Audit Guidance for Friend of the Sea Standards

Version 2.

Valid from: To be defined.

Compulsory from: To be defined.

This document is a work in progress. Especially during the first year of implementation, Friend of the Sea encourages feedback with suggestions for improving this document.

Readers should verify that they are using the latest copy of this document and other related documents. The current versions of all FOS documents are available on the FOS website at www.friendofthesea.org

Revisions

REV	DATE	REASON	VALIDATION	APPROVAL
1	27/10/2017	First issue	Paolo Bray	

REV	DATE	REASON	APPROVED	VALIDATED	RATIFIED
2	Under revision	Update			

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1. INTRODUCTION

1.1. Friend of the Sea

Founded in 2008, Friend of the Sea (FOS) is a non-governmental organisation committed to improving the global sustainability of seafood by developing international certification schemes for sustainable fisheries and aquaculture products. The mission of FOS is to safeguard the marine environment and its resources by incentivising a sustainable market and implementing specific conservation projects. The present document is a guideline for auditors that are operating with the FOS standards for wild catch, aquaculture, fish oil and chain of custody.

1.2. Purpose of the document

The purpose of this document is to provide guidance on the FOS standards for Certification Bodies (CBs) and auditors, to ensure consistent interpretation and application across Countries and CBs, hence improving the efficiency of the assessment process. This Audit Guidance document provides this guidance through:

1- Description of how to interpret the principles and criteria from the FOS standards;

2- Audit instructions to verify compliance through indicators;

3- Information relating to exceptional situations;

4- Objective criteria for critical limits;

5- Instructions to complete the audit report.

A brief explanation is given for each criterion, together with the description of indicators and list of documentation to collect and attach to the report.

1.3. References

UNI EN ISO 19011:2018 Audit guidelines for quality management and/or environmental management systems.

UNI EN ISO/IEC 17065:2012 Requirements for organisations that certify products, processes and services.

FOS 0001 Certification procedure for FOS standards.

FOS Wild Certification criteria for sustainable seafood from wild fisheries.

FOS Aqua Inland Certification criteria for sustainable land-based fish farming.
FOS Aqua Marine Certification criteria for sustainable sea-based aquaculture.
FOS Aqua Shellfish Certification criteria for sustainable bivalves farming.
FOS FF, FM, FO, O3 Certification criteria for fish feed, fishmeal, fish oil, and omega 3 from sustainable fisheries.
FOS CoC Certification criteria for the traceability of Friend of the Sea products.
(1) GSSI Glossary https://www.ourgssi.org/assets/GSSI-Benchmarking-Tool/GSSI-Global-Benchmark-Tool-V.1-October-2015.pdf
(2) FAO Term Portal http://www.fao.org/faoterm/en/?defaultCollId=21
(3) Value chain dynamics and the small-scale sector http://www.fao.org/fileadmin/user_upload/fisheries/docs/Value_chain_dynamics_and_the_small-scale_sector.pdf
(4) NOAA Fisheries: https://www.fisheries.noaa.gov/southeast/bycatch/fishing-gear-turtle-excluder-devices
(5) FAO. International Guidelines for the Management of Deep-sea Fisheries in the High Seas. 2009. 73p.
(6) FAO http://www.fao.org/fishery/topic/4440/en
(7) FAO 1997. Fisheries management. FAO Technical Guidelines for Responsible Fisheries, 4: 82 p.
(8) FAO 2002. Implementation of the International Plan of Action to Prevent, Deter, and Eliminate Illegal, Unreported and Unregulated Fishing. FAO Technical Guidelines for Responsible Fisheries 9.

1.4. Definitions and Abbreviations

(1) **Adverse Impact:** The term “adverse impacts” is used in the FAO Ecolabelling Guidelines in a general sense (e.g. “adverse impacts of the fishery on the ecosystem”) but also in the specific context of dependent predators, where it is qualified as “severe adverse impacts”. The severity of adverse impacts is related to their potential reversibility. Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible (see separate entry in this Glossary). The term “significant adverse impacts” (note: “significant” not “severe”) is used in the FAO Deep Sea Guidelines with respect to Vulnerable Marine Ecosystems (VMEs). Significant adverse impacts are those that compromise ecosystem integrity (i.e. ecosystem structure or function) in a manner that:
(i) impairs the ability of affected populations to replace themselves;

(ii) degrades the long-term natural productivity of habitats; or
(iii) causes, on more than a temporary basis, significant loss of species richness, habitat or community types. Impacts should be evaluated individually, in combination and cumulatively.
When determining the scale and significance of an impact, the following six factors should be considered:
i. the intensity or severity of the impact at the specific site being affected;
ii. the spatial extent of the impact relative to the availability of the habitat type affected;
iii. the sensitivity/vulnerability of the ecosystem to the impact;
iv. the ability of an ecosystem to recover from harm, and the rate of such recovery;
i. the extent to which ecosystem functions may be altered by the impact; and
ii. the timing and duration of the impact relative to the period in which a species needs the habitat during one or more of its life-history stages.
The term “significant negative impacts” (note: “negative” rather than “adverse”) is used in the FAO Ecolabelling Guidelines only in relation to enhanced fisheries. This was specifically intended to be different from “severe adverse impacts” on dependent predators (see above). The FAO consultation that resulted in the drafting of the Inland Guidelines considered that avoidance of only “severe adverse impacts” only would not be consistent with a management obligation to manage enhancement in ways that would not impact the productivity and abundance of the natural reproductive stock component of the stock under consideration, hence the term “significant negative impacts” was used to capture more than just “severe adverse impacts”.

(1) **Best scientific evidence available**: The “best scientific evidence available” is required by UNCLOS as the basis for management decision-making, including for the application of the precautionary approach. What is actually the best scientific evidence available in any given fishery or for any given stock under consideration will vary between fisheries and stocks and will also vary over time and information levels fluctuate. What is important, therefore, is that the management system is designed in such a way that the mechanism by which it commissions science and solicits scientific advice results in it receiving the best scientific evidence available. Achieving the best scientific evidence available requires inter alia:

- questions to be clearly stated,
- scientific investigation to be well designed, and
- results to be analysed logically, documented clearly, and subjected to peer review.

Even science that has been developed through an open, transparent, and well communicated process may not be fully adequate for addressing management issues. Scientists must often rely on incomplete information in offering their best expert advice.

To adequately implement the best available science, it is essential that policymakers clearly articulate the purpose of regulations and laws, clearly specify who is responsible for interpreting and enforcing them, endeavour to identify and reduce conflicts of interest, and recognize differences in the knowledge base and values of scientists, managers, and other stakeholders.

Scientific information includes, but is not limited to, factual input, data, models, analyses, technical information, or scientific assessments. Scientific information includes data compiled directly from surveys or sampling programs, and models that are mathematical representations of reality constructed with primary data. The complexity of the model should not be the defining characteristic of its value; the data requirements and assumptions associated with a model should be commensurate with the resolution and accuracy of the available primary data. Scientific information includes established and emergent scientific information. Established science is scientific knowledge derived and verified through a standard scientific process that tends to be agreed upon often without controversy. Emergent science is relatively new knowledge that is still evolving and being verified, therefore, may potentially be uncertain and controversial. Emergent science should be considered more thoroughly, and scientists should be attentive to effective communication of emerging science.

Science is a dynamic process, and new scientific findings constantly advance the state of knowledge. Best scientific information is, therefore, not static and ideally entails developing and following a research plan with the following elements: Clear statement of objectives; conceptual model that provides the framework for interpreting results, making predictions, or testing hypotheses; study design with an explicit and standardized method of collecting data; documentation of methods, results, and conclusions; peer review, as appropriate; and communication of findings. Criteria to consider when evaluating best scientific information are relevance, inclusiveness, objectivity, transparency and openness, timeliness, verification and validation, and peer review, as appropriate.

i. Relevance. Scientific information should be pertinent to the current questions or issues under consideration and should be representative of the fishery being managed. In addition to the information collected directly about the fishery being managed, relevant information may be available about the same species in other areas, or about related species. For example, use of proxies may be necessary in data-poor situations. Analysis of related

stocks or species may be a useful tool for inferring the likely traits of stocks for which stock-specific data are unavailable or are not sufficient to produce reliable estimates. Also, if management measures similar to those being considered have been introduced in other regions and resulted in particular behavioural responses from participants or business decisions from industry, such social and economic information may be relevant.

ii. Inclusiveness. Three aspects of inclusiveness should be considered when developing and evaluating best scientific information:

a. The relevant range of scientific disciplines should be consulted to encompass the scope of potential impacts of the management decision.

b. Alternative scientific points of view should be acknowledged and addressed openly when there is a diversity of scientific thought.

c. Relevant local and traditional knowledge (e.g., fishermen' s empirical knowledge about the

behavior and distribution of fish stocks) should be obtained, where appropriate, and considered when evaluating the BSIA.

iii. Objectivity. Scientific information should be accurate, with a known degree of precision, without addressable bias, and presented in an accurate, clear, complete, and balanced manner. Scientific processes should be free of undue non-scientific influences and considerations.

iv. Transparency and openness. There should be broad public and stakeholder access to the fishery conservation and management process, including access to the scientific information upon which the process and management measures are based. Public comment should be solicited at appropriate times during the review of scientific information. Communication with the public should be structured to foster understanding of the scientific process.

(2) **Bycatch:** Part of a catch of a fishing unit taken incidentally in addition to the target species towards which fishing effort is directed. Some or all of it may be returned to the sea as discards, usually dead or dying.

(1) **Data (information): adequate, reliable, current**: Adequate, reliable and current data and/or other information are those which are fit for purpose and commensurate with the development and delivery of the best scientific evidence available. This may include traditional, fisher or community knowledge, provided that their validity can be objectively verified. Applicable international standards and practices for fisheries data and statistics

include the output of the Coordinating Working Party on Fishery Statistics (CWP): http://www.fao.org/fishery/cwp/en and the FAO Guidelines for the routine collection of capture fishery data (1998) FAO Fisheries Technical Paper. No. 382.

The adequacy of data relates primarily to the quantity and type of data collected (including sampling coverage) and depends crucially on the nature of the systems being monitored and purposes to which the data are being put. Some analysis of the precision resulting from sampling coverage would normally be part of an assessment of adequacy. The reliability of data relates to the quality of the data collected, and also the level and representativeness of sampling coverage. Inadequate sampling can lead to high uncertainty and hence poor reliability, however, high sampling coverage does not necessarily mean the data collected are of high quality and hence reliable. Bias can result from a poorly designed survey plan (e.g. if the gear and seasons of a fishery are not well sampled). Reliability depends on the design and execution of an effective data collection program. The currency of data relates to how recently the data were collected relative to the application of the conclusions that are being drawn from them. Catch data generally need to be of the highest currency in order for management to function effectively (e.g. to close fisheries when catch limits are reached) and for assessments to provide a reliable estimate of current stock size. A survey conducted several years in the past for assessing abundance of a short lived species with highly variable stock size may not be regarded as current. Data from surveys of longer lived species with less variability may have greater longevity for drawing conclusions about current abundance.

(1) **Data limited fishery:**

1 - A fishery where limited data are available to inform management, e.g. fisheries for species where baseline biological data such as size at maturity, fishing mortality and growth rates are unknown.

2 - Data limited fisheries are those fisheries where stock assessments are not feasible, yet they provide continuing yields for fisheries.

3 - Data limited fisheries assessment:

• Inputs – Approximate catches, some life history information.

• Outputs – Incomplete, imprecise status and some MRPs; often as broad probability distributions, with no clear answer.

4 - The extracts above1 to 4 refer only to biological data-limitations and stock assessment. The FAO EAF Guidelines highlight that data-limitation on the human and governance dimensions is also a constraint to management. The FAO EAF Guidelines use the term

"data-poor" rather than "data limited" and, while they provide no definition, the text provides an indication of what is meant by the term; e.g. on Page 57: "the development of measures and decision rules should ideally be underpinned by rigorous data analyses, including modelling the dynamics of the system or sub-system. However, as stressed throughout (the EAF) guidelines, a lack of this capacity does not preclude the general approach. Even in data-poor situations, the best available information should be objectively analysed and considered. In such cases, an extrapolation based on better studied areas can be used to provide guidance on operational objectives and associated decision rules."

(6) **Deep-sea fisheries:** Deep-sea fisheries take place at great depths (between 200-2000 meters), on continental slopes, oceanic seamounts, ridge systems banks. These fisheries target demersal/benthic species using a range of gears including bottom and mid-water trawls, pots and longlines. Deep-sea fisheries take place in both exclusive economic zones (EEZs) and in areas beyond national jurisdiction (ABNJ). Most of these fisheries require significant investment. The types of fishing gear, vessels and people employed in these fisheries vary greatly. They include small-scale deep-sea fisheries though the majority are commercial, technologically advanced operations using a variety of gears.

(2) **Dependent species**: In general, species within the food chain (e.g. a predator) which depends heavily on another (e.g. a prey species) for its maintenance. Dependency may also be generated by other factors than predation (e.g. commensalism; habitat). UNCLOS refers to associated and dependent species.

