacts on environmental quality are minimized, and (2.2.1 and 2.2.2 + rationale)
- 2) Responsible handling and disposal of wastes based on risk assessment and possibilities of recycling. Wastes must be managed in compliance with local regulations when they exist. In all cases, wastes must be managed in a way that is safe for human health and the surrounding environment (especially natural waters), in the best possible way depending on local facilities. When appropriate facilities for waste disposal are absent in the area, shrimp farms are allowed to bury non-hazardous solid wastes on site, provided all precautions have been taken to prevent the contamination of surrounding surface and groundwaters. Non-organic wastes must not be burned on site due to their potential emissions of toxic gases. Accredited waste management companies must be used where available. However, the ASC Shrimp Standard appreciates that shrimp farms are generally located in areas where accredited waste management companies are not necessarily established or accessible. Farmers must demonstrate the use of the most responsible disposal solutions based on what is locally available. Where hazardous biological wastes exist, including shrimp off a land mortalities, they must be managed according to a plan based on potential risks and national and/or international guidelines, when they exist, and solutions must be identified for the disposal of hazardous non-biological wastes, including used lubricants and chemical containers. Recyclable wastes need to be identified and separated at the point of generation. Some wastes (e.g., feedbags and plastic containers) can be reused, and their return to suppliers shall be encouraged. When selling recyclable wastes to a local collector, the final destination of wastes shall be specified. The income generated by the sales of recyclable wastes should be used for providing incentives to employees for separating wastes and increasing the amount of recycling done on the farm. (7.7.2 Guidance for implementation)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 2.2.1, 2.2.2, 7.7.2 and 7.5.3
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 2.2.1, 2.2.2, 7.7.2 and 7.5.3

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) A document from the feed supplier (on company letterhead) must be provided to the auditor that lists the ingredients above 2%, states personal accountability for the veracity of the claim by the top QA/management staff, and gives permission for the relevant content of auditor reports to be disclosed to purchasing retailers. Initially, the farmer is required to provide all the information that he or she has available to help clarify where improvement is required. (7.1.1)
- 2) Requires the demonstration of chain of custody and traceability for fisheries products in feed through an ISEAL-accredited or International Organization for Standardization (ISO) 12065-compliant certification scheme that also incorporates the FAO Code of Conduct for Responsible Fisheries. (7.1.2)
- 3) ISEAL is a global association for social and environmental standards systems. More information can be found at <http://www.isealalliance.org>. ASC Shrimp Standard strives to meet the ISEAL guidelines for standard setting. Fisheries ingredients must be certified by a process that conforms to the ISEAL guidelines within five years of the publication date of the ASC Shrimp Standard. The farm's feed manufacturer may use the "mass balance approach" to demonstrate that it purchased the appropriate amount and kind of "certified" ingredients to supply feed to all of its customers making a similar request. These ingredients would get mixed into the general silos and production lines of the manufacturer, greatly reducing costs associated with special storage capacity and production lines. This could be done instead of requiring documentation for a single batch per farm. Fishmeal and fish oil used in shrimp feed (including those made from fisheries by-products) must not contain products from a) target fisheries that are on CITES Appendix I, on the IUCN's Red List in categories: Near Threatened, Vulnerable, Endangered and Critically Endangered, b) a target fishery that has by-catch with significant impact on species listed on CITES Appendix I, on the IUCN's Red Listed species (categories as above), upon landing, on an annual basis or c) by-catch with significant impact on CITES/IUCN listed species. (Guidance for implementation 7.2.1a)
- 4) In the interim period prior to 7.2.1a being achievable, a farm may opt to use a feed containing 80% by volume fishmeal and fish oil bearing a score of 8 on FishSource scoring category 4, and 6 or higher in all other categories. Additional requirements include no "N/A" in Score 2 (whether managers follow scientific advice) and Score 4 (stock assessment) along with "N/A" in no more than one other score.
- 5) ASC recognizes the challenges that this may create for Southeast Asian farmers whose fisheries may not have a FishSource score. The Sustainable Fisheries Partnership is working on populating FishSource with regional fisheries in Asia as soon as possible to accommodate this demand.

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 7.1.1, 7.1.2, 7.2.1a, b and c
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.1.1, 7.1.2, 7.2.1a, b and c

## 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](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information.

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator that requires that:

- 1) Fishmeal and fish oil used in shrimp feed (including those made from fisheries by-products) must not contain products from
  - a) target fisheries that are on CITES Appendix I, on the IUCN's Red List in categories: Near Threatened, Vulnerable, Endangered and Critically Endangered, b) a target fishery that has by-catch with significant impact on species listed on CITES Appendix I, on the IUCN's Red Listed species (categories as above), upon landing, on an annual basis or c) by-catch with significant impact on CITES/IUCN listed species. (7.2.1a)
- 2) Fishery status information may be accessed through FishSource= a. 8, and b. 6 or compliance with alternative interim proposal 7.2.1c. [www.fishsource.org/indices\\_overview.pdf](http://www.fishsource.org/indices_overview.pdf)) and the IFFO Responsible Fisheries (7.2.1.b)
- 3) Lacking a FishSource assessment a fishery could be engaged in an Improvers Program. (transparent and public Fisheries Improvement Project (FIP) with periodic public reporting (refer to Appendix VII). (7.2.1.c)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 7.2.1a, b and c
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.2.1a, b and c

## 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 ASC Shrimp Standard is in alignment because the standard includes an indicator (7.2.1) that requires fishmeal and fish oil used in feed to come from fisheries certified by a full ISEAL member that has guidelines specifically promoting ecological sustainability of forage fisheries. The standard also includes an indicator (7.1.2) that requires demonstration of chain of custody and traceability for fisheries products in feed through an ISEAL member or ISO 65 compliant certification scheme that also incorporates the FAO Code of Conduct for Responsible Fisheries. The ASC Interpretations Platform includes the following statement: "The UoC shall provide evidence that feed is free from IUU fishmeal/fish oil. Evidence of compliance can be provided via the feed manufacturer or via a third-party certificate (i.e. IFFO RS) or the fishmeal and fish oil shall not originate from Illegal, unregulated and unreported (IUU) fisheries."

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 7.2.1 and 7.1.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.2.1 and 7.1.2
- 3) ASC Interpretations Platform  
 Q&A 85 Shrimp\_V1.1\_fishmeal and fish oil from illegal, unreported, and unregulated fishing  
[http://variance-requests.asc-aqua.org/questions/qa\\_85\\_shrimp\\_v1-1\\_fishmeal-and-fish-oil-from-illegal-unreported-and-unregulated-fishing/](http://variance-requests.asc-aqua.org/questions/qa_85_shrimp_v1-1_fishmeal-and-fish-oil-from-illegal-unreported-and-unregulated-fishing/)

## 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



## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator that requires 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.