(2) **Discard:** To release or return fish to the sea, dead or alive, whether or not such fish are brought fully on board a fishing vessel.

(1) **Ecosystem (structure, processes and function):** The FAO EAF Guidelines refer to 'structure, processes and function' in Section 4.1.4.1 and 'ecosystem structure and functions' in the Executive Summary. The three terms structure, processes and function are distinct and different, however, common usage suggests that in terms of the ecosystems features covered under these terms, 'structure, processes and function' is generally regarded to be the same as 'structure and function' and the latter is not intended to exclude processes. This is because ecosystem processes are often listed under the heading of ecosystem functions, as in the description below:

Ecosystem: An organizational unit consisting of an aggregation of plants, animals (including humans) and microorganisms, along with non-living components of the environment. *Ecosystem Function*: An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy.
Ecosystem Structure: Pattern of the interrelations of organisms in time and in spatial arrangements. Attributes related to the instantaneous physical state of an ecosystem; examples include species population density, species richness or evenness, and standing crop biomass.

(2) **Ecosystem Approach to Fisheries:** An extension of conventional fisheries management recognizing more explicitly the interdependence between human well-being and ecosystem health and the need to maintain ecosystems productivity for present and future generations, e.g. conserving critical habitats, reducing pollution and degradations, minimizing waste, protecting endangered species. The purpose of an ecosystem approach to fisheries is to plan, develop and manage fisheries in a manner that addresses the multiplicity of societal needs and desires, without jeopardizing the options for future generations to benefit from a full range of goods and services provided by marine ecosystems. An ecosystem approach to fisheries strives to balance diverse societal objectives, by taking account of the knowledge and uncertainties about biotic, abiotic and human components of ecosystems and their interactions and applying an integrated approach to fisheries within ecologically meaningful boundaries.

(1) **Enhancement activities**: please refer to the definition of Enhanced fisheries.

(1) **Enhanced fisheries**: Fisheries that are supported by activities aimed at supplementing or sustaining the recruitment of one or more aquatic organisms and raising the total production or the production of selected elements of a fishery beyond a level which is sustainable by natural processes. Enhancement may entail stocking with material originating from aquaculture installations, translocations from the wild and habitat modification.

(1) **Endangered (threatened with extinction):**

1 - Endangered Species is used as an Element within the GSSI Benchmark Tool and is explained below. The related term “Threatened” appears in the text of two Indicators as an example of bycatch species that are particularly vulnerable. The phrase “threatened…with serious risk of extinction” appears in the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (paragraph 31.1).

2 - Endangered: Taxa in danger of extinction and whose survival is unlikely if causal factors continue operating. Included are taxa whose numbers have been drastically reduced to a critical level or whole habitats have been so drastically impaired that they are deemed to be in immediate danger of extinction. Also included are those that possibly are already extinct, in so far as they definitely have not been seen in the wild in the past 50 years.

3 - Threatened with extinction: A category of organisms listed in CITES Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics, such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction, and vulnerability due to aggregating habits, natural fluctuations in population size (dimensions of time and magnitude) , residency/migratory patterns. This makes it impossible to give numerical values for population size or area of distribution that are applicable to all taxa.

“Protected” refers generally to any plant or animal that a government declares by law to warrant protection; most protected species are considered either threatened or endangered. A species that is recognised by national legislation, affording it legal protection due to its population decline in the wild. The decline could be as a result of human or other causes.

(1) **Essential habitat**: Habitat for a fish is the environment in which it lives, including everything that surrounds and affects its life: e.g., water quality; bottom; vegetation; associated species (including food supplies). Essential fish habitat (EFH) is those waters and substrate necessary to fish for spawning, breeding, feeding, or growth to maturity.”

(7) **Fish stock:** The living resources in the community or population from which catches are taken in a fishery. Use of the term fish stock usually implies that the particular population is more or less isolated from other stocks of the same species and hence self-sustaining. In a particular fishery, the fish stock may be one or several species of fish but here is also intended to include commercial invertebrates and plants.

(2) **Fishery:** A unit determined by an authority or other entity that is engaged in raising and/or harvesting fish. Typically, the unit is defined in terms of some or all of the following: people involved, species or type of fish, area of water or seabed, method of fishing, class of boats and purpose of the activities.

(7) **Fisheries Management Organization or Arrangement (FMO):** Institution responsible for fisheries management, including the formulation of the rules that govern fishing activities. The fishery management organization, and its subsidiary bodies, may also be responsible for all ancillary services, such as the collection of information, its analysis, stock assessment, monitoring, control and surveillance (MCS), consultation with interested parties, application and/or determination of the rules of access to the fishery, and resource allocation. Also called: Fishery management arrangement.

(2) **Fishery Management Plan**: A fisheries management plan is a formal or informal arrangement between a fishery management authority and interested parties which identifies the partners in the fishery and their respective roles, details the agreed objectives for the fishery and specifies the management rules and regulations which apply to it and provides other details about the fishery which are relevant to the task of the management authority.

(8) **Illegal, Unreported and Unregulated fishing (IUU):**

1 – Illegal fishing refers to fishing activities:

• Conducted by national or foreign vessels in waters under the jurisdiction of a State, without the permission of that State, or in contravention of its laws and regulations;

• Conducted by vessels flying the flag of States that are parties to a relevant regional fisheries management organisation but operate in contravention of the conservation and management measures adopted by that organisation and by which the States are bound, or relevant provisions of the applicable international law; or

• In violation of national laws or international obligations, including those undertaken by States cooperating with a relevant regional fisheries management organisation.

2 - Unreported fishing refers to fishing activities:

• Which have not been reported, or have been misreported, to the relevant national authority, in contravention of national laws and regulations; or

• Undertaken in the area of competence of a relevant regional fisheries management organisation which have not been reported or have been misreported, in contravention of the reporting procedures of that organisation.

Unregulated fishing refers to fishing activities:

• In the area of application of a relevant regional fisheries management organisation that are conducted by vessels without nationality, or by those flying the flag of a State not party to that organisation, or by a fishing entity, in a manner that is not consistent with or contravenes the conservation and management measures of that organisation; or

• In areas or for fish stocks in relation to which there are no applicable conservation or management measures and where such fishing activities are conducted in a manner inconsistent with State responsibilities for the conservation of living marine resources under international law.

(1) **Irreversible or very slowly reversible**: Irreversibility is the quality of being impossible or difficult to return to, or to restore to, a former condition (see also Reasonable time frame (for restoration of stocks)). Examples of slowly reversible or irreversible effects of fishing are recruitment overfishing (reduced age structure with consequences to the quality of spawning), genetic modification, changed ecological role such as in food-web dynamics, and excessive depletion of very long-lived organisms. Serious or Irreversible Harm: Impacts that

compromise ecosystems integrity (i.e. ecosystem structure or function) in a manner that:

i. impairs the ability of affected populations to replace themselves;

ii. degrades the long-term natural productivity of habitats; or

iii. causes, on more than a temporary basis, significant loss of species richness, habitat or community types.

(2) **Limit Reference Point:** Indicates the limit beyond which the state of a fishery and / or a resource is not considered desirable. Fishery development should be stopped before reaching it. If a LRP is inadvertently reached, management action should severely curtail or stop fishery development, as appropriate, and corrective action should be taken. Stock rehabilitation programmes should consider and LRP as a very minimum rebuilding target to be reached before the rebuilding measures are relaxed or the fishery is re-opened". If a LRP is well established, he probability to reach inadvertently is very low and indeed below a formally agreed level.

(1) **Management objectives**: A formally established, more or less quantitative target that is actively sought and provides a direction for management action. According to the Fishery Manager's Guidebook: "the term 'objective' is used to mean the object of an action, or what is intended to be achieved. Describing an objective will typically require a more precise description of the desired end point than for a goal. An objective must include explicit statements against which progress can be measured and it is helpful to think in terms of SMART objectives, that is, objectives should be Specific, Measurable, Achievable, Relevant and Time-bound. A goal may therefore be, for example, to harvest a particular stock sustainably. One of the objectives necessary to achieve this goal could be to ensure that fishing mortality does not lead to a reduction in the biomass of the stock below the biomass capable of producing maximum sustainable yield."

(1) **Management system:** The framework of processes and procedures used to ensure that an organization can fulfil all tasks required to achieve its objectives. Element used to refer to a Management System domain element. It contains the domain elements such as Management authority, Jurisdiction, Fishery Management Unit, which altogether enable positive Referencing of a Management System. Includes, but is not restricted to, agencies or entities involved in the management of the fishery, the legislative framework within which the fishery is undertaken, the management measures implemented and the processes and procedures that enable the collective functioning of the various components.

(1) **Maximum Sustainable Yield (MSY):** 1 - The highest theoretical equilibrium yield that can be continuously taken (on average) from a stock under existing (average) environmental conditions without affecting significantly the reproduction process. Also referred to sometimes as potential yield. 2 - It is estimated from surplus production models (e.g. Schaefer model) and other methods. In practice, however, MSY, and the level of effort needed to reach it are difficult to assess. Referred to in UNCLOS, it is an essential fisheries management benchmark but it is also only one of the possible Management reference points, considered also as an international minimum standard for stock rebuilding strategies (i.e. stocks should be rebuilt to a level of biomass which could produce at least MSY).

(1) **Overfished:** A stock is considered "overfished" when exploited beyond an explicit limit beyond which its abundance is considered "too low" to ensure safe reproduction. In many fisheries fora the term is used when biomass has been estimated to be below a limit biological reference point that is used as the signpost defining an "overfished condition".

(1) **Overfishing (including recruitment overfishing)**: Overfishing – A generic term used to refer to the state of a stock subject to a level of fishing effort or fishing mortality such that a reduction of effort would, in the medium term, lead to an increase in the total catch. Often referred to as overexploitation and equated to biological overfishing, it results from a combination of growth overfishing and recruitment overfishing and occurs often together with ecosystem overfishing and economic overfishing. Recruitment Overfishing – A situation in which the rate of fishing is (or has been) such that annual recruitment to the exploitable stock has become significantly reduced. The situation is characterized by a greatly reduced spawning stock, a decreasing proportion of older fish in the catch, and generally very low recruitment year after year. Growth Overfishing – Occurs when too many small fish are being harvested too early, through excessive fishing effort and poor selectivity (e.g. too small mesh sizes) and the fish are not given enough time to grow to the size at which the maximum yield-per-recruit from the stock would be obtained. A reduction of fishing mortality on juveniles, or their outright protection, would lead to an increase in yield from the fishery.

(1) **Participatory**: It is defined in the Merriam-Webster Dictionary as characterized by or involving participation; especially: providing the opportunity for individual participation. A participatory approach to fisheries management requires there to be an opportunity for all interested and affected parties to be involved in the management process. This does not mean that stakeholders are required to have specific decision rights in the fishery, but there should be a consultation process that regularly seeks and accepts relevant information, including traditional, fisher or community knowledge and there is a transparent mechanism by which the management system demonstrates consideration of the information obtained. Consultation processes must be inclusive and provide opportunities for interested and effected parties to be involved. A participatory approach further requires that all major stakeholders have been identified and that the functions, roles and responsibilities of the key organisations and individuals involved in the management process are explicitly defined and well understood.

Participatory management. Any form of management involving a degree of stakeholder participation. Co-management is a specific form of participatory management in which there is a sharing of decision-making power between the state and the stakeholders.

(1) **Precautionary approach to fisheries management:** The precautionary approach involves the application of prudent foresight, taking account of the uncertainties in fisheries systems and the need to take action with incomplete knowledge. It requires, inter alia:

i consideration of the needs of future generations and avoidance of changes that are not potentially reversible;

ii prior identification of undesirable outcomes and of measures that will avoid them or correct them promptly;

iii that any necessary corrective measures are initiated without delay, and that they should achieve their purpose promptly, on a timescale not exceeding two or three decades;

iv that where the likely impact of resource use is uncertain, priority should be given to conserving the productive capacity of the resource;

v that harvesting and processing capacity should be commensurate with estimated sustainable levels of resource, and that increases in capacity should be further contained when resource productivity is highly uncertain;

vi all fishing activities must have prior management authorization and be subject to periodic review;

vii an established legal and institutional framework for fishery management, within which management plans that implement the above points are instituted for each fishery, and

viii appropriate placement of the burden of proof by adhering to the requirements above (FAO, 1996, para 6).

(1) **Regional fisheries management organization (RFMO):** Regional Fisheries Management Organizations (RFMOs) have a management mandate and play a unique role in facilitating international cooperation for the conservation and management of fish stocks. These organizations present the only realistic means of governing fish stocks that occur either as straddling or shared stocks between zones of national jurisdiction or between these zones and the high seas, or exclusively on the high seas. RFMOs adopt fisheries conservation and management measures that are binding on their members.

(1) **Resilience**: Resilience is the capacity of a system to absorb disturbance and reorganize while undergoing change, so as to still retain essentially the same function, structure, identity and feedbacks of regulation mechanisms.

(2) **Shark finning**: The practice of removing fins and discarding the carcass, usually pertaining to sharks.

(1) **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.