- 1) 7.1.1: A document from the feed supplier (on company letterhead) must be provided to the auditor that lists the ingredients above 2%, states personal accountability for the veracity of the claim by the top QA/management staff, and gives permission for the relevant content of auditor reports to be disclosed to purchasing retailers. Initially, the farmer is required to provide all the information that he or she has available to help clarify where improvement is required.
- 2) 7.1.2: Requires the demonstration of chain of custody and traceability for fisheries products in feed through an ISEAL-accredited or International Organization for Standardization (ISO)120 65-compliant certification scheme that also incorporates the FAO Code of Conduct for Responsible Fisheries.
- 3) 7.2.1a: ISEAL is a global association for social and environmental standards systems. More information can be found at <http://www.isealliance.org>. ASC Shrimp Standard strives to meet the ISEAL guidelines for standard setting. Fisheries ingredients must be certified by a process that conforms to the ISEAL guidelines within five years of the publication date of the ASC Shrimp Standard. The farm's feed manufacturer may use the "mass balance approach" to demonstrate that it purchased the appropriate amount and kind of "certified" ingredients to supply feed to all of its customers making a similar request. These ingredients would get mixed into the general silos and production lines of the manufacturer, greatly reducing costs associated with special storage capacity and production lines. This could be done instead of requiring documentation for a single batch per farm. Fishmeal and fish oil used in shrimp feed (including those made from fisheries by-products) must not contain products from a) target fisheries that are on CITES Appendix I, on the IUCN's Red List in categories: Near Threatened, Vulnerable, Endangered and Critically Endangered, b) a target fishery that has bycatch with significant impact on species listed on CITES Appendix I, on the IUCN's Red Listed species (categories as above), upon landing, on an annual basis or c) bycatch with significant impact on CITES/IUCN listed species.
- 4) 7.2.1b: Fishery status information may be accessed through FishSource [www.fishsource.org/indices\\_overview.pdf](http://www.fishsource.org/indices_overview.pdf) and the IFFO Responsible Fisheries (<http://www.iffonet.net/iffonet-rs>)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 7.1.1, 7.1.2, 7.2.1a, b and c
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.1.1, 7.1.2, 7.2.1a, b and c

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
Not applicable. The practice of feeding shrimp with whole fish as a direct feed source is not used in commercial shrimp farming. Thus, there is no prohibition in the ASC Shrimp Standard for a practice that is not used in shrimp farming.
REFERENCES
Not Applicable.

## 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 ASC Shrimp Standard is in alignment because the ASC Interpretations Platform includes the following statement: "ASC clarifies that fishmeal used by feed manufacture is not obtained from the same species and genus. Feed specifications and records shall be in place to demonstrate source from different species. Currently Shrimp feed producer's countries follow local legislations (e.g; Vietnam, Ecuador and Peru) that prohibit the use of feed protein sources from the same species or same genus as the cultured fish."

**REFERENCES**

- 1) ASC Interpretations Platform  
Q&A\_86\_Shrimp\_V1.1\_feed protein from the same species and genus  
[http://variance-requests.asc-aqua.org/questions/qa\\_86\\_feed-protein-from-the-same-species-and-genus/](http://variance-requests.asc-aqua.org/questions/qa_86_feed-protein-from-the-same-species-and-genus/)

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) A Fishmeal Forage Fish Dependency Ratio (FFDR<sub>m</sub>) for grow-out of < 1.35 for *P. vannamei* and < 1.9 for *P. monodon* (7.4.1) and
- 2) The fishmeal is the determining factor for the FFER, as fish oil use in shrimp feed is very low. Asking farmers to achieve threshold eFCRs would align incentives around the following: accurate tracking of shrimp weight/biomass, good feed management to keep feed fresh and assure no waste prior to use, careful tracking of parameters to optimize feed uptake by shrimp presentation, frequency of offering, correct pellet size, time of feeding, etc.), and adjusting feeding rations based on feeding activity (7.4.2a).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 7.4.1 and 7.4.2a
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.4.1 and 7.4.2a

## 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 ASC Shrimp Standard is in alignment because the standard requires compliance with all applicable national law and regulations (Principle 1).

- 1) Compliance with local and national laws or regulations= Proofs of permits or other relevant documentation available for applicable (1.1.1)
- 2) Transparency on legal compliance = Government-issued operational permits and licenses are publicly available one month after request (1.1.2).

In addition, the ASC Responsible Feed Standard requires full compliance with all relevant local, regional and national laws regarding operation of the feed mill including possession of necessary legal permits.(ASC feed standard 1.1.2)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 1.1.1 and 1.1.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 1.1.1 and 1.1.2
- 3) ASC Responsible Feed Standard v0.2, [https://www.asc-aqua.org/wp-content/uploads/2017/06/ASC-Responsible-Feed-Standard\\_v0.2.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/06/ASC-Responsible-Feed-Standard_v0.2.pdf) Indicator 1.1.2

## 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 ASC Shrimp Standard is in alignment because the standard includes an indicator that requires the aquaculture facility sources feed from a manufacturer that assures the fish meal and fish oil used in the production of from aquaculture trimmings (if greater than 1% inclusion) can also be traceable back to the origin fishery and does not come from illegal, unreported, and unregulated fishing (I.U.U.) and does not contain species on the IUCN red list.

- 1) Fishmeal Forage Fish Dependency Ratio (FFDR<sub>m</sub>) for grow-out. Requirement: < 1.35 P. vannamei / < 1.9 P monodom (7.4.1).
- 2) The fish meal is the determining factor for the FFER, as fish oil use in shrimp feed is very low. Asking farmers to achieve threshold eFCRs would align incentives around the following: accurate tracking of shrimp weight/biomass, good feed management to keep feed fresh and assure no waste prior to use, careful tracking of parameters to optimize feed uptake by shrimp presentation, frequency of offering, correct pellet size, time of feeding, etc.), and adjusting feeding rations based on feeding activity (7.4.2.a).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 7.4.1 and 7.4.2a
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.4.1 and 7.4.2a

## 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**

Not applicable. The ASC Shrimp standard was established to certify land-based shrimp production operations. Shrimp are not farmed commercially in marine cage production systems.

**REFERENCES**

Not applicable.

## 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](http://www.iucnredlist.org) and [www.cites.org](http://www.cites.org) for more information.

##### RELATED SUPPLEMENTARY COMPONENTS

C.5 02 01 C.5 02 02

##### CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator (5.2.1) with no allowance for intentional lethal predator control of any protected, threatened or endangered species as defined by the International Union for Conservation of Nature (IUCN) Red List, national listing processes, or other official lists.

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 5.2.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 5.2.1

## 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 ASC Shrimp Standard is in alignment because the standard includes principles and indicators that require:

- 1) Compliance with all applicable national laws and regulations (Principle 1),
- 2) Site farms in Environmentally suitable locations while conserving biodiversity and important natural Ecosystems (Principle
- 3) Evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I, (Appendix I) and
- 4) review of habitat and biodiversity laws is done under "Allowance for the farm to be sited in a protected area or High Conservation Value Areas (HCVAs). Potential/actual impacts on protected areas and areas supporting protected or Red List species. Impacts on other areas that are not protected but are important for biodiversity and biodiversity services, including extractive reserves, indigenous people's territories, wetlands, fish breeding grounds, soils prone to erosion, (BEIA - page 106 - 5th ) paragraph

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_layout_changes.pdf) Indicators 1.1.1, 1.1.2  
 Criteria 2.1, 2.2, 2.3, 2.4 and 2.5  
 Appendix I - BEIA
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 1.1.1, 1.1.2  
 Criteria 2.1, 2.2, 2.3, 2.4 and 2.5

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) evidence of an assessment of the farm's potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I, and
- 2) Appendix I, Biodiversity Focused impact assessment (under point 4) reads the exact same indicator as provided by GSSI: "Where damage of sensitive habitats has been caused by the farm(as defined in the impact assessment) 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."
- 3) Mitigation and offsetting – The BEIA must define appropriate mitigation and offsetting requirements given previous impacts.
  - Remedial action can take several forms, including avoidance or prevention, mitigation and compensation or offsetting (e.g., restoration and rehabilitation of sites). Apply the “positive planning approach,” where avoidance has priority and compensation is used as a last resort measure. Avoid “excuse”-type compensation. Acknowledge that compensation will not always be possible and there will still be cases where it is appropriate to say “no” to new farms or expansion of existing farms on the grounds of irreversible damage to biodiversity. (last paragraph page 108)

##### REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Criteria 2.1, 2.2, 2.3, 2.4 and 2.5  
 Appendix I  
 Mitigation and offsetting, page 108

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES) (6.2.1).
- 2) Compliance with local and national laws or regulations (1.1.1).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 6.2.1 and 1.1.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 6.2.1 and 1.1.1

## 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 ASC Shrimp Standard is in alignment because the standard includes an indicator (5.1.3) that requires calculation of survival rate from stocking to harvest. To obtain an accurate estimation of survival rate, records on seed stocking in individual ponds is needed. The standard includes indicators that require documentation of disease-free status and compliance with regional, national and international importation guidelines (6.2.1) and seed production in a hatchery (6.2.2).

The ASC Interpretations Platform includes the following statement:

"The UoC shall provide evidence that traceability per pond or batch from stocking to harvest (see % pond survival rate) is recorded for calculation of the survival rate (SR) Indicator 5.1.3 – Survival Rate (SR)

Step 1 – Individual Pond Survival Rate Calculation The estimated number of shrimp harvested is calculated by dividing the harvested biomass by the harvest average body weight and SR can be estimated for each pond using the following formula:  

$$\% \text{ Pond Survival Rate} = [(\text{Harvested Biomass} / \text{Average Body Weight}) / \text{Stocked PL Count}]$$

Farmers are responsible for all counts, including the stocked PL count and hatchery counts. The stocked PL count needs to be taken when PLs are transferred from the hatchery to the farm, whether they are stocked directly in grow-out ponds or in some intermediate, nursery raceway or pond.

Step 2 – The Annual Average Survival Rate is the weighted average value for all ponds harvested during the last 12 months and is calculated as follows:

$$\text{SR in \%} = ((\% \text{ Pond1 Survival Rate} \times \text{number to postlarvae stocked in pond 1}) + (\% \text{ Pond2 Survival Rate} \times \text{number to postlarvae stocked in pond 2}) + \dots + (\% \text{ Pond n Survival Rate} \times \text{number to postlarvae stocked in pond n})) / \text{Total number of postlarvae stocked in all ponds.}$$

A counting system will be important for the ASC Shrimp Standard to describe a method of counting PLs so that the SR measure is meaningful. All individual pond survival rates of 95% and above are assumed to result from an underestimation of postlarvae number and as a consequence cannot be included in the calculation of the annual average survival.

In addition, and by default, as part of the survival rate calculation, All PLs used at the farm shall have records of origin, date of purchase, stocking density, and stocked at the grow-out PLs batch or ID of each production unit and/or pond."

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.1.3, 6.2.1 and 6.2.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 5.1.3, 6.2.1 and 6.2.2
- 3) ASC Interpretations Platform  
 Q&A 87\_Shrimp\_V1.1\_appropriate record keeping system  
[http://variance-requests.asc-aqua.org/questions/qa\\_87\\_appropriate-record-keeping-system/](http://variance-requests.asc-aqua.org/questions/qa_87_appropriate-record-keeping-system/)

## 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 increase (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 ASC Shrimp Standard is in alignment because the standard includes indicators that require the use of seed produced in hatcheries (6.2.2). The standard does not allow wild-caught PL other than natural tidal flow into ponds (6.2.4).

## REFERENCES

- 1) ASC Shrimp Standard Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 6.2.2 and 6.2.4

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require the use of seed produced in hatcheries (6.2.2).

## REFERENCES

- 1) ASC Shrimp Standard Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 6.2.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 6.2.2

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES)(6.2.1).
- 2) If commercially available, all stocked post larvae(PLs) are Specific Pathogen Free (SPF) or Specific Pathogen Resistant (SPR) for all important pathogens(5.1.4).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 6.2.1 and 5.1.4
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 6.2.1 and 5.1.4

## 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 must 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Prevention measures in place to prevent escapes at harvest and during grow-out include: A). Effective screens or barriers of appropriate mesh size for the smallest animals present; double screened when non- indigenous species B). Perimeter pond banks or dykes are of adequate height and construction to prevent breaching in exceptional flood events107 C). Regular, timely inspections are performed and recorded in a permanent register D). Timely repairs to the system are recorded E). Installation and management of trapping devices to sample for the existence of escapes; data is recorded F). Escape recovery protocols in place (6.1.2)
- 2) Escapes and actions taken to prevent re-occurrence must be recorded = Record are available for inspection (6.1.3)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 6.1.2 and 6.1.3
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 6.1.2 and 6.1.3

## 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 ASC Shrimp Standard is in alignment because it includes an indicator (6.3.1) that does not allow the culture of transgenic shrimp (including the offspring of genetically engineered shrimp).

**REFERENCES**

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 6.3.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 6.3.1

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Compliance with local and national laws or regulations (1.1.1)
- 2) Use of non - indigenous shrimp species is allowed, provided it is in commercial production locally AND there is no evidence of establishment or impact on adjacent ecosystems by that species AND there is documentation (hatchery permits, import licenses, etc.) that demonstrates compliance with introduction procedures as identified by regional, national and international importation guidelines (e.g., OIE and ICES) (6.1.1).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 1.1.1 and 6.1.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 1.1.1 and 6.1.1

## 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 ASC Shrimp Standard is in alignment because the standard includes an indicator (1.1.1) that requires compliance with local and national laws or regulations.

**REFERENCES**

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 1.1.1
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 1.1.1

## 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 from 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) No allowance for discharging saline water to natural freshwater bodies (2.5.1).
- 2) No allowance for the use of fresh groundwater in ponds (2.5.2).
- 3) For all freshwater wells used by the farm or located on adjacent properties (identified prior to full assessment), specific conductance may not exceed 1,500 mhos per centimeter and/or chloride concentration may not exceed 300 milligrams per liter (2.5.3).
- 4) No net increase of soil - specific conductance or chloride concentration in adjacent land ecosystems and agricultural fields when compared to the first year of monitoring (2.5.4).
- 5) The Specific conductance or chloride concentration of sediment prior to disposal outside the farm must not exceed those of the soil in the disposal area (2.5.5).