(1) **Stock under consideration**: The "stock under consideration" exploited by the unit of certification may be one or more biological stocks as specified by the stakeholders for certification. The certification applies only to products derived from the "stock under consideration". In assessing compliance with certification standards, the impacts on the "stock under consideration" of all the fisheries utilizing that "stock under consideration" over its entire area of distribution are to be considered.

(2) **Target Reference Point:** Corresponds to a state of a fishery and / or a resource which is considered desirable. Management action, whether during a fishery development or a stock rebuilding process should aim at bringing and maintaining the fishery system at this level. In most cases a TRP will be expressed in a desired level of output for the fishery (e.g. in terms of catch) or of fishing effort or capacity and will be reflected as an explicit management objective for the fishery.

(4) **Turtle Excluder Device (TED)**: A TED is a grid of bars with an opening either at the top or at the bottom of the trawl net. The grid is fitted into the neck of a shrimp trawl. Small animals such as shrimp pass through the bars and are caught in the bag end of the trawl. When larger animals, such as sea turtles and sharks, are captured in the trawl, they strike the grid bars and are ejected through the opening.

(5) **Vulnerable marine ecosystems (MVEs):**

- Vulnerability is related to the likelihood that a population, community, or habitat will experience substantial alteration from short-term or chronic disturbance, and the likelihood that it would recover and in what time frame. These are, in turn, related to the characteristics of the ecosystems themselves, especially biological and structural aspects. VME features may be physically or functionally fragile. The most vulnerable ecosystems are those that are both easily disturbed and very slow to recover, or may never recover.

- The vulnerability of populations, communities and habitats must be assessed relative to specific threats. Some features, particularly those that are physically fragile or inherently rare, may be vulnerable to most forms of disturbance, but the vulnerability of some populations, communities and habitats may vary greatly depending on the type of fishing gear used or the kind of disturbance experienced.
- The risks to a marine ecosystem are determined by its vulnerability, the probability of a threat occurring and the mitigation means applied to the threat.

AB: Accreditation Body;
AG: Audit Group;
AGL: Audit Group Leader;
AU: Auditor;
CA: Corrective action;
CAR: Corrective action report;
CB: Certification Body;
CO: Unit of certification (owner or manager) requesting the certification;
CoC: Chain of Custody;
FOS-Aqua: Certification criteria for sustainable freshwater aquaculture;
FOS-FF: Certification criteria for sustainable fish feed;
FOS-FM: Certification criteria for sustainable fishmeal;
FOS-FO: Certification criteria for sustainable fish oil;
FOS-O3: Certification criteria for sustainable fish-based nutraceutical products (Omega3);
FOS-Wild: Certification criteria for sustainable seafood from wild fisheries;
IAF: International Accreditation Forum;
ILO: International Labour Organization;
MS: Management system;
NC: Non-conformity;
SQRT: Square root;
TC: Technical committee.

1.5. Friend of the Sea Certification System

The Friend of the Sea certification program allows for the assessment of fisheries and aquaculture products according to sustainability criteria and requirements.

The Friend of the Sea certification system is defined by the following documents:

1. **Certification procedure (FOS 0001):** description of procedures and regulation of the certification and accreditation process for COs and CBs. This includes 1) rules and regulations for the accreditation of CBs; 2) rules and regulations for the certification of COs against FOS standards; 3) minimum qualifications of auditing staff.
2. **Standards:** documents that contain criteria and indicators in the form of a checklist for ensuring sustainable seafood production and seafood traceability. A complete list of standards can be found in section 1.6.
3. **Audit Guidance:** guidance document to provide clarification and training to auditors, enabling CBs to operate in a consistent manner.

Therefore, the present document is an integral part of the FOS Standard and shall be applied together with the standards and the FOS 0001 procedure to all FOS audits, without any exception.

The procedure to follow for the certification of FOS standards, from the assessment to the issue of certificates, is described in detail in chapter 3 of FOS 0001. The assessments shall be carried out following the standards documents, appropriate for the production type, provided by FOS. The auditor shall complete all parts of the standard document during the assessment and provide corrective action reports (CARs) when NCs are detected.

1.6. Friend of the Sea standards

Summary of FOS seafood standards, versions, scope and validity.

Standard	Current version	Scope	Valid from	Compulsory from
FOS Aqua Marine	Rev. 2 03/11/14	Marine aquaculture	03/11/2014	03/11/2015
FOS Aqua Inland	Rev. 3 18/10/16	Inland (pond and tanks) aquaculture	18/10/2016	18/10/2017
FOS Aqua Shellfish	Rev. 3 16/06/2016	Shellfish aquaculture	16/06/2016	16/06/2017
FOS CoC	Rev. 5 24/10/16	Chain of Custody	15/02/2017	15/02/2018
FOS FO, FF, FM, O3	Rev. 5 24/10/16	Fish oil, fish feed, fishmeal, omega 3	15/02/2017	15/02/2018
FOS Wild	Rev. 4*	Wild catch fisheries	To be defined	To be defined

* Under revision.

2. Audit guidance

2.1. General requirements for the audit process

The auditor shall contact the unit of certification well before the on-site inspections to collect and review all the documentation necessary to assess compliance to FOS standards. Details of how to prepare and implement this first part of the audit process are given in chapter 3 of FOS 0001. All audits shall be carried out in compliance to ISO 19011. Prior to the audit date, an auditor shall review all the relevant documentation possible to reduce the onsite visit duration, including corrective actions and past audit findings. During an audit, the auditor needs to see evidence that the processes are implemented in accordance to the standard's requirements.

To be recommended for certification by the CB, the unit of certification shall not have open major NCs. In addition, the unit of certification shall elaborate a corrective action plan to come into compliance with all minor NCs, which are verified in the surveillance audit. An exception is only made for those requirements that are not applicable due to a specific type of activity (*e.g.* requirements for tuna fisheries are not applicable to fisheries targeting species different from tuna). The auditor decides independently whether the unit of certification is fully compliant based on the evidence collected before and during the audit. Recommended indicators are not compulsory to achieve the certification. Nonetheless, all the aspects related to these indicators shall be reviewed and any NCs detected shall be highlighted in the audit report as a "recommendation". The auditor is responsible for assessing and reporting the implementation of recommendations during the subsequent audit. **Downgrading the level of any requirement**, *e.g.* changing classification of an important requirement to a recommendation, **is not permitted under any circumstance.**

- Only Y, N and N.A. are considered acceptable answers to the requirement followed by respective comments.
- The CB shall submit to FOS all information and data that are part of the assessment and surveillance process together with the audit report.
- The auditor shall attach complete documents in PDF format. Clear reference of paragraph and page number shall be included in the report.

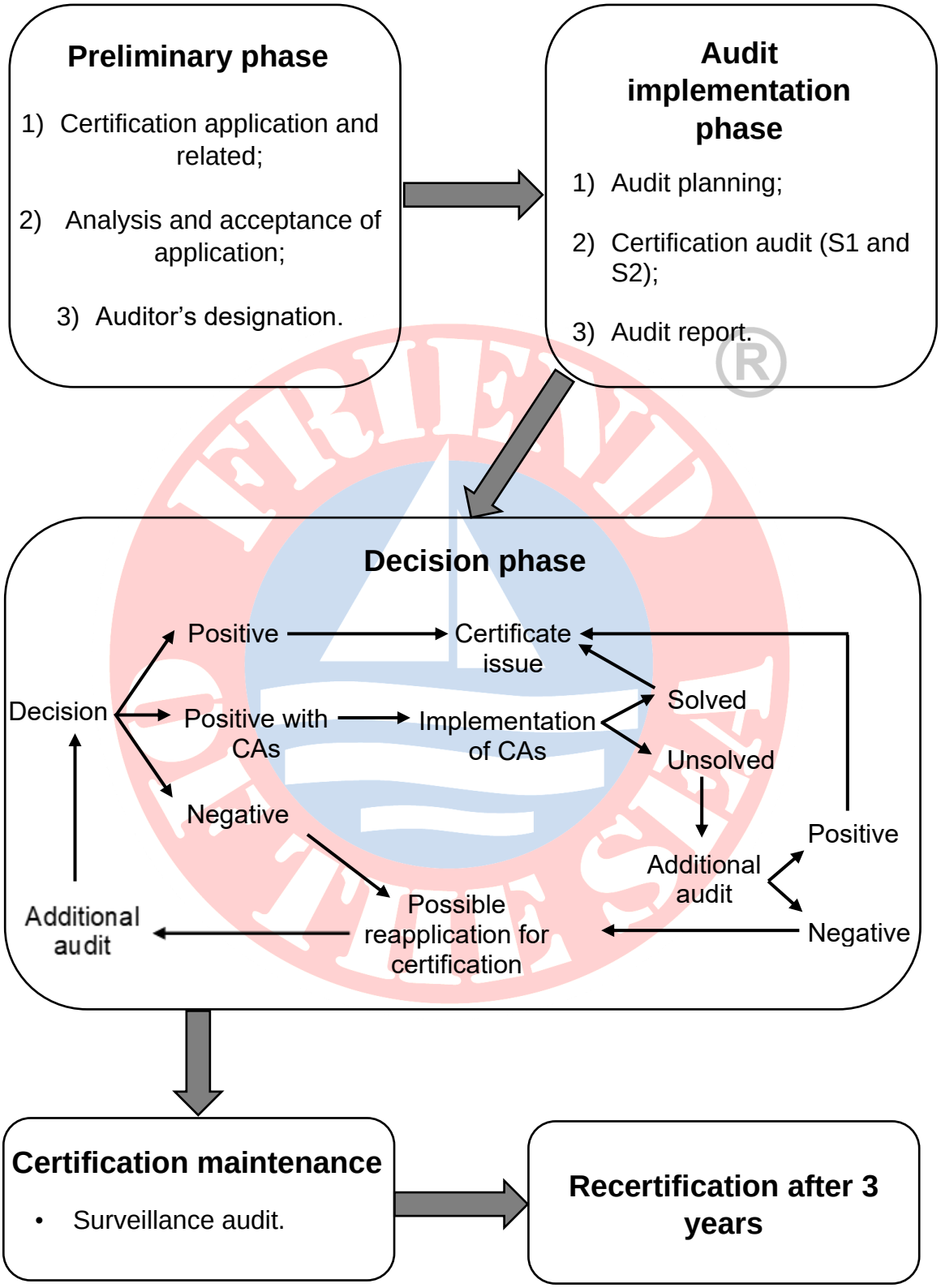


Figure 1. Steps for issuance and maintenance of certification.

Opening meeting, gathering information

All audits shall begin with an opening meeting, in which auditors shall confirm with the client at least:

- The audit plan, including how the audit activities will be undertaken and any visits to vessels, sites and/or subcontractors;
- The access required and the type of information and documentation needed;
- The proposed scope of certification, including the complete list of vessels, farming sites, processing sites to be included in the certification;
- The list of certified suppliers and of any subcontractors that are or will be handling certified products, identifying which ones are independently certified.

Methods for gathering evidence during the audit include:

- Interviewing relevant personnel;
- Inspection of records and written procedures;
- Observation of ongoing activities;
- Photos.

Types of documental evidence that shall be gathered and reported during the audit include:

- Procedures, including operational procedures, management review and other relevant reports;
- Internal audits, corrective and preventive action records;
- Quality and management objectives;
- Statements and meeting records;
- Audit records;
- Key Performance Indicators (KPI) and process monitoring records;
- Purchasing records, sales receipts and supplier payment records;
- Employee training records.

Closing meeting

Auditors shall conduct a closing meeting at the conclusion of each audit with the applicant's representative(s) to verify that the applicant understands:

- Any actions the client may have to complete and their timeframes before certification can be awarded;
- That all CAs addressing major NCs shall be implemented and verified by the auditor before the certification can be awarded;

- That proposal(s) of implementation of any minor NC(s) shall be presented to the CB and approved by the auditor before the certification can be awarded;
- That until the certification process is concluded and the certificate is issued, the applicant is not certified and cannot make any claim concerning certification;
- That the client must inform the CB and FOS of any significant future changes that affect certification;
- That the scope, subcontractor and supplier list is correct and agreed.

2.2. FOS CoC – Criteria and Indicators for the Certification of the Traceability of Friend of the Sea products

2.2.1. Scope

FOS Chain of Custody (FOS CoC) requirements are for CBs' use when assessing the traceability systems of producers and processors of FOS certified products deriving from sustainable fish farms and fisheries. CoC certification is required for all organisations processing certified products that wish to make a claim that the seafood they are processing comes from a sustainable source that has been certified to FOS standards. CoC certification is not required for organisations trading or handling a certified product after it is placed into tamper-proof packaging.

The CB shall determine if the systems of tracking and tracing in the unit of certification under assessment are sufficient to ensure all fish and fish products identified and sold as certified by the unit of certification under assessment originate from certified production systems.

The FOS CoC Standard includes the FOS FO, FM, FF and O3 Standard in sections 4 and 5. The requirements included in these sections are only applicable in the case of CB's inspecting an organisation producing and/or processing fish oil, fishmeal and fish feed from FOS-certified seafood. For companies encapsulating certified fish oil into nutraceutical products (*i.e.* omega 3 capsules), only the FOS CoC Standard is necessary. See section 2.3 of this document for guidance on FOS FO, FM, FF and O3 Standard.