**REFERENCES**

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 2.5.1, 2.5.2, 2.5.3, 2.5.4 and 2.5.5
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 2.5.1, 2.5.2, 2.5.3, 2.5.4 and 2.5.5

## 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

Not applicable. The overwhelming majority of shrimp produced in the world are farmed in brackish water ponds, using surface water from estuaries. Thus, water efficiency considerations applicable to freshwater ponds filled with groundwater are not applicable to brackish water shrimp ponds. However, some inland shrimp farms use brackish groundwater or fresh surface water. The ASC Shrimp Standard includes an indicator (2.5.2) that prohibits the use of fresh groundwater in ponds.

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 2.5.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 2.5.2

## 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



## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Presence of documents demonstrating compliance with local and national regulations and requirements on land and water use, (principle 1)
- 2) Nitrogen effluent load per ton of shrimp produced over a 12-month period = Less than 25.2 kg N per ton of shrimp for L. vannamei. Less than 32.4 kg N per ton of shrimp for P. monodon. (7.5.1)
- 3) Phosphorous effluent load per ton of shrimp produced over a 12-month period = Less than 3.9 kg P per ton of shrimp for L. vannamei. Less than 5.4 kg P per ton of shrimp for P. monodon. (7.5.2)
- 4) Responsible handling and disposal of sludge and sediments removed from ponds and canals = No discharge or disposal of sludge and sediments to public waterways and wetlands. (7.5.3)
- 5) Treatment of effluent water from permanently aerated ponds = Evidence that all discharged water goes through a treatment system 135, and concentration of settleable solids in effluent water < 3.3 mL/L. 136 (7.5.4)
- 6) Percentage change in diurnal dissolved oxygen (DO) relative to DO at saturation in receiving water body for the water's specific salinity and temperature ≤ 65% (7.5.5)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 1.1.1, 7.5.1, 7.5.2, 7.5.3, 7.5.4 and 7.5.5
- 2) ASC Shrimp Audit Manual v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 1.1.1, 7.5.1, 7.5.2, 7.5.3, 7.5.4 and 7.5.5



EVIDENCE OF ALIGNMENT  
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**  
FOR AQUACULTURE CERTIFICATION STANDARDS

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 02 01 ANTIMICROBIAL USAGE

## GSSI SUPPLEMENTARY COMPONENT

The standard prohibits the use of antimicrobials listed by the World Health Organization (WHO) as highly and critically important to human health.

*Rationale: The development of antimicrobial resistance is a serious problem in human medicine. Using antimicrobials that are important to treat human diseases in aquaculture potentially promotes the spread of resistance to these antimicrobials between bacteria, including those that would affect humans. By prohibiting their use, this risk is reduced.*

## GUIDANCE

The audit is expected to include a review of evidence that supports a claim of no listed antimicrobial usage, this could include independent laboratory testing results, reviews of financial records, inspections of offices and chemical storage facilities.

The most recent version of the WHO list is the 3rd edition, which can be found at [www.who.int/foodsafety/publications/antimicrobials-third/en/](http://www.who.int/foodsafety/publications/antimicrobials-third/en/).

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator that prohibits the use of antibiotics listed as critically important for human medicine by the WHO. Shrimp treated with critically important antibiotics are no longer eligible to be sold as "ASC".

## 1) (AUDIT)

a. Farm to prepare a list of all veterinary medicines, chemicals and biological products used on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).(5.3.1.a)

b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on each enclosure in the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).(5.3.1b)

c. If any antibiotics or medicated feed is used, detail and maintain a traceability system to ensure that no treated product is sold as ASC labeled. In these cases farm needs to hold a valid ASC Chain of Custody Certification.(5.3.1.c)

d. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).(5.3.2.a)

e. Farm did not use any antibiotics critically important for human medicine as categorized by the WHO and antibiotics as banned by the competent national authorities in the last 12 months.(5.3.2.b)

f. Demonstrate working knowledge of critically important WHO antibiotics and antibiotics as banned by the competent national authorities and show that they are not used on the farm.(5.3.2c)

g. Maintain storage spaces for all veterinary medicines, chemical and biological products provided in 5.3.1a(5.3.3.a)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.3.1a,b,c, 5.3.2a,b,c, 5.3.3a
- 2) ASC Shrimp Audit Manual v1.0 - April 2017  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicators 5.3.1a,b,c, 5.3.2a,b,c, 5.3.3a

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 02 02 ANTIMICROBIAL USAGE

## GSSI SUPPLEMENTARY COMPONENT

The standard prohibits aquatic animals treated with antimicrobials from being labeled with its standard; however, antimicrobial application deemed necessary by an aquatic health professional cannot be withheld from aquatic animals solely to preserve the certification status of the production.

*Rationale: The development of antimicrobial resistance is a serious problem for both human treatment and aquaculture. Using antimicrobials in aquaculture potentially promotes the spread of resistance to these antimicrobials between bacteria. By prohibiting their use, this risk is addressed. However, aquatic animal health professionals are obligated to act where animals are sick and therefore this indicator should only be applied for species where antimicrobial free production can be performed without a welfare risk or where chain of custody allows for the segregation treated and untreated aquatic animals within the scheme.*

## GUIDANCE

The audit is expected to include a review of evidence that supports a claim of no antimicrobial usage, this could include independent laboratory testing results, reviews of financial records, inspections of offices and chemical storage facilities. The standard is expected to ensure the need to treat aquatic animals is prioritized above the certification status.

Where a standard complies with the prohibition on all antimicrobial then it will also be considered in alignment with C.1.01 and C1.02 (and the corresponding inclusion of these in Supplementary Component C.1.08.02). Unlabeled products produced by the certified aquaculture facility are still expected to meet the Essential Components C.1.01 and C1.02 (and the corresponding need for compliance with them in in Supplementary Component C.1.08.03).

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that:

- 1) The use of antibiotics are permitted on farms certified to ASC however, shrimp in specific ponds that have received medicated feed are not authorized to carry the ASC label. Additionally, no farm will be certified as ASC compliant if any use of a WHO categorized antibiotic as “critically important” was administered to any shrimp. There is no allowance for use of antibiotic and medicated feed on ASC-labeled products (farm can be certified but specific product receiving medicated feed will not be authorized to carry ASC label) (5.3.1)
- 2) No allowance for the use of antibiotics categorized as critically important by the World Health Organization (WHO), even if authorized by the pertinent national authorities (5.3.2)
- 3) In the event that veterinary medicines and chemicals are used, they must be based on a diagnostic test, and all labeled instructions must be precisely followed. The specialist shall also indicate how to apply, handle and store veterinary medicines and chemicals. The use of antibiotics are permitted on farms certified to ASC however, shrimp in specific ponds that have received medicated feed are not authorized to carry the ASC label. Additionally, no farm will be certified as ASC compliant if any use of a WHO categorized antibiotic as “critically important” was administered to any shrimp.
- 4) Cross check list of antibiotics used by the farm against the WHO list of antibiotics critical to human medicine and antibiotics as banned by the competent national authorities. The OIE links is provided as a reference of the principle and the standard. (footnote page 76)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014  
[https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 5.3.1a,b,c, 5.3.2a,b,c, 5.3.3a,b and 5.3.4a,b
- 2) ASC Shrimp Audit Manual v1.0 - March 2014. [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 5.3.1a,b,c, 5.3.2a,b,c, 5.3.3a,b and 5.3.4a,b

## C.I

## 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

This GSSI Supplemental Component is not applicable because shrimp do not have an antibody response like finfish and thus do not respond to vaccines. Furthermore, vaccines that address the major disease risks in shrimp farming are not available commercially. Vaccination is not practiced in shrimp farming.