2.2.2. Unit of certification

The unit of certification consists of all economic operators who take legal ownership of the FOS certified seafood product and/or all seafood products derived therefrom. Economic operators are considered to be legal owners if they sell certified products under their own private label. Applicants that do not take ownership can choose to become certified if they wish. Organisations that are trading or handling products from certified fisheries or farms but do not ever identify or sell these products as 'certified' will not require CoC certification.

2.2.3. General instructions for the auditor

Only fish and fish products originating from producers positively assessed against FOS Wild, FOS Aqua or FO, FM, FF and O3 standards may enter into certified chains of custody

and be eligible to be sold as FOS certified or carry the FOS ecolabel. The auditor shall provide in the 'Description of the organisation' section the list of all seafood species contained in the final product, their respective certified suppliers and the complete list of production and/or processing sites included in the scope of the certification.

The CB shall identify and document:

- **a)** The source of raw material;
- **b)** The point of intended change of ownership of product;
- **c)** The point from which subsequent Chain of Custody is required.

Appropriate records that demonstrate the traceability of certified fish or fish products back to FOS certified producers shall be maintained. The CB shall identify and document any areas of risk for the integrity of certified products and how they are managed and mitigated. For each risk factor, there shall be a description of the risk present and details of the mitigation or management of risk. All the economic operators in the unit of certification shall be inspected during the audit and clearly listed in the audit report and certificate (at the discretion of the certificate holder).

For all the traceability requirements, the auditor shall review the content and implementation of procedures relevant to CoC and describe them briefly in the audit report, with clear reference to attached documentation. Examples of procedures could include written protocols for maintaining segregation, procedures of purchasing of certified products, employee training manuals, etc.

During the audit, auditors shall review records relating to the receipt, sale and any applicable physical handling of the products listed in the proposed scope. For each of the activities listed in the proposed scope, the CB shall collect and review evidence that the applicant's management system and procedures, as recorded and implemented, meet the requirements of the CoC Standard. For clients with multiple sites, the auditor shall crosscheck evidence seen at the central office with procedures and activities observed at operational sites.

2.2.4. CoC certification requirements

Traceability

The following set of requirements refer to the identification, traceability and verification of sustainability characteristics of FOS certified products.

	Requirement	Level
1.1	**The organisation identifies each product and each batch uniquely**	**Essential**

The auditor shall list what method and which system either administrative, physical or both is used for unique identification of the consignment. To verify this requirement, the auditor shall follow at least one sample of consignment in different stages of the process and trace it back (to the supplier/raw material) and forward (to the point of sale) asking for the documents, records and or data entry of the consignments. The auditor shall report on this traceability check in the 'Traceability Check' section, at the end of the checklist.

In the case of its being difficult to identify a consignment, due to continuous processing and tanks or warehouses continually receiving inputs and being dispatched, the economic operator is required to keep data about the day and time of the inputs and outputs. It is acceptable that the consignment number is the day and time for identification and traceability.

If the organisation is not handling products listed in the proposed scope at the time of the audit, the auditor can collect evidence that the system in operation conforms to the FOS CoC Standard for one or more sample products similar to those in the proposed scope.

	Requirement	Level
1.2	**A specific traceability system exists, ensuring that the product audited respects all the requirements of this standard and that there is no possibility of mixing with non-certified products**	**Essential**

Auditors shall establish that appropriate measures are taken by the organisation to segregate, identify and prevent mixing between certified and non-certified product. If subcontractors are used, auditors shall verify that appropriate systems are in place to ensure identification and traceability of certified products at point of dispatch and receipt (see requirement 1.7).

The principle of traceability is that each economic operator in the CoC is responsible for the data supplied in the product declarations submitted to the next economic operator. Final certified products shall be traceable from the dispatch area of the producer until the next owner. At each point of transfer from one owner to the next, it shall be traceable who the supplier is, who the client is and who is responsible for transport and storage.

The auditor shall verify and describe the traceability system during the traceability check, as for the previous requirement. For full compliance, the contract between the supplier and the next owner details which party is responsible for the product, both parties and the transporters keep a signed copy of the legal transport documents. The auditor shall collect all evidence and attach them to the final report. Examples of evidence are labelled samples and protocols for traceability procedures.

Requirement		Level
1.3	**The organisation provides detailed identification of the origin of products, including vessel name, fishing area and fishing gear, or aquaculture plant and site.**	**Essential**

The auditor shall verify this requirement while tracing back and forward the specifications through the CoC together with the samples, as for requirement 1.1 and 1.2. All trade units shall be identified by unique codes to ensure traceability. The auditor shall verify that the consignments are identified by unique numbers and verify that the identification system does not allow for parts of the chain that may have the same number. Each of the actors involved in the distribution chain in the scope of certification shall generate and hold the information necessary for traceability. The information is to be held on paper or electronically, keyed to the unit IDs.

The trade unit ID shall contain a minimum of the following information:

For wild catch products:

a) Vessel ID: flag state, name and registration number of the vessel;

b) Species: scientific name or FAO 3 alpha code or Taxonomic Serial Number;

c) Area/Country of origin: FAO area/RFMO area from marine fish or country of origin for fish from inland waters;

d) Fishing gear: FAO alpha code.

For farmed products:

a) Species: scientific name or FAO 3 alpha code or Taxonomic Serial Number;

b) Country of origin;

c) Production method.

For fish oil, fishmeal and nutraceutical products:

a) Species: scientific name or FAO 3 alpha code or Taxonomic Serial Number;

b) Country of origin;

c) Supplier.

	Requirement	Level
1.4	**The organisation carries out minimum once a year a training course for the employees involved in the maintenance of the Chain of Custody, to achieve and maintain appropriate knowledge.**	**Important**

The auditor shall collect any evidence of any training, workshop or course organised by the applicant to train all staff involved in the maintenance of the CoC. To verify this requirement, auditors may interview the personnel responsible to verify their competency in understanding and applying the traceability system. In the case of non-availability of written records of trainings courses, auditors shall interview at least one individual per site visited and shall record their name or role and an assessment of their level of competency in the audit checklist. Interviews shall be used to determine whether personnel understand the relevant process or procedure that ensures conformity with the CoC Standard. Refer to ISO 19011 for guidance on interviewing.

	Requirement	Level
1.5	**The organisation checks the functionality of the traceability system at least once a year.**	**Important**

The auditor shall collect any evidence of the traceability system check. This may be written procedures, records, or performance reports. The auditor shall also report the date of the last implementation of the system check.

	Requirement	Level
1.6	**A product recall procedure exists and is tested minimum once a year.**	**Essential**

The auditor shall briefly describe the procedure and collect any evidence of the existence and implementation of a product recall procedure. The auditor shall report the date of the last test and attach all the evidence to the audit report.

	Requirement	Level
1.7	**The organisation demonstrates that all CoC requirements reported in the CoC standard are met by all its subcontractors.**	**Important**

The auditor shall document the names of any proposed subcontractors that would be handling certified products and whether each subcontractor is certified. If the applicant intends to use certified subcontractors, the auditor shall check that the proposed subcontractor's scope includes the relevant activities. If the subcontractors are not certified nor included in the scope of certification, the auditor shall collect evidence that all FOS CoC requirements are met by all the organisation's subcontractors.

If the client is carrying out contract processing activities for certified products, the auditor shall review the relevant procedures to ensure that contract processing is undertaken in conformity with FOS CoC requirements.

If the subcontractor is already handling products for the client, the auditor shall cross-check a sample of dispatch and receipt records, product details and volumes from the client and subcontractor.

If the organisation has no subcontractor, the auditor shall insert N/A in the comments area. 'Subcontractors' here does not include transportation and those not directly involved in the production process. See Glossary in Appendix A for definition.

The auditor may include the following records where relevant: bills of landing, invoices, delivery notes, health certificates / veterinary checks, catch certificates and purchase orders.

Requirement		Level
1.8	**The organisation shall keep records documenting compliance to all CoC requirements for a period that exceeds the shelf life of the certified product and the periodicity between audits.**	**Important**

The auditor shall verify that the organisation documents regularly compliance to all traceability criteria required by the present standard for a period that exceeds the shelf life of the certified product and the periodicity between audits. References to the reviewed documentation shall be made in the audit report and a brief description of the procedure may be included.

Requirement		Level
1.9	**The organisation uses FOS ecolabel only in association with products whose raw material is supplied by FOS certified suppliers.**	**Essential**

The auditor shall identify whether the applicant's actual or proposed suppliers are certified and verify the approved source of the product(s) during the on-site inspections. The auditor shall list all the suppliers in the audit report. The organisation is not required to have

identified all suppliers and is not required to be handling all of the products listed in the potential scope at the first certification audit. Nonetheless, this is a compulsory requirement during any surveillance and renewal audit.

If the applicant has listed suppliers that are not certified, the CB shall inform the client that suppliers need to be certified before the applicant can identify or label any products from the supplier as 'certified'. The list of certified companies is available on the FOS website (http://www.friendofthesea.org/certified-products.asp).

If the applicant uses the FOS logo on their own products or for a customer, the auditor shall verify that the client is authorised to use the trademark by confirming that:

a) The applicant can show a license agreement with FOS signed by both parties; and/or

b) The applicant can show proof of product approval from FOS for packaging designs for a sample of products.

In absence of proof, or where the applicant includes non-certified seafood ingredients in products sold as certified, the auditor shall contact FOS via quality@friendofthesea.org.

Requirement		Level
1.10	**The latest annual revenue declared by the organisation shall be verified by the auditor.**	**Essential**

When submitting the application form for requesting a quotation for certification costs, the organisation is asked to state the annual revenue of the previous year, choosing between the following ranges in EURO:

- 0–10.000
- 10.001–50.000
- 50.001–100.000
- 100.001–1 Million
- 1–50 Million
- 51–100 Million
- 101–200 Million, etc up to 500 Million and above.

This information is used to calculate the annual royalties paid by the organisation to FOS. The auditor shall revise documentation proving that the information provided is correct.

Management System

The requirements listed in this section are applicable only to producers and processors that are seeking group certification, *i.e.* the group, as a legal entity, is the certificate holder once certified. These requirements are not applicable when group members apply individually. It is recommended that the auditor request and review all the documentation relevant to the following requirements before the on-site audit, except for documents that are considered confidential. In this case, the information will have to be presented during the on-site audit. The term “management system” is defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
2.1	**There is documentation that clearly demonstrates that all the group members belong to the same management system.**	**Essential**

The auditor shall collect evidence that all the producers or processors under the certification scope belong to the same management system. There shall be written contracts in force between each member and the group entity, including group name and legal identification and producer name and legal identification. Other relevant documents may include internal audit reports, management procedures, internal register of approved members and licenses.

Requirement		Level
2.2	**The group undertakes internal inspections of all members, covering all products under the certification scope to ensure compliance with the certification requirements.**	**Recommended**

As the CB does not inspect all producers or production sites, but just a sample, the existence and implementation of internal inspections of all members by the group management system shall be verified by reviewing the appropriate documentation. It is not the responsibility of the CB to verify the compliance of each producer or processor to the management system; it is the organisation's.

Requirement		Level
2.3	**Records of the internal audit and follow up of corrective actions resulting from the internal audit shall be maintained and available**	**Recommended**

The auditors reviews and reports records of internal reviews, their frequency and documented procedures for the identification and evaluation of corrective actions to be undertaken.

Social accountability

The following requirements aim to ensure that the organisation applying for FOS CoC does not include any entity responsible for violations of labour laws. If the review of written documentation is not possible, the auditor can assess compliance to these requirements through staff interviews and observations of activities.

Requirement		Level
3.1	**The organisation shall respect human rights, complying to the following requirements:**	**Essential**
3.1.1	**Compliance with national regulations and ILO on child labour**	

The Minimum Age Convention 1973 (No. 138) sets "the general minimum age for admission to employment or work at 15 years (13 for light work) and the minimum age for hazardous work at 18 (16 under certain strict conditions)."

For the purpose of this standard, a child is defined as any person less than 15 years of age. A higher age would apply if the national minimum age law stipulates a higher age for work or mandatory schooling. If the local legal minimum age is lower than 15, in accordance with developing country exceptions under ILO Convention No.138, the lower age will apply.

The auditor shall ask the organisation to review copies of the official identification of all the employees, showing date of birth to assess compliance to this requirement. In addition, the auditor shall collect evidence that hazardous work is not performed by staff below age 18. This includes heavy lifting disproportionate to their size, operating heavy machinery, working night shifts and exposure to any toxic chemicals. For small family business, an exception to this requirement may be made, based on the assessment of the organisation.

Requirement		Level
3.1	**The organisation shall respect human rights, complying to the following requirements:**	**Essential**
3.1.2	**Pay the employees adequate salaries compliant at least with minimum legal wages.**	

The auditor shall ask the organisation to review copies of employees' contracts, wage records, working hours and pay slips signed by workers to assess full compliance. If the organisation is not in possession of legal documents showing minimum wages for the country where the organisation operates, the auditor shall gain this information independently and verify that employees are paid at least the minimum wage. This applies also to seasonal/casual workers.
The auditor shall also make sure that the organisation knows the minimum wage.

More information about ILO standards on wages can be found at http://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/wages/lang--en/index.htm

Requirement		Level
3.1	**The organisation shall respect human rights, complying to the following requirements:**	**Essential**
3.1.3	**Grant employees access to health care.**	

The auditor shall verify that the organisation grants all employees access to health care. Evidence of implementation of this requirement may be employee insurance covering wok-related medical expenses.

Requirement		Level
3.1	**The organisation shall respect human rights, complying to the following requirements:**	**Essential**
3.1.4	**Apply safety measures required by the law**	

The auditor shall verify what the local occupational safety regulation requires and collect evidence that all mandatory safety measures are respected by the organisation. If a national health and safety does not exist in the country where the organisation operates, the auditor shall verify and collect evidence that:

- Hazards and risks in the work environment are minimised;
- There are not immediate dangers to life;
- Safe drinking water is provided to all workers;
- Health and safety training courses are provided to all workers.

More information about ILO standards on occupational safety and health are available at http://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/occupational-safety-and-health/lang--en/index.htm

Traceability test

In this section of the report, auditors shall record the results of the traceability test relating to certified products (or similar non-certified products). A traceability test is a record-based trace of a consignment sold or ready for sale back to its related raw material(s) or supplier(s). The traceability test shall test that these records are available and link the consignment through each stage of receipt, production, processing and distribution, including handling at any subcontractors' facilities.

The test shall link input to output or vice versa through unique lots or delivery numbers, internal traceability records, purchase records (that identify the supplier(s), the lots or batches of purchase), handling records and supply records. Crosschecks of a sample of purchase records with delivery records and against the actual product received, where possible.

Auditors shall determine the number of samples or products to use for traceability tests, ensuring this sample is obtained during the on-site inspection, or during the same day as a remote audit and is in sufficient number to:

a. Take into consideration the range of different handling processes, species in scope and responsible parties;

b. Be confident that the system is effective for all the products listed in the potential scope;

c. Include checking traceability and/or volume records for products sent to and received from subcontractors, if applicable;

d. Include records of any contract processing where relevant.

The auditor shall carry out at least one traceability test involving an operations site during each audit. Additional traceability tests can be carried out based on the auditor's judgment. Ensure that a traceability test is always carried out back to point of purchase for any products selected for product sampling.

Examples of forward traceability evidence:

- Number of units manufactured on the day for each recalled product type;
- List of customers who were sold the affected product;
- The quantities of affected product that each customer received;
- Reports on any affected product that has yet to be sent to customers. These maybe still be stored in warehouse storage areas;
- Any write-offs or stock waste that occurred for the finished product;
- Reconciliation reports of units manufactured to units sold to waste to warehouse storage.

Examples of backward traceability evidence:

- Raw material supplier;
- Raw material receipt dates and quantities;
- Manufacturing recipes / formulations with quantities and raw materials used;
- Any rework or waste generated;
- Work in progress identification to raw material batching;
- Production records (including staff who were working on that shift).

2.3. FOS FOS-FF, FM, FO and O3 - Criteria and indicators for the certification of sustainable fish feed, fishmeal, fish oil and omega 3

2.3.1. Scope

FOS FF, FM, FO and O3 requirements are for the CB's use when assessing the production and traceability systems of producers and processors of fish feed, fishmeal, fish oil and omega 3 products deriving from sustainable fish farms and fisheries. This certification is required for all organisations producing or refining fish oil and omega 3, or producing fishmeal and fish feed. For companies encapsulating certified fish oil into nutraceutical products (*i.e.* omega 3 capsules), only the FOS CoC Standard is required (see section 2.2).

The FOS FO, FM, FF and O3 Standard is included in sections 4 and 5 of the FOS CoC Standard to facilitate the auditor's reporting activity, as both standards shall apply to fish oil production facilities.

2.3.2. Unit of certification

The unit of certification consists of all the operators involved in the production or processing of fish oil, fish feed, fishmeal and omega 3 products, that are not independently certified.

2.3.3. FOS FOS-FF, FM, FO and O3 certification requirements

As the raw material for the production of fish oil shall originate from certified fisheries and fish farms, auditors are requested to verify the sources of products and their traceability. Therefore, all the companies producing fish oil products shall be audited against both FOS CoC and FOS FOS-FF, FM, FO and O3 Standards.

The auditor shall list all the suppliers of raw material (*e.g.* crude fish oil), including those supplying by-products from fish processing operations.

Genetically modified organisms (GMO)

Requirement		Level
4.1	**The use of genetically modified organisms is prohibited**	**Essential**

The auditor shall verify that none of the ingredients used in the manufacturing of fish oil, fish feed and fishmeal derives from GMOs. This is applicable to all ingredients.

Source of fish oil ingredients

Requirement		Level
5.1	**Fishmeal, fish feed, fish oil, and omega 3 ingredients shall derive from any of the following:** **-Fish by-products from fish processing and or/aquaculture and/or discards;** **-Friend of the Sea certified fisheries or fleets;** **-Friend of the Sea certified suppliers of raw material.**	**Essential**

The auditor shall verify that all the ingredients the final product is made of derive from FOS certified raw materials, *i.e.* fish products from certified companies. Alternatively, fish by-products and bycatch can be included in fishmeal and fish oil as raw materials.

"*Fish by-products*" are raw materials originating from fish processing operations, and "*discards*" refer to all non-retained by-catch of fishing operations. Fish by-products can include fish cartilage, carapaces of crustaceans, shells, and whole fish that do not meet specifications for human consumption due to physical damage or quality substandard.

The auditor shall verify that the origin of the material is traceable back to the suppliers and that these are certified. The auditor shall review all the necessary documents proving the origin of all ingredients, such as traceability records and FOS certificates. The auditor reports all the relevant documents reviewed during the audit in the final report, together with the complete list of suppliers.

Requirement		Level
5.2	**Fish by-product shall not come from a species listed under 'Vulnerable' or worse categories on the IUCN Red list**	**Essential**

Fishery by-products shall not be taken from species listed by IUCN (the International Union for the Conservation of Nature) under the following categories:

- Vulnerable
- Endangered
- Critically endangered
- Extinct in the wild

This information can be found at http://www.iucnredlist.org/

2.4. FOS Wild – Sustainable Fishing Requirements

2.4.1. Scope

Sustainable fishing requirements are for the CB's use when assessing fisheries against the FOS Wild Standard. The standard is applicable to all operations engaged in the wild capture of marine or freshwater fish, molluscs and crustaceans (hereinafter referred to as "fish"), excluding enhanced fisheries and enhancement activities. Friend of the Sea has excluded enhanced fisheries and enhancement activities from its Wild Standard because, among other reasons, these practices imply human intervention in the natural biological cycles of aquatic species. Due to the lack of knowledge on the consequences of these practices on the environment, Friend of the Sea has decided to adopt a responsible approach. FOS Wild Standard is not a species-specific standard, and it is applicable to all fishing activities targeting any species of fish.

2.4.2. Unit of certification

(1) The "unit of certification" is the fishery for which ecolabelling certification is sought, as specified by the stakeholders who are seeking certification. The certification could encompass: the whole fishery, where a fishery refers to the activity of one particular gear type or method leading to the harvest of one or more species; a sub-component of a fishery, for example a national fleet fishing a shared stock; or several fisheries operating on the same resources. The "stock under consideration" exploited by this fishery (unit of certification) may be one or more biological stock(s) as specified by the stakeholders for certification. The certification applies only to products derived from the "stock under consideration". In assessing compliance with certification standards, the impacts on the "stock under consideration" of all the fisheries utilizing that "stock under consideration" over its entire area of distribution are to be considered.

2.4.3. General Instructions for the auditor

The auditor shall provide in the "Description of the unit of certification" section the list of all species (scientific and common names) and the complete list of fishing vessels under assessment. In fact, it will be possible to certify only the species and the vessels included in the scope of certification. Consequently, the unit of certification will be able to use the logo only in association with products originating from seafood caught by certified vessels.

Any change to species, vessels or production sites included in the scope of certification, to the sampling procedure and the initial quotation need to be notified in advance and approved by FOS.

The unit of certification needs to be contacted in time to confirm the scope of certification and agree on a date on which the sample of vessels to be inspected are at port. Guidance for the preliminary audit phase is provided in Appendix A. The auditor shall review all the information available and take his/her certification decision independently, based on the objective facts and best scientific data available.

Data are facts that result from measurements and observations. Only data that is relevant, reliable and up-to-date shall be used as supporting evidence of conformity to FOS Wild requirements. Only data and/or other information that delivers the best scientific evidence available shall be considered and reported in the audit report. The currency of data and information is important because their capacity for supporting reliable assessment of current status and trends declines as they get older. Data sources shall always be reported.

Where limited information is available, the auditors should be more precautionary in their assessment of information adequacy. Remote audits shall assess applicants against the same criteria and requirements as an on-site audit. If the audit is remote, this may be carried out either on a call, video conference or through an initial email exchange.

2.4.4. Stakeholders consultation in fishery assessments

CBs assessing companies against FOS Wild Standard shall actively seek stakeholders' input during the certification process. CBs are requested to inform all the relevant stakeholders about the audit of all companies seeking FOS Wild certification and recommend their input. The list of all contacted stakeholders (name, role and organisation) shall be provided in the audit report in the section l) of the FOS Wild Standard checklist.

The stakeholders to be informed about the certification process shall include a minimum of:

- **i)** The competent fishery management organisation (*e.g.* RFMO, national fishery management authority, etc.);
- **ii)** Fishing industry association (*e.g.* ship owners or fishermen representatives, national or state seafood industry association);
- **iii)** Local NGOs with a focus on ocean conservation or seafood sustainability.

FOS does not provide requirements for the CBs to follow during the process of information and consultation of stakeholders, as this process varies according to the circumstances and context of each fishery. The CBs can therefore use their preferred method to inform the relevant stakeholders, as long as the process is reported in the audit report. The information and consultation of stakeholders shall be considered an integral part of the preliminary audit phase.

2.4.5. FOS Wild certification requirements

Stock status

The following requirements refer to the status of the fish stock(s) targeted by the unit of certification. When more than one species is included in the scope of certification, the auditor shall report in detail the information about the status of all stocks for all requirements.

The auditor shall verify the agencies or entities involved in the management of the fishery, as well as the fisheries management organization or arrangement in charge of analysing the state of the stock under consideration. The terms “Fisheries Management Organization or Arrangement (FMO)” and “Regional Fisheries Management Organization (RFMO)” are defined in the Section 1.4 – Definition and Abbreviations. These two terms are here intended as the competent fisheries management authority. An overview of the RFMOs is represented in the Figure 2.

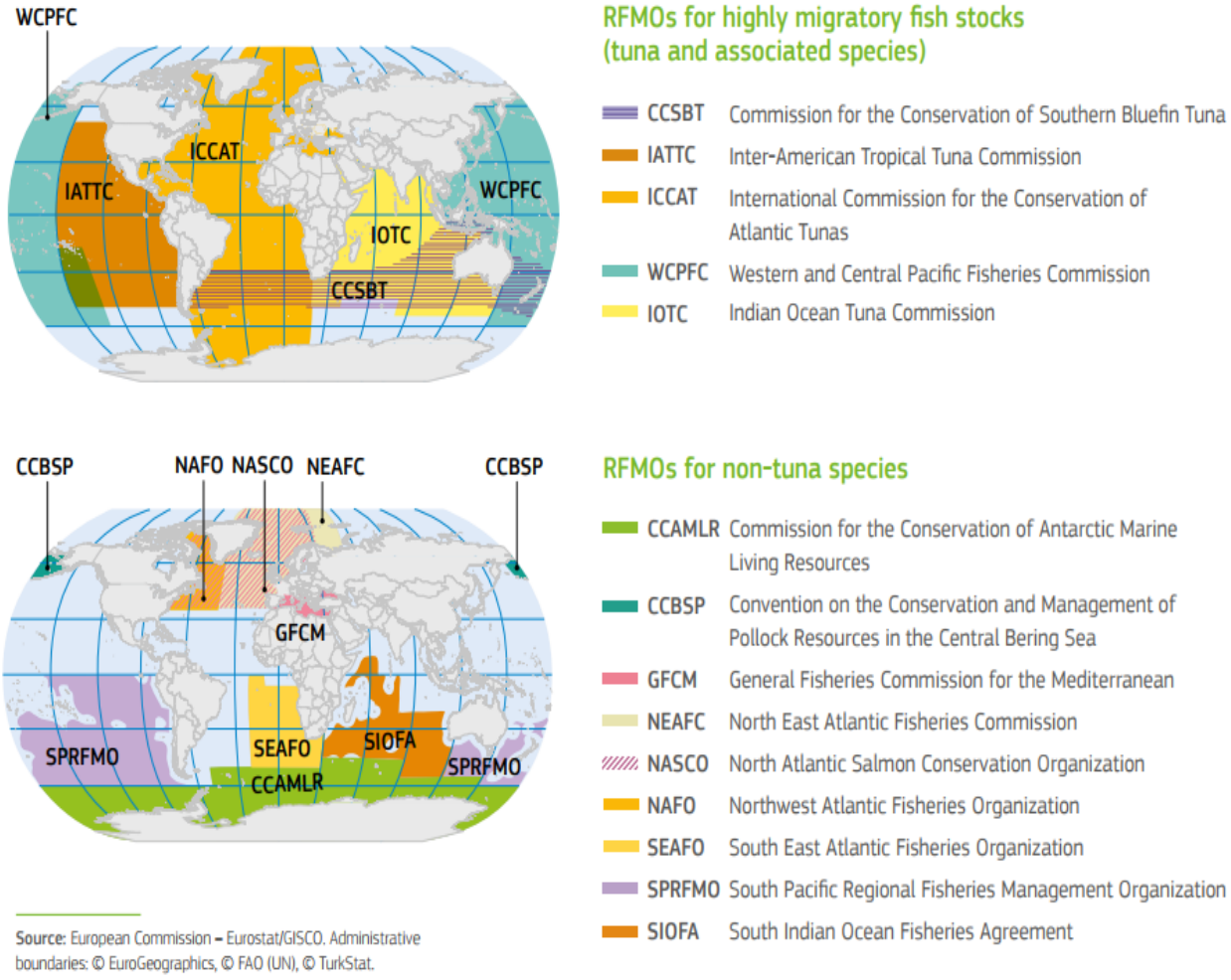


Figure 2. Competence areas of the Regional fisheries management organization (RFMO).