## REFERENCES

Not applicable.

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 08 07 BIOSECURITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires suitable performance based metric limits on survival rate (or similar system that incorporates survival rates (e.g. recovery rate)) or similar criteria that demonstrate that the aquatic health management practices are effective.

*Rationale: By meeting a performance based metric for survival rate the standard verifies that the farm has an effective biosecurity system.*

## GUIDANCE

A suitable performance based metric limit could include those set on a species specific basis using industry average data (e.g., a minimal % relative to say industry average data) or based on farm monitoring records. Other possible criteria may include metric limits on veterinary drug usage. Verification that the metric limits have been met and set based on a suitable monitoring and record keeping system is expected.

Aligned standards will also be considered in alignment with C.1.08.02 and C.1.08.06.

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator (5.1.3) that requires monitoring of survival rate (SR) with defined targets as a function of production system type:

- Unfed and non-permanently aerated pond systems - SR >25%
- Fed but non-permanently aerated pond systems - SR >45% Fed and permanently aerated pond systems - SR >60%.

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 5.1.3
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 5.1.3

## C.I

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 10 01 OFF-FARM DISEASE TRANSMISSION

## GSSI SUPPLEMENTARY COMPONENT

Where the production system allows the discharge of parasites that are a known concern to local wildlife, the standard requires monitoring and adapting farming practices based on trigger limits of relevant parasite numbers on wild fish where this is feasible.

*Rationale: Aquaculture facilities have the potential to introduce and locally amplify parasite numbers above those generally found in the wild. With a few exceptions, these issues remain poorly understood or studied. However, where these issues are known, these indicators verify that the degree of impact on wild populations is being managed.*

## GUIDANCE

Examples of pathogens or parasites that are a known concern include sea lice on farmed salmon; appropriate practices could be specified in the standard or a suitable risk assessment or other justification could be given to determine whether or not this Supplementary Component is applicable.

The certification scheme or standard is expected to address the monitoring of pathogen or parasite numbers on wild fish or a similar system that is likely to be effective at finding evidence of impact if it's occurring (possibly performed by third parties or government), and that appropriate trigger limits (e.g., expert opinions, scientific literature) and adaptive management plans exist and are employed to reduce the pressure on wild populations (such as by treating fish, fallowing, etc.).

Verification that the system is operational is also expected.

Aligned standards will also be considered in alignment with C.1.10.

## CONCLUSION

This GSSI Supplemental Component is not applicable to shrimp farming because there are no parasites of known concern to local wildlife.

## REFERENCES

Not applicable.

## C.2

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## CHEMICAL AND VETERINARY DRUG USE

## C.2 02 01 CHEMICAL USAGE

## GSSI SUPPLEMENTARY COMPONENT

The standard prohibits chemicals used on the aquaculture facility and that may enter the local environment due to farming practices that are listed as highly polluting by relevant organizations or other justification.

*Rationale: Chemicals available to aquaculture vary from one country to another. Several organizations exist, including international organizations, to dissuade the use of certain particularly polluting chemicals. These Supplementary Components enhance the Essential Components by further limiting the type of chemicals that can be used on the aquaculture facility, irrespective if its use is permitted under national regulations.*

## GUIDANCE

Relevant organizations could include the World Health Organization listed 1a and 1b pesticides (see [www.who.int/ipcs/publications/pesticides\\_hazard\\_2009.pdf?ua=1](http://www.who.int/ipcs/publications/pesticides_hazard_2009.pdf?ua=1)) and the Rotterdam Convention Annex III listed chemicals (see [www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)).

Verification is expected to include a review of evidence supporting the claim of no use, such as inspection of the chemical storage, interviews etc.

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes an indicator (5.3.5) that does not allow the treatment of water with pesticides banned or restricted by the Rotterdam Convention on Prior Informed Consent (PIC), the Stockholm Convention on Persistent Organic Pollutants (POPs) or classed as "extremely hazardous" or "highly hazardous" (classes Ia and Ib) by the World Health Organization (WHO).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicator 5.3.5
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicator 5.3.5

## 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 ASC Shrimp Standard is in alignment because the standard includes an indicator (7.7.2) that requires responsible handling and disposal of wastes based on risk assessment and possibilities of recycling. The Guidance for Implementation of this indicator states that "Recyclable wastes need to be identified and separated at the point of generation. Some wastes (e.g., feed bags and plastic containers) can be reused, and their return to suppliers shall be encouraged. When selling recyclable wastes to a local collector, the final destination of wastes shall be specified. The income generated by the sales of recyclable wastes should be used for providing incentives to employees for separating wastes and increasing the amount of recycling done on the farm."

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicator 7.7.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicator 7.7.2

## 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 ASC Shrimp Standard is in alignment because the standard includes an indicator (7.7.2) that requires responsible handling and disposal of wastes based on risk assessment and possibilities of recycling.

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicator 7.7.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicator 7.7.2

## 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 02 01 GENERAL ENVIRONMENTAL MANAGEMENT

## GSSI SUPPLEMENTARY COMPONENT

The standard requires energy use to be monitored and recorded (e.g. total fuels or energy).

*Rationale: The environmental impacts associated with energy use, such as greenhouse gas emissions, are well known but have rarely been considered in aquaculture. The aquaculture facility is required to pay attention to its energy use through monitoring.*

## GUIDANCE

Verification is expected to include a review of evidence that energy use is being appropriately monitored and recorded using appropriate methods.

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Records must be kept of energy consumption by type of energy source (e.g., diesel, gasoline, natural gas, electricity) over a 12-month period. (7.6.1), and
- 2) Records must be kept of Annual Cumulative Energy Demand (mega joules/ton of shrimp produced) over a 12-month period. (7.6.2)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicator 7.6.1 and 7.6.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicator 7.6.1 and 7.6.2

## C.4

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## FEED USE

## C.4 04 02 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires independent verification that the feed manufacturer only sources fishmeal and fish oil (greater than 1% content) from whole fish certified a standard benchmarked to be, at minimum, consistent with relevant FAO's ecolabelling guidelines.

*Rationale: Thirdparty audits of feed milling ingredient sourcing practices provide additional assurance that stated goals are being met.*

## GUIDANCE

Verification is expected to include a 3rd party certification or audit of 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.

Aligned standards will also be considered in alignment with C.4.01, C.4.02, C.4.03, C.4.04, and C.4.04.1

## CONCLUSION

The ASC Shrimp Standard is in alignment because it includes sourcing of fishmeal and fish oil from whole fish from fisheries certified according to standards consistent with FAO ecolabelling guidelines if the whole fish is rejected for use of human consumption.