	Requirement	Level
1.1.1	**The fisheries management organization or arrangement shall coordinate the collection and analysis of adequate, reliable and current data and/or other information necessary to assess the state and trends of the stock under consideration taking into account the structure and composition of that stock which contribute to its resilience. Management decisions made by the fisheries management organization or arrangement shall be based on this assessment.** **In data limited situations, with special regards to the deep-sea fisheries stocks in the high seas, a precautionary approach shall be applied. In these cases, it is required to the fishery to acknowledge and explain challenges in data collection and maintenance to cover all stages of fishery development, in accordance with applicable international standards and practices.**	**Essential**

The fishery shall demonstrate it collects adequate, reliable and current data and /or other information in accordance with applicable international standards (e.g. Coordinating Working Party on Fishery Statistics, FAO Guidelines for the routine collection of capture fishery data, FAO Fisheries Technical Paper No. 382).

The auditor shall take into account the trophic position of the stock under consideration (*i.e.* the position in the food web) to ensure precaution in relation to its ecological role and resilience, in particular for key prey species (species that support a large proportion of the trophic connections of the ecosystem with significant predator dependency) and key predators. Any supporting evidence provided by the unit of certification shall be verified by means of independent research of official data and information.

Some fisheries and/or fish stocks are hard to monitor for various reasons, including remoteness of operation/distribution and complexity of fishing operations, posing particular challenges with the collection and maintenance of adequate, reliable and current data

and/or other information. Thus, in the case of data limited fisheries, the auditor shall consider the Precautionary Approach and provide evidence on the explanation provided by the fishery about the challenges faced in data collection and maintenance.
The terms “data (information): adequate, reliable, current”, “stock status”, “stock under consideration”, “resilience”, data limited fishery”, “deep-sea fisheries” and “precautionary approach” are defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
1.1.2	**The stock under consideration shall NOT be overexploited.**	**Essential**

An overexploited stock is a stock subjected to overfishing, *i.e.* to a level of fishing effort or fishing mortality (F) higher than the maximum rate of fishing mortality that allows for the maintenance of the population size at its reproductive capacity (maximum sustainable yield of fishing mortality, F_{MSY}). The terms “overfishing” and “maximum sustainable yield” are defined in the Section 1.4 – Definition and Abbreviations. Additional relevant content called “The development and diversity of reference points” is available at (FAO http://www.fao.org/docrep/003/v8400e/V8400E02.htm).

For a non-overexploited stock, the following condition shall be verified:
$F \leq F_{MSY}$ or $F/F_{MSY} \leq 1$.
When a stock is subjected to overfishing, the fishing effort must be reduced so the stock can rebuild to its target level and produce its maximum sustainable yield. Thus, the auditor shall report the level of F and F_{MSY} from studies based on the best scientific evidence available provided by the competent fisheries management authority. The data reported should preferably not be older than five years and shall not be older than 10 years.

If F and F_{MSY} data is not available, the auditor shall list the appropriate limit reference point used for fishing mortality by the competent fisheries management authority and its current value for the stock under consideration.

The auditor shall report the catch and mortality related to the unit of certification of all species taken by the unit of certification, together with the data sources used.

Requirement		Level
1.1.3	**The stock under consideration shall NOT be overfished.**	**Essential**

A stock is considered *overfished* when exploited beyond an explicit limit beyond which its abundance is considered too low to ensure reproduction, *i.e.* when biomass is estimated to be below a limit biological reference point. The term “overfished” is defined in the Section 1.4 – Definition and Abbreviations.

For a non-overfished stock, the following condition shall be verified:

$B \geq B_{MSY}$ or $B/B_{MSY} \geq 1$,

or $SB \geq SB_{MSY}$ or $SB/SB_{MSY} \geq 1$,

In which, B is the biomass of all the individuals in the stock under consideration, and B_{MSY} is the biomass that enables a stock to deliver the maximum sustainable yield. The surplus biomass that is produced by the population at B_{MSY} is the portion that can be harvested without reducing the population.

Spawning stock biomass (SB or SSB) is the total weight of the fish in a stock that are old enough to spawn (the biomass of all fish beyond the age or size class in which 50% of the individuals are mature). This may be used instead of biomass as a reference for overexploitation of a fish stock. Thus, the auditor shall report the level of B and B_{MSY} (or SB and SB_{MSY}) from studies based on the best scientific evidence available provided by the competent fisheries management authority. The data reported should preferably not be older than five years and shall not be older than 10 years. The term “best scientific evidence available” is defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
1.1.4	**The current status and management measures for the stock under consideration shall include data of bycatch, discards, unobserved mortality, incidental mortality, unreported catch, and catch of all the fisheries over the entire area of the distribution of the stock under consideration.**	**Essential**

The auditor shall take into account the best scientific evidence available and collect information on the status and management measures for the stock under consideration, including data of bycatch, discards, unobserved mortality, accidental mortality, unreported catch, and catch outside of the unit of certification. Any documented evidence of the implementation of this requirement shall be attached to the report and reference to the documentation shall be provided in the report. Alternatively, a link to the website where the information is published can be provided. The term “bycatch” is defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
1.1.5	**The methodology, the results and the trends of the stock status assessment under consideration shall be made publicly available in a timely manner and based on the best scientific evidence available, respecting confidentiality where appropriate.**	**Essential**

The method, the results and the trends used to assess the status of the stocks under assessment shall be published by competent fisheries management authority. In some cases, this can be made available also by other institutions. Any documented evidence of the implementation of this requirement shall be attached to the report and reference to the documentation shall be provided in the report. Alternatively, a link to the website where the information is published can be provided.

Ecosystem and habitat impact

The requirements in this section refer to '*habitat'* as the entire habitat associated with the unit of certification. This includes the full spatial range of the relevant habitat, not just a part of the spatial range that is potentially affected by fishing.

All sources of fishing activities can alter the ecosystem structure through direct damage to habitats by the fishing gear and through the effects of the removal of the target species on the dependent predators and preys of that species. The alteration of the structure can affect productivity and stability leading to disturbance of the ecosystem. Ecosystem effects of all sources of fishing include all the direct and indirect impacts of all sources of fishing operations on aquatic ecosystems, such as non-target catches, endangered species, dependent predators and prey, habitat and ecosystem structure. The structure of an ecosystem is given by the relationship between organisms and the environment.

Updated data is required to assess the effects of the unit of certification on:

1. **Ecosystem structure, function and processes** with special consideration of the role of the target species in the food web;
2. **Essential habitats** vulnerable to damage by fishing gear.

The terms "ecosystem (structure, function and function)" and "essential habitat" are defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
2.1	**Adequate, reliable and current data and/or other information are collected and updated at the level of the Fishery Management System, taking into account the best scientific evidence available, in order to make an assessment of the effects of the unit of certification on the ecosystem structure, function, processes and essential habitats for the stock under consideration and for habitats that are vulnerable to damage by the fishing gear of the unit of certification (with special consideration to deep-sea fisheries in the high seas and vulnerable marine ecosystems). This includes knowledge of the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing and an assessment on non-target stocks, Endangered, Threatened and Protected (ETP) species, habitats and ecosystem services.** **The methodology and results of the likelihood and magnitude of adverse impacts of the unit of certification on the ecosystem shall be made publicly available in a timely manner, respecting confidentiality where appropriate.** **In order to assess severe adverse impacts[1] on dependent predators, data and information shall be collected considering the role of the stock in the food web, including all sources of fishing.**	**Essential**

[1]Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible.

The terms “management system”, “vulnerable marine ecosystem” and “adverse impact” are defined in the Section 1.4 – Definition and Abbreviations. Additionally, [1]severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible.

Adequate, reliable and current data and/or other information is considered as knowledge within the Fishery Management System. The auditor shall identify and define the habitat affected by the activity of the unit of certification and any associated effect, damage and

vulnerability. Then, the auditor shall verify that current data about the ecosystem effects of all sources of fishing on both aspects are collected and maintained. Such information shall be adequate to determine the risk posed by the unit of certification to the essential habitats and ecosystem structure, function and processes. In addition, the auditor shall verify the effectiveness of the strategy to manage impacts on the essential habitat and ecosystem structure, function and processes. Evidence shall be gathered and provided in the report.

It is recommended that the auditor include a description of the habitat affected by all sources of the fishing activity that includes information about:

1) Substratum type (mud, fine sediments, coarse sediments, gravel/pebbles, boulders, bedrock, biogenic);
2) Geomorphology (flat, slopes, sea mounts, canyons, etc.);
3) Predominant communities (sponges, corals, bivalve beds, encrusting invertebrates, seagrass beds, etc.).

When assessing the status of habitats and the impacts of all sources of fishing, the auditor shall consider the full area managed by the local, regional, national, or international governance body(ies) responsible for fisheries management in the area(s) where the unit of certification operates.

The auditor shall verify that the methodology and results of the analysis of the most probable adverse impacts of the unit of certification on the ecosystem are made publicly available in a timely manner, respecting confidentiality where appropriate. The auditor shall also verify the knowledge within the fishery management system of the essential habitats for the stock under consideration and habitats that are highly vulnerable to damage by the fishing gear of the unit of certification. This knowledge shall be considered to assess the most probable adverse impacts, taking into account the best scientific evidence available, and traditional, fisher or community knowledge. The auditor shall review documented evidence of the assessment of the impact of fishing activities or any related study.

Requirement		Level
2.2	**The unit of certification complies with the Marine Protected Areas regulations.**	**Essential**

The auditor shall verify, through random sampling using vessel-tracking systems, such as Global Fishing Watching (https://globalfishingwatch.org/map/) and Vessel Finder (https://www.vesselfinder.com/) or valid alternative evidence, that the fishing activity is not carried out in infringement of Marine Protected Areas (MPA) regulation, *e.g.* fishing in protected areas. The auditor shall provide a list of Protected Marine Areas in the applicant's fishing area (refer to http://www.mpatlas.org/map/mpas/, where applicable). The presence of the use of a vessel monitoring system (VMS) also provides adequate supporting evidence for this requirement. The VMS is a satellite-based monitoring system, which at regular intervals provides data to the fisheries authorities on the location, course and speed of vessels.

Requirement		Level
2.3	**The unit of certification shall use fishing gears that do not affect the seabed, unless it is proved that such impact is negligible.**	**Essential**

The auditor shall list all the gear types used by the applicant unit of certification and assess their impact on the specific type of seabed and its benthic communities. In the case of multi-gear fisheries, the auditor shall indicate the gear used per each target species.

While assessing the gear-habitat interaction, the auditor shall consider:

- **a)** The likelihood of organisms being removed and killed by the fishing gear;
- **b)** The removability of substratum;
- **c)** The intensity of the fishing activity (over both temporal and spatial scales).

Below there is a list of fishing gear types ordered from the lowest impact to the highest impact on the seabed:

1. Hand collection;
2. Hand line;
3. Traps and pots;

4. Demersal longline;
5. Gill net or other entangling net;
6. Danish seine;
7. Demersal (bottom) trawl, including pair, otter twin-rig, otter multi-rig;
8. Dredge.

The seabed and benthic communities shall recover to their original conditions within a maximum of 30 days from the impact of the fishing gear on the seabed. The auditor shall consider the rate of recovery of the biota associated with the habitat using information on age, growth and recolonisation rates where available. Where information is not available for the unit of certification, reference shall be made to comparable data from studies elsewhere. In the case of the fishery under assessment affecting multiple habitats, all of them shall be considered during the assessment. Natural disturbance shall also be considered. Any supporting evidence provided by the unit of certification shall be verified by means of independent research into official data and information.

Gear selectivity

Professional fishing techniques and gear aim to maximise the catch of the target species, but fishermen do not only catch fish, shellfish, or crustaceans of the desired species and sizes. Untargeted catches may include other fish, some possibly of commercial interest, or other organisms such as starfish, jellyfish, protected birds or mammals. The more a fishing method leads to catching only what is targeted (in terms of species and sizes) and avoiding unwanted catches, the more the fishing method is selective.

	Requirement	Level
3.1	**Accidental catches (bycatch) coming from the unit of certification shall not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk.** **The IUCN assessment shall have been carried out no more than 10 years before.**	**Important**

The auditor shall review logs of accidental catches and verify that none of the species reported are listed as “vulnerable” or “higher risk” by the IUCN. The information obtained shall be compared with the accidental catches actually occurring on site at the time of unloading. The auditor has to find evidence of an assessment of the impacts of the unit of certification on endangered species.

Additionally, interviews of crew can be used to gain further evidence and the auditor may also report bycatch studies that are related to the particular gear type, target species and fishing area of the unit of certification carried out by the competent fisheries management authority or research institutes as stronger supporting evidence.

Requirement		Level
3.2	**The unit of certification collects and maintains adequate, reliable and current data and/or other information about its effects on endangered species, non-target catches and discards in accordance with applicable international standards and practices. It is required the monitoring and subsequent assessment of the extent to which non-target catches and discards by the unit of certification of stocks other than the stock under consideration threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.**	**Essential**

This requirement specifically refers to the effects of the unit of certification on endangered species, non-target catches and discards to make sure that it is aware of the selectivity of the fishing gear used and monitors the effects of their activity on these components of the ecosystem. Thus, the collection and maintenance of adequate, reliable and current data and/or other information and its subsequent assessment shall be consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

The results of the assessment should provide sufficient understanding of the relevant endangered species, non-target catches and discards and fishery impacts on them to

enable their protection from those impacts, *i.e.* for the management objective to be achieved. The auditor shall report the complete database. Traditional, fisher or community knowledge can be used as reference, provided its validity can be objectively verified.

	Requirement	Level
3.3	**The level of discard shall not be over 8% of total catch (in weight).**	**Essential**

The auditor shall report the level of discards declared by the unit of certification and that available from published reports and studies about the fishery under assessment. All relevant documented evidence shall be reviewed, *e.g.* logbooks.

	Requirement	Level
3.4.1	**The unit of certification shall provide a census of the number of all fish aggregating devices (FADs) deployed during the previous 12 months and shall report on a yearly basis to Friend of the Sea regarding FAD deployment per vessel.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Important**

A fish aggregating (or aggregation) device (FAD) is an artificial object used to attract ocean going pelagic fish such as marlin, tuna and dolphin fish in association with purse seine and pole and line fishing. They can be anchored or drifting. Drifting FADs are often equipped with a satellite-transmitting buoy to enable their relocation.

The unit of certification shall maintain records of the total number of FADs deployed during the previous 12 months. The auditor shall review those records and the reporting system in place to update FOS. This requirement is only applicable to fisheries and fleets targeting tuna.

Requirement		Level
3.4.2	**The unit of certification shall use non-entangling FADs only, to avoid entanglement of sharks, turtles and other non-target species.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Important**

FADs can produce unwanted bycatch due to sharks and turtles becoming entangled in the netting that is used to make FADs. The design of a non-entangling FAD should involve:

I. No netting or meshed materials covering the surface structure, but instead ropes, canvas, cloth sheets;

II. No plastic or metal frames to reduce the amount of synthetic marine debris being released at sea, but instead biodegradable materials such as bamboo, palm leaves, or coconut fiber.

The auditor shall verify this requirement by reviewing documentation or pictures when samples are not available during the inspection. Only applicable to fisheries and fleets targeting tuna. Further information is available at https://iss-foundation.org/knowledge-tools/guides-best-practices/non-entangling-fads/.

Requirement		Level
3.4.3	**Marking FADs and FAD components with ownership details, consistent with the Voluntary Guidelines for the Marking of Fishing Gear, adopted at the FAO's Committee on Fisheries (COFI 33).** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Important**

The auditor shall verify that FADs and FAD components used by the unit of certification are marked with ownership details, in order to be traceable if lost. More information about Voluntary Guidelines for the Marking of Fishing Gear at this link: https://www.wcpfc.int/system/files/WCPFC_Gear%20Marking_FAO.pdf The auditor shall attach to the report at least one picture of markers as example.

	Requirement	Level
3.4.4	**Equipping all FADs with a tracking device and sharing real-time FAD location with relevant authorities.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Important**

The auditor shall verify that all FADs are equipped with a tracking device able to give a real time position of the FADs to relevant authorities. This info is necessary to reduce the loss of FADs. The auditor shall collect evidence of compliance, such as purchase invoices with technical specifications and maintenance records. If possible, the auditor can include pictures of tracking devices.

	Requirement	Level
3.4.5	**Recovering all deployed FADs and avoiding their deliberate abandonment.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Important**

The auditor shall collect evidence of recovering all deployed FADs, as for example in a logbook.

	Requirement	Level
3.4.6	**Ensuring there is adequate storage space on boats/vessels for recovered FADs.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Essential**

The auditor shall verify that there is adequate storage space on boat/vessels for recovered FADs, collecting evidence through pictures that have to be attached to the audit report.

	Requirement	Level
3.4.7	**Reporting of lost FADs with date, time and last known position to relevant authorities.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	**Essential**

The auditor shall verify the existence of a logbook where cases of loss are reported and attach to the audit report at least one example.

	Requirement	Level
3.5	**Shark finning is prohibited.**	**Essential**

Before the audit, the auditor shall contact all the stakeholders to ensure that this practice is not being carried out. During the onsite audit, the auditor shall verify that shark finning is not taking place making a site inspection and interviewing the staff. The unit of certification shall declare that they do not practice shark finning. The term “shark finning” is defined in the Section 1.4 – Definition and Abbreviations.

	Requirement	Level
3.6	**Turtle excluder devices (TEDs) are in place and subjected to periodic maintenance.** **Only applicable to fisheries and fleets targeting shrimps. N/A to fisheries targeting any other species.**	**Important**

This requirement is applicable only to fisheries and fleets targeting shrimps and does not has to be applied to fisheries targeting any other species. The unit of certification shall have appointed at least one employee to monitor the functioning and maintenance of TEDs. The auditor shall collect evidence of compliance, such as purchase invoices with technical specifications and maintenance records. If possible, the auditor can include pictures of TEDs.

	Requirement	Level
3.7	**The unit of certification shall use circle hooks.** **Only applicable to fisheries and fleet using pole and line and long line fishing methods.**	**Recommendation**

The auditor shall verify the areas in which circle hooks are required. In such cases, the auditor shall verify if the unit of certification is in compliance and collect evidence, such as purchase invoices. If possible, the auditor can include pictures. Additional information is available at http://www.fao.org/docrep/012/i0725e/i0725e02.pdf.

Legal Conformity

Requirement		Level
4.1	**All fishing vessels shall be officially registered.**	**Essential**

All fishing vessels to be certified, and hence included in the scope of certification, shall be officially registered according to the national system in use. Vessel registrations and fishing licences shall be requested for all vessels in the scope of certification, not just those inspected by the auditor.

All registration numbers shall be reported either in the table in section f of the FOS Wild Standard checklist document or in an annex to the audit report. The auditor shall also report the fishing licences details of all vessels. This documentation can also be requested remotely during the preliminary audit phase. Incomplete or partially completed vessel registrations and license details are not accepted.

Requirement		Level
4.2	**The fleet does not include vessels with a flag of convenience.**	**Essential**

Flags of convenience (FOCs) are used to evade tax rules, license regulations, safety standards and social requirements for the treatment of crew. Flags of convenience are increasingly used as a means of avoiding measures taken by countries or regional fisheries organisations to manage fisheries and conserve stocks. It is therefore of paramount importance that the auditor verifies that each vessel included in the scope of certification is not registered under a nation identified as FOC. A list of FOCs can be found at https://www.itfseafarers.org/foc-registries.cfm.

This is also applicable to parallel registration, i.e. when a vessel is registered under two different flags: if one of the two flags under which a vessel or fleet is registered results as FOC, the auditor shall raise a NC. Moreover, parallel registration of fishing vessels is problematic, although permitted by international regulation, as there may be difficulties in establishing which jurisdiction the vessel and its crew are subjected to. The compliance with

this requirement can be verified when requesting the vessels' registrations also remotely during the preliminary audit phase.

Requirement		Level
4.3	**The fleet does not include illegal, unreported, unregulated (IUU) fishing vessels.**	**Essential**

The term "illegal, unreported, unregulated fishing" is defined in the Section 1.4 – Definition and Abbreviations. A combined IUU vessel list is available at https://iuu-vessels.org/iuu. Additionally, the RFMOs publish lists of vessels engaged in IUU fishing in their areas of responsibility and the European Union publishes a list of vessels engaged in IUU (https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2015.199.01.0012.01.ENG).

The auditors are encouraged to look for new tools and updated lists that may become available, as IUU vessels frequently change their identification (name, flag etc.) to hide their activities. The unit of certification shall be free from IUU catches of target species. Moreover, unreported IUU fishing should be considered as "unobserved mortality".

Requirement		Level
4.4	**The fleet shall be "Dolphin Safe" approved by the Earth Island Institute.** **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species**	**Essential**

The unit of certification shall be included in the Dolphin Safe (DS) list of the Earth Island Institute (EII) list of approved Dolphin Safe companies and/or importers, brokers, and retailers: www.dolphinsafetuna.org. If this is not the case, the unit of certification shall sign the EEI DS policy and a copy shall be attached to the audit report.

- http://savedolphins.eii.org/news/entry/eii-approved-dolphin-safe-tuna-processing-companies-and-fishing-companies
- http://savedolphins.eii.org/news/entry/approved-dolphin-safe-importers-distributors-brokers-retailers-agents

Requirement		Level
4.5	**The unit of certification complies with local, national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
Please see the requirements 4.5.1 to 4.5.9		

The auditor shall gain knowledge of the applicable fisheries laws before the onsite inspection and verify general compliance of the unit of certification with them. The information and documents related to legal compliance can be gathered during the preliminary audit phase. Fisheries laws and regulations are available at http://www.fao.org/faolex/en/. All the following shall be verified also on board the inspected vessels during the on-site audit.

Requirement		Level
4.5	**The unit of certification complies with local, national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.1	**Total allowable catch (TAC).**	

TACs or quotas, are catch limits (expressed in tonnes or number of individuals) that are set annually for most commercial fish stocks by the competent FMO. These limits are based on scientific advice on the stock status and represent one of the most important management measures for ensuring the sustainability of fish stocks.

The auditor shall report the TAC set for all stocks under assessment and verify the compliance of the unit of certification with the limit set. If no TAC is in place, the auditor shall

report the F_{MSY} value and provide estimation of current mortality generated by the unit of certification, or any other proxy applied by the competent fisheries management authority.

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.2	**Use of a logbook.**	

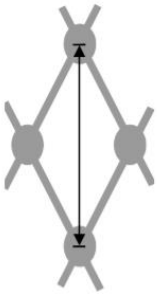
Commercial fishing companies and ship owners are required by law to complete logbooks. There might be different reporting requirements for various Countries. Therefore, the auditor shall report the prescriptions of the national regulation. In particular, all standards governing the correct use of the contents of the fishing log book, including the declaration on all landings, the report on all catch and catch landing, the deadline for submitting the report, the method of notification and keeping records on time and place of transhipping of catch.

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.3	**Minimum net mesh size.**	

This requirement is not applicable to unmeshed gear types, *e.g.* long line and hand line.

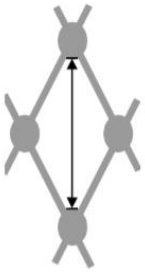
Mesh size is regulated to allow undersized individuals to escape and hence to limit the catching of juveniles (small fish). Fishing young fish prevents them from growing to a larger size and contributing to spawning and future generations.

The auditor shall measure the mesh size during the audit and compare it to the minimum mesh size allowed by the national regulation. If multiple gears are used, this information shall be reported and verified for all of them.



length of mesh:
for knotted netting, the distance between the centres of two opposite knots in the same mesh when fully extended in the N-direction,

for knotless netting, the distance between the centres of two opposite joints in the same mesh when fully extended along its longest possible axis.



opening of mesh:
for knotted netting, the longest distance between two opposite knots in the same mesh when fully extended in the N-direction,

for knotless netting, the inside distance between two opposite joints in the same mesh when fully extended along its longest possible axis.

Source: Mesh size measurement revisited, *ICES 2004*

The auditor shall measure the mesh size during the audit and compare it to the minimum mesh size allowed by the national regulation. If multiple gears are used, this information shall be reported and verified for all of them. Usually, a mesh is of diamond or square shape delimited by four threads of rope knotted at their ends. The mesh size represents the maximum possible opening (spacing) between two opposite knots when stretching the mesh to its maximum. Also the use of double codends (*i.e.* one codend inside another) and chafers (i.e. pieces of canvas or netting attached to a codend for strengthening purposes) can reduce the effective mesh size, and need to be considered when assessing the compliance with this requirement. For further information, see Jones (1984).