- 1) ISEAL is a global association for social and environmental standards systems. More information can be found at <http://www.isealalliance.org>. ASC Shrimp Standard strives to meet the ISEAL guidelines for standard setting. Fisheries ingredients must be certified by a process that conforms to the ISEAL guidelines within five years of the publication date of the ASC Shrimp Standard. The farm's feed manufacturer may use the "mass balance approach" to demonstrate that it purchased the appropriate amount and kind of "certified" ingredients to supply feed to all of its customers making a similar request. These ingredients would get mixed into the general silos and production lines of the manufacturer, greatly reducing costs associated with special storage capacity and production lines. This could be done instead of requiring documentation for a single batch per farm. Fishmeal and fish oil used in shrimp feed (including those made from fisheries by-products) must not contain products from a) target fisheries that are on CITES Appendix I, on the IUCN's Red List in categories: Near Threatened, Vulnerable, Endangered and Critically Endangered, b) a target fishery that has bycatch with significant impact on species listed on CITES Appendix I, on the IUCN's Red Listed species (categories as above), upon landing, on an annual basis or c) bycatch with significant impact on CITES/IUCN listed species. (7.2.1.a)
- 2) Fishery status information may be accessed through FishSource [www.fishsource.org/indices\\_overview.pdf](http://www.fishsource.org/indices_overview.pdf) and the IFFO Responsible Fisheries (<http://www.iffonet.net/iffonet-rs>) (7.2.1.b)
- 3) Lacking a FishSource assessment a fishery could be engaged in an Improvers Program. (transparent and public Fisheries Improvement Project (FIP) with periodic public reporting (refer to Appendix VII). (7.2.1.c)
- 4) Trimmings are defined as by-products when fish are processed for human consumption or if whole fish is rejected for use of human consumption because the quality at the time of landing do not meet official regulations with regard to fish suitable for human consumption. Fishmeal and fish oil that are produced from trimmings can be excluded from the calculation as long as the origin of the trimmings do not come from any species that are classified as critically endangered, endangered, or vulnerable in the IUCN Red List of Threatened Species (<http://www.iucnredlist.org/about/red-list-overview#introduction>). (footnote 152).

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 7.2.1a, 7.2.1b and 7.2.1c
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 7.2.1a, 7.2.1b and 7.2.1c

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Fishmeal Forage Fish Dependency Ratio (FFDRm) for grow-out. Requirement =  $< 1.35 P_{\text{vannamei}} / < 1.9 P_{\text{monodon}}$ . The fish meal is the determining factor for the FFER, as fish oil use in shrimp feed is very low (7.4.1)
- 2) Economic Feed Conversion Ratio (eFCR) = Records are available, and (7.4.2.a)
- 3) Protein Retention Efficiency = Records are available (7.4.2.b)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layer\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layer_changes.pdf) Indicators 7.4.1, 7.4.2a and 7.4.2b
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicators 7.4.1, 7.4.2a and 7.4.2b

## C.5

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 03 01 PREVENTING HABITAT IMPACTS

## GSSI SUPPLEMENTARY COMPONENT

The standard requires a suitable process was put in place to protect sensitive habitat and endangered species prior to expansions to the aquaculture facility that occur post-initial certification.

*Rationale: Environmental Impact Assessment (EIA) is a management tool designed to understand the impact of an activity on the environment and steps required to limit those impact. Globally EIA's are not always required for aquaculture facilities. This Supplementary Component verifies an EIA is used even if it is not required by law.*

## GUIDANCE

A suitable process could include an EIA that be required to show evidence of negligible impacts to sensitive habitats. 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](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information. Verification is also expected.

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Farm owners shall commission a participatory B-EIA and disseminate results and outcomes openly in locally appropriate language. The B-EIA process and document must follow the outline in Appendix I. (2.1.1)
- 2) No allowance for siting in Protected Areas (PAs), except within PAs with IUCN category V if the farming system is regarded as traditional land use 12, or category VI if the farm was built legally prior to the designation of the PA and in both cases is in compliance with the management objectives and plan of the PA, and shrimp farming is no more than 25% of the total PA area.13 (2.2.1)
- 3) No allowance for siting in mangrove ecosystems and other natural wetlands, or areas of ecological importance as determined by the B-EIA or national/state/local authority plans/list for farms built (with or without permits) after May 1999, except for pumping stations and inlet/outlet canals provided they have been permitted by authorities and an equivalent area is rehabilitated16 as compensation. For farms built or permitted before May 1999, farmers are required to compensate/offset impacts via rehabilitation as determined by the B-EIA, or the national/state/local authority plans/list, or 50% of the affected ecosystem (whichever is greater). (2.2.2)
- 4) No allowance for siting farms in critical habitats of endangered species28 as defined by the IUCN Red List, national listing processes or other official lists. (2.3.1)
- 5) Implement protection measures of habitats identified by the B-EIA process that are critical for endangered species within farm boundaries. (2.3.2)
- 6) Appendix I: Outline for a B-EIA.

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 2.1.1, 2.2.1, 2.2.2, 2.3.1 and 2.3.2  
Appendix I
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 2.1.1, 2.2.1, 2.2.2, 2.3.1 and 2.3.2  
Appendix I

## 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 loss) 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 ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Evidence of an assessment of the farm’s potential impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in Appendix I, and
- 2) Appendix I, Biodiversity Focused impact assessment (under point 4) reads: “Where damage of sensitive habitats has been caused by the farm (as defined in the impact assessment) 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.”
- 3) Mitigation and offsetting – The BEIA must define appropriate mitigation and offsetting requirements given previous impacts. - Remedial action can take several forms, including avoidance or prevention, mitigation and compensation or offsetting (e.g., restoration and rehabilitation of sites). Apply the “positive planning approach,” where avoidance has priority and compensation is used as a last resort measure. Avoid “excuse” - type compensation. Acknowledge that compensation will not always be possible and there will still be cases where it is appropriate to say “no” to new farms or expansion of existing farms on the grounds of irreversible damage to biodiversity.

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 2.1, 2.2, 2.3, 2.4 and 2.5  
Appendix I

## 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 ASC Shrimp Standard is in alignment because the standard includes indicators that requires:

- 1) For *P. vannamei*, *P. indicus*, *P. stylirostris* and *P. monodon*, all post-larvae must come from a closed-loop hatchery (i.e., farm-raised broodstock within six years after publication of the ASC Shrimp Standard (by March 2020). (6.2.1)
- 2) No allowance for wild-caught PL other than natural tidal flow into ponds. (6.2.4)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 6.2.1 and 6.2.4
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 6.2.1 and 6.2.4

## C.6

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SEED

## C.6 05 01 HATCHERY SEED

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that all manually stocked seed are principally from hatchery-reared (domesticated) broodstock.

*Rationale: The collection of wild broodstock can negatively impact the target species by reducing recruitment, non-target species (e.g., from bycatch), and the wider ecosystem from environmentally-harmful collection methods. Using hatchery-reared broodstock also confers other advantages over wild collection, such as greater control of disease. Requiring justification for the use of wild broodstock helps reduce this practice and hence the environmental risks associated with it.*

## GUIDANCE

Verification is expected to include a review evidence of the source of the broodstock (e.g., hatchery certification, inspection of written/financial records, marking techniques, legal compliance/permits). An exception for small numbers of wild broodstock is allowable if needed to avoid inbreeding depression and genetic drift.

C.6.03 will not be applicable to aligned standards.

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that requires:

- 1) For *P. vannamei*, *P. indicus*, *P. stylirostris* and *P. monodon*, all post-larvae must come from a closed-loop hatchery (i.e., farm-raised broodstock within six years after publication of the ASC Shrimp Standard (by March 2020). (6.2.1)
- 2) No allowance for wild-caught PL other than natural tidal flow into ponds. (6.2.4)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 6.2.1 and 6.2.4
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 6.2.1 and 6.2.4

## C.7

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## SPECIES SELECTION AND ESCAPES

## C.7 03 01 EXOTIC SPECIES

## GSSI SUPPLEMENTARY COMPONENT

Where a non-established, non-native species has been shown to be or has potential to be a successful invasive species, the standard requires that they are controlled by strict effective escape impact prevention and mitigation measures.

*Rationale: The risk of adverse impacts from escapes (impacts from predation, competition, disease transmission, hybridization, and habitat damage) are generally greater when the escaped species are non-native and become established. Requiring strict escape prevention and mitigation measures for non-native species with the potential for establishment -- such as requiring sterile, polyploidy, or mono-sex seed polyploidy to help prevent establishment -- reduces the risk of such impacts.*

## GUIDANCE

Effective measures are expected to include sourcing only sterile, polyploidy, or mono-sex seed or physical isolation. Verification is expected to include a review of evidence of operational and fit for purpose measures (e.g., hatchery records, visual inspection (aquaculture facility and/or aquatic animal)).

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that require:

- 1) Use of non-indigenous shrimp species is allowed, provided it is in commercial production locally AND there is no evidence of establishment or impact on adjacent ecosystems by that species AND there is documentation (hatchery permits, import licenses, etc.) that demonstrates compliance with introduction procedures as identified by regional, national and international importation guidelines (e.g., OIE and ICES). (6.1.1)
- 2) Prevention measures are in place to prevent escapes at harvest and during grow-out include:
  - A. Effective screens or barriers of appropriate mesh size for the smallest animals present; double screened when non-indigenous species.
  - B. Perimeter pond banks or dykes are of adequate height and construction to prevent breaching in exceptional flood events
  - C. Regular, timely inspections are performed and recorded in a permanent register
  - D. Timely repairs to the system are recorded
  - E. Installation and management of trapping devices to sample for the existence of escapes; data is recorded
  - F. Escape recovery protocols in place (6.1.2)
- 3) Records are available on escapes and actions taken to prevent reoccurrence. (6.1.3)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf) Indicator 6.1.1, 6.1.2 and 6.1.3
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf) Indicator 6.1.1, 6.1.2 and 6.1.3

## C.8

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON WATER RESOURCES

## C.8 03 01 WATER USE

## GSSI SUPPLEMENTARY COMPONENT

Where appropriate (e.g., land-based pond and flow-through systems, particularly in water resource limited region), the standard requires metric limits are placed on the fresh water consumption and prevention of aquifer drawdown.

*Rationale: Impacts on local and regional water resources resulting from fresh water consumption by an aquaculture facility are typically increased by the cumulative consumption of multiple facilities located within the same watershed and/or drawing water from the same aquifer.*

## GUIDANCE

Metric limits are expected to be defined (by the facility or by the standard) and intended to prevent aquifer drawdown and minimize negative impacts on freshwater resources and the surrounding environment. Verification that these limits are not exceeded by the aquaculture facility is expected.

Aligned standards will also be considered in alignment with C.8.03

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that addresses the farm water management and requires:

- 1) No allowance for discharging saline water to natural freshwater bodies. (2.5.1)
- 2) No allowance for the use of fresh groundwater in ponds. (2.5.2)
- 3) For all freshwater wells (identified prior to full assessment) used by the farm or located on adjacent properties, specific conductance may not exceed 1,500 mhos per centimeter and/or chloride concentration may not exceed 300 milligrams per liter. (2.5.3)
- 4) No net increase in soil-specific conductance or chloride concentration in adjacent land ecosystems and agricultural fields when compared to the first year of monitoring. (2.5.4)
- 5) The specific conductance or chloride concentration values of sediment prior to disposal outside the farm must not exceed those of the soil in the disposal area. (2.5.5)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 2.5.1, 2.5.2, 2.5.3, 2.5.4 and 2.5.5
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 2.5.1, 2.5.2, 2.5.3, 2.5.4 and 2.5.5

## C.8

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## IMPACTS ON WATER RESOURCES

## C.8 04 01 WATER QUALITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires suitable specific limits on nutrient load released to the environment.

*Rationale: Nutrients released in aquaculture facility effluent can have significant adverse impacts on water quality and benthic environments. Limiting the total amount of nutrients released from an aquaculture facility provides a direct and relatively certain means of reducing the risk of significant impacts on water quality.*

## GUIDANCE

Suitable specific limits are expected to be specific to the culture practices, and designed to ensure minimal pollution. Verification is expected to include a review of evidence that the specific limits are met.

Aligned standards will also be considered in alignment with C.8.04

## CONCLUSION

The ASC Shrimp Standard is in alignment because the standard includes indicators that require specific limits on nutrient load released to the environment.

- 1) A nitrogen effluent load per ton of shrimp produced over a 12-month period must be less than 25.2 kg N per ton of shrimp for *L. vannamei* and less than 32.4 kg N per ton of shrimp for *P. monodon*. (7.5.1)
- 2) A phosphorus effluent load per ton of shrimp produced over a 12-month period must be less than 3.9 kg P per ton of shrimp for *L. vannamei* and less than 5.4 kg P per ton of shrimp for *P. monodon*. (7.5.2)

## REFERENCES

- 1) ASC Shrimp Standard v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard\\_v1.0\\_FINAL\\_Layout\\_changes.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Standard_v1.0_FINAL_Layout_changes.pdf)  
Indicators 7.5.1 and 7.5.2
- 2) ASC Shrimp Audit Manual v1.0 - March 2014, [https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual\\_v1.0.pdf](https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Shrimp-Audit-Manual_v1.0.pdf)  
Indicators 7.5.1 and 7.5.2

# GLOSSARY

## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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. (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. 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. <a href="http://www.faosipam.org/GfcmWebSite/CAQ/WGSC/2011/SHoCMed_AZE/GFCM-CAQ-WGSC-2011-SHoCMed_AZE-Report.pdf">www.faosipam.org/GfcmWebSite/CAQ/WGSC/2011/SHoCMed_AZE/GFCM-CAQ-WGSC-2011-SHoCMed_AZE-Report.pdf</a>
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 ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
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			REFERENCE
	A	B	C	
Aquaculture byproducts			C	GSSI
			C	Seefishery byproducts; the primary difference being a) aquaculture byproducts must be from the processing waste of aquacultured fish and crustaceans that were destined for human consumption, and b) can be of both marine and freshwater aquaculture origin.
Aquaculture facility			C	GSSI
			C	The physical site where aquatic animals are grown-out to market size. Usually the unit of certification for aquaculture standards.
Aquatic animal health professional			C	OIE Aquatic Animal Health Code <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=chapitre_antibio_resp_prudent_use.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=chapitre_antibio_resp_prudent_use.htm</a>
			C	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. (Adapted from the OIE Aquatic Animal Health Code. 2014).
Aquatic animals			C	OIE Aquatic Animal Health Code <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a>
			C	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.
Area management system (AMS)			C	GSSI
			C	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.
Arrangement	B	C		GSSI
	B	C		A cooperative mechanism established by two or more parties be they governmental, private or non-governmental entities.
Assessment	B	C		Cambridge dictionaries online <a href="http://dictionary.cambridge.org">http://dictionary.cambridge.org</a>
	B	C		The act of judging or deciding the amount, value, quality, or importance of something, or the judgment or decision that is made.
Audit	B	C		FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Codex Alimentarius, Principles for Food Import and Export Certification and Inspection, CAC/GL 20)
	B	C		A systematic and functionally independent examination to determine whether activities and related results comply with a conforming scheme.
Auditor	B	C		GSSI
	B	C		A person qualified to carry out audits for or on behalf of a certification body.

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			DEFINITION	REFERENCE
	A	B	C		
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 ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
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			DEFINITION	REFERENCE
	A	B	C		
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 organization 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. ( <a href="ftp://ftp.fao.org/codex/alinorm04/al04_18e.pdf">ftp://ftp.fao.org/codex/alinorm04/al04_18e.pdf</a> )
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. ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
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

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			DEFINITION	REFERENCE
	A	B	C		
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 ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
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 organization 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)). See <a href="http://www.iucnredlist.org">www.iucnredlist.org</a> and <a href="http://www.cites.org">www.cites.org</a> 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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> ) Scialabba, N. (ed.) (1998) Integrated coastal area management and agriculture, forestry and fisheries. FAO Guidelines: 256p. Rome, FAO, Environment and Natural Resources Service. <a href="http://www.fao.org/docrep/W8440e/W8440e00.htm">http://www.fao.org/docrep/W8440e/W8440e00.htm</a>
Environmental impacts	■	■		A result of activity which has influence upon or changes the environment.	GSSI

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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Environmental Quality Standard				<p>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.)</p> <p>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.</p>	Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP)
Escapes				A term used to describe specimen 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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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. ( <a href="http://www.codexalimentarius.net/web/publications.jsp?lang=en">http://www.codexalimentarius.net/web/publications.jsp?lang=en</a> )
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 ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
Field audit				An audit carried out at the location of a participating organization.	GSSI

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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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				<p>A byproduct is a useful and marketable product that is not the primary product being produced. A marketable byproduct 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.</p> <p>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</p>	Adapted from IFFO Marine Ingredients organization.
(continued on next page)					
Fishery Byproduct (continued from previous page)				<p>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.</p> <p>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.</p> <p>Adapted from IFFO Marine Ingredients organization.</p>	
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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
Genetically modified organism (GMO)				An organism that has been transformed by the insertion of one or more transgenes.	ICES (2004) Code of Practice on the Introductions and Transfers of marine Organisms. <a href="http://www.ices.dk/reports/general/2004/icescop2004.pdf">http://www.ices.dk/reports/general/2004/icescop2004.pdf</a>


















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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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 on-growing structure. Adapted from FAO.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
Impartiality				The actual and perceived presence of objectivity.	GFSL (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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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 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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
Invasive Species				Annon-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. For additional information see the Invasive Species Specialist Group website ( <a href="http://www.issg.org/">www.issg.org/</a> ).	Adapted from FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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.  The scope of certification covers the actual products and processes as defined in the normative documents describing the scheme in question.  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 organization				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 does 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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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Operational				In or ready for use.	Oxford English Dictionary
organization				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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
Production unit				An individual tank, cage, or pond holding a single batch of aquatic animals.	GSSI

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## GSSI GLOSSARY

TERM	SECTION			REFERENCE	
	A	B	C		
Publicly available	<div><div></div><div></div></div>	<div><div></div><div></div></div>		Obtainable by any person, without unreasonable barriers of access.  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			<div><div></div></div>	(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. (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. <a href="http://www.ices.dk/reports/general/2004/icescop2004.pdf">http://www.ices.dk/reports/general/2004/icescop2004.pdf</a> (2) (OIE Aquatic Animal health Code <a href="http://www.oie.int/eng/normes/fcode/en_glossaire.htm#sous-chapitre-2">http://www.oie.int/eng/normes/fcode/en_glossaire.htm#sous-chapitre-2</a> )
Re-benchmarking	<div><div></div><div></div></div>	<div><div></div><div></div></div>		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			<div><div></div></div>	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	<div><div></div><div></div></div>	<div><div></div><div></div></div>		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	<div><div></div><div></div></div>	<div><div></div><div></div></div>		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			<div><div></div></div>	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	<div><div></div><div></div></div>	<div><div></div><div></div></div>		A documented programme developed by a competent person(s) based on risk assessment principles.	GSSI

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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Safety Data Sheet (SDS)				<p>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.</p> <p>See <a href="http://www.osha.gov/dsg/hazcom/ghs.html#4.8">www.osha.gov/dsg/hazcom/ghs.html#4.8</a>, particularly section 4.8 for more details.</p>	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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
Scheme Owner				An organization, 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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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
Sensitive habitat/biodiversity				<p>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.</p> <p>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.</p>	High Conservation Value Area Network <a href="http://www.hcvnetwork.org">www.hcvnetwork.org</a>
Site				A permanent location where an organization 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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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 organization 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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )

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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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 organization 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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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

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## GSSI GLOSSARY

TERM	SECTION			DEFINITION	REFERENCE
	A	B	C		
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 ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
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

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### Section A:

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ASC Certification and Accreditation Requirements V.2

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organization Chart June 2017

Deed Stichting ASC Foundation\_English translation

ASC Regulations for Supervisory Board

ASC TAG TOR and Rules

ASC Regulations for Executive Board

ASC Certification and Accreditation Requirements V.2

ASC Standard Setting Procedure\_v.1.0

ASC Whistle-blower Policy

ASC Complaints Procedure

TOR Supply Chain Integrity Manager

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<https://www.asc-aqua.org/about-us/governance/>

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<https://www.asc-aqua.org/about-us/governance/> and associated web links on page to specific documents e.g. Minutes TOR

05\_ASC Standard Setting Procedure\_v.1.0

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ASC Regulations for Supervisory Board

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 Draft Minutes of the Supervisory Board Meeting held on 18th and 19th April 2018, minute 5, entitled TAG Governance and Stakeholder Advisory Board Group (confidential)  
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 TAG13\_Agenda\_Final.docx, (confidential)  
 E mail of debrief of this meeting TAG-13 by Michiel Fransen dated 1st July 2018 (confidential).

10) SB34-DRAFT minutes-v.2.0 to SB.docx, (confidential)  
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The minutes confirmed that the Board meeting took place over a two day period 24/25 August. The full board was present and a number of ASC staff and invited experts.

There were 32 items recorded with actions assigned. There were a number of management issues discussed examples of which are Governance documentation, revision of categories and tiering, specific expertise requirements within the TAG, auditor capacity issues, logo use, CAB capacity building and human resource review.

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