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.4	**Net size.**	

The auditor shall report the net dimensions prescribed by the national regulation for the particular gear type and target species, and verify the compliance of the unit of certification

with such regulation. If multiple gears are used, this information shall be reported and verified for all of them.

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.5	**Minimum legal size of the target species.**	

The auditor shall inspect the landing during the onsite visit and verify, but measuring at least a couple of individuals randomly sampled, that the target species are not below minimum authorised sizes. This management measure also aims to limit the catching of juveniles.

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.6	**Distance from the shore.**	

The auditor shall verify that the unit of certification carries out fishing activity respecting the distance from the shore set by the national fishery regulation.

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.7	**Measures that minimize unwanted catch and discards, where appropriate.**	

If any measures to minimize unwanted catch and discards (*e.g.* separating devices that allow the escape of unwanted species, tori lines for reduction of bird bycatch) are compulsory in the fishery under assessment, these shall be adopted, and the auditor shall verify their use by the unit of certification. The auditor shall specify the regulations in force and gather evidence of compliance

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.8	**No fishing in protected areas.**	

Please see the Requirement 2.2 for guidance.

Requirement		Level
4.5	**The unit of certification complies with national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:**	**Essential**
4.5.9	**Use of forbidden gear, chemical substances and explosives**	

The auditor shall verify that forbidden gear, chemical substances and explosives are not used nor kept on board the vessels.

Fishery Management

All the requirements in this section refer to the management of **the fishery as a whole, not just of the unit of certification under assessment**. A fishery is a unit determined by an authority or other entity that is engaged in harvesting fish. The unit is generally defined in terms of some or all of the following: people involved, species, fishing area, fishing method and class of boats. Therefore, the following requirements refer to or take into account agencies or entities involved in the management of the fishery, the legislative framework within which the fishery is undertaken, the management measures implemented and the processes and procedures that enable the collective functioning of the various components.

The auditor shall determine and state which jurisdictional category or combination of jurisdictional categories apply to the management system of the unit of certification, including consideration of formal, informal and/or traditional management systems. When conclusions about compliance are based on the consideration of informal or traditional management systems, the auditor shall provide, in the rationale, evidence demonstrating the validity and robustness of the conclusions by cross checking information obtained through different methods and opinions and views from different segments of the stakeholder community.

Important: The compliance of the unit of certification with the majority of the requirements in this section can be verified during the preliminary audit phase. The auditor is strongly recommended to carry out this part of the audit before the on-site inspection, as information about fisheries management is often public and can be collected remotely.

Requirement		Level
5.1.1a	**The fishery management system of which the unit of certification is a part is managed under an effective legal framework according to a regularly updated Fishery Management Plan (FMP), at the appropriate level, and complies with local, national and international laws and regulations.**	**Essential**

The auditor shall determine and state which fisheries management authority is in charge of managing the fishery of which the unit of certification is a part. The auditor shall also gather evidence that such fisheries management authority holds the legal framework of processes and procedures used to ensure that an organization can fulfil all tasks required to achieve its objectives. The auditor shall request a copy of the Fishery Management Plan (FMP) according to the Fishery Management System (FMS) and attach it to the audit report. The term “Fishery Management Plan” is defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
5.1.1b	**If the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock, a bilateral, sub regional or regional fisheries organization or arrangement is in place.** **States and entities in the arrangement shall collaborate in the management of the whole stock unit and bycaught or discarded species, over their entire area of distribution, with clear roles and responsibilities. The arrangement shall ensure the rights of the small-scale fishing communities are granted.** **In order to find out the potential effects of bycatch management and discard reduction measures, States shall also provide an assessment on livelihoods to ascertain the potential effects of their implementation and the support necessary to facilitate their uptake.**	**Essential**

This requirement is applicable in the case that the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock. When this is the case, the unit of certification is subject to international cooperation for management of the stock. Hence, as well as the legal mandate for establishing fisheries management measures, there is expected to be an international institution or arrangement established between the States involved to be responsible for the coordination of fishery management activities over the entire area of distribution of the stock. Activities of the international institution may include consultation between parties involved, formulation of fishery regulations and their implementation, collection of information, stock assessment, etc.

If the fishery under assessment belongs to this category, there shall be:

I. National and international laws, arrangements, agreements and policies governing the actions of the authorities and actors involved in managing the fishery;

II. A framework for cooperation with other territories, sub-regional or regional fisheries management organisations or other bilateral/multilateral arrangements that create

the cooperation required to deliver sustainable management under the obligations of UNCLOS Articles 63(2), 64, 118, 119, and UNFSA Article 8.

The auditor shall also provide evidence that States and entities in the arrangement collaborate in the management of the whole stock unit and bycaught or discarded species over their entire area of distribution and that the arrangement ensures the rights of the small-scale fishing communities are granted. Small-scale fishing communities include all those small-scale fishers, fish workers and their communities who are directly dependent on access to fishery resources and land. The size of reference of the small-scale artisanal fisheries to be considered by the auditor is those using fishing crafts with size < 24 m and engine < 375 kW.

In addition, the auditor shall verify the assessments on livelihoods made by the States to ascertain the potential effects of their implementation and the support necessary to facilitate their uptake. In the case of this requirement is not being applicable, the auditor shall provide justification.

Requirement		Level
5.1.1c	**The fishery management organization or arrangement convenes to update its management advice according to the most updated data and in a timely manner, with special consideration to deep-sea fisheries, adverse impacts on vulnerable marine ecosystems, bycatch management, reduction of discards and ecosystem structure, function and processes.**	**Essential**

The standard here requires that the fisheries management authority receives the best scientific evidence available and responds to updates in a timely manner regarding the status of the stock, with special consideration to deep-sea fisheries, and adverse impacts on vulnerable marine ecosystems, bycatch management, reduction of discards and ecosystem structure, function and processes. For achieving this, the fisheries management authority needs to convene regularly to manage the process of information collection, stock assessment, planning, formulation of management objectives and targets, establishing management measures and enforcement of fishery rules and regulations.

No specific frequency of meetings of the fisheries management authority is specified, but the standard requires that this be done in a timely and organised way that is properly documented. The auditor shall report all the supporting documentation.

	Requirement	Level
5.1.2	**The fisheries management system (FMS) under which the fishery or fleet under audit is managed shall be both participatory and transparent, including consultation with "responsible" deep-sea fishers, to the extent permitted by national laws and regulations.**	**Essential**

Both participation and transparency are needed to fulfil this requirement. The auditor shall collect relevant documentation proving the involvement of interested parties, including consultation with "responsible" deep-sea fishers. In addition, the auditor shall gather evidence that the fisheries management authority makes information and advice used in its decision-making publicly available, to the extent allowed by national laws and regulations. The relevant documentation shall be attached to the final report. The term "participatory" is defined in the Section 1.4 – Definition and Abbreviations.

	Requirement	Level
5.2.1	**A precautionary approach shall be applied, through the FMS, taking into account the best scientific evidence available to protect the target stock and its habitat and preserve the marine environment, with special consideration for data limited fisheries.**	**Essential**

A precautionary approach shall be applied by the FMS to the conservation, management and exploitation of aquatic resources to protect them and preserve the aquatic environment. For this, a suitable method of risk management is required to take into account relevant uncertainties in the status of the stock under consideration and the impacts of the unit of certification on that stock and on the ecosystem. Where the application of less data demanding approaches results in greater uncertainty, the management system shall apply more precaution, which may require lower levels of utilisation of the resource.

A past record of good management performance can be considered as supporting evidence of the adequacy of the management measures and the management system. The CBs shall assess the suitability of the risk management method applied. In addition, the auditor shall verify if the Country the flag of the fishing unit of certification refers to has ratified the FAO Code of conduct. Otherwise, the unit of certification shall include a precautionary approach in their procedures, including a risk assessment procedure.

Requirement		Level
5.2.2	**Management measures specify the actions to be taken in the event that the status of the stock under consideration (with special consideration to deep-sea stocks) drops below a level consistent with achieving management objectives that allow for the restoration of the stock to such levels within a reasonable timeframe. These measures shall be based on the best scientific evidence available.** **This requirement also pertains to species introductions or translocations that have occurred historically and that have become established as part of the natural ecosystem.**	**Essential**

Management measures are here intended as specific controls applied in a fishery to contribute to achieving the objectives (i.e. management objectives), including fishing effort limitations, catch quotas, gear regulations, closed areas and time closures, access and use rights.

It is here required that the fishery management system sets specific actions to be undertaken in the case the target reference points (e.g. MSY) are exceeded and/or limit reference points are approached or exceeded or the desired directions in key indicators of stock status are not achieved. Special consideration is required for deep-sea stocks. A brief description of the management measures with reference to the documentation, including target reference points, is required. The terms “limit reference point” and “target reference point” are defined in the Section 1.4 – Definition and Abbreviations.

Requirement		Level
5.2.3	**Efficacy of management measures and their possible interactions are kept under continual review in order to evaluate and adjust the regulatory measures as necessary. The assessment shall take into account the multipurpose nature of the use patterns in inland and marine waters.**	**Essential**

The expression “taking into account the multipurpose nature of the use patterns in inland and marine waters” refers to the uncertainty arising from other impacts on the fishery. The auditor shall provide evidence of periodical reviews of the efficacy of management measures applied within the fishery. This could be any report or communication published by the fisheries management authority or evidence that regular studies are carried out and that the best scientific evidence available is considered by the fishery management.

Requirement		Level
5.3	**The compliance with fishery regulations is ensured by the fishery management organization or arrangement through an effective and suitable monitoring, surveillance, control and enforcement.**	**Essential**

Monitoring, control and surveillance are activities undertaken by the wider fishery of which the unit of certification is a part and its enforcement system to ensure compliance with the fishery regulations. Enforcement refers to the enforcement of rules and regulations and is part of the activities of monitoring, surveillance and control. If the stock under consideration is not transboundary, this requirement only concerns the effectiveness and suitability of monitoring, surveillance, control and enforcement activities at the national level. For transboundary stocks, evidence of compliance at an international level is required.

In order to assess the suitability of monitoring, surveillance, control and enforcement of the fishery, the auditor shall collect and report on procedures and evidences of compliance with all local, national and international laws. Evidence of high levels of compliance in the wider fishery of which the unit of certification is part with all applicable laws and regulations is indicative of effective monitoring, surveillance, control and enforcement.

Requirement		Level
5.4	**The unit of certification shall record bycatch and discards during every fishing trip.**	**Essential**

The auditor shall verify that bycatch and discards data are recorded during every fishing trip and reported to the fishery management authority according to the applicable regulation. The auditor shall review and report bycatch and discards recording procedures. During the on-site visit, the auditor shall request to review the vessels' bycatch and discards reports. The auditor shall attach copies of the reports to the audit report.

Requirement		Level
5.5	**Bycatch and discard data shall be made publicly available by the fisheries management system.**	**Recommendation**

The auditor shall verify whether bycatch and discard data are made publicly available. The data could be published on the website of the fisheries management authorities or on reports published by research institutions.

Requirement		Level
5.6	**A management system to prevent possible accidental catch, reduction of discards and significant negative impacts of endangered species shall be in place and in compliance with national policies, legal and institutional frameworks. This shall consider international fisheries management plans and include objectives, strategies, standards and directed measures.**	**Essential**

A documented management approach considering international fisheries management plans and including objectives, strategies, standards and directed measures is required to prevent the accidental catch of endangered species and any significant negative impact on

them. The term “endangered species” is defined in the Section 1.4 – Definition and Abbreviations.

This management system shall address specific outcome indicator(s), consistent with achieving management objectives. The auditor shall review and report all procedures in place and the respective performance indicators. Other supporting evidence can include a review by the unit of certification of the potential effectiveness and practicality of alternative measures to minimise the mortality of endangered species during fishing operations.

	Requirement	Level
5.7	**The unit of certification implements a management program with an effective and suitable monitoring, surveillance, control and enforcement to manage bycatch and reduce discards. The management of bycatch shall be consistent with achieving management objectives and include procedures for the release of live animals under conditions that guarantee high chances of survival.** **This shall consider the “FAO International Guidelines on Bycatch Management and Reduction of Discards”, where applicable.**	**Essential**

The existence and implementation of a management program that minimise unwanted catch and discards, and reduce post-release mortality where accidental catch is unavoidable, is required.

The auditor shall review and report on all measures, procedures and protocols adopted by the unit of certification for the reduction of bycatch and discards, the release of live animals and the respective performance indicators. The auditor shall verify the implementation of such protocols and procedures during the inspection, also by means of crew interviews. The management system shall address specific outcome indicator(s), consistent with achieving management objectives.

“Measures” could also be interpreted as alternative fishing gear and/or practices that have been shown to minimise the rate of accidental mortality of non-target species to the lowest achievable levels. “Non-target species” refers to species caught other than the stock for which the certification is being sought and includes both fish and non-fish species.

Available information is available at http://www.fao.org/docrep/015/ba0022t/ba0022t00.pdf.

	Requirement	Level
5.8	**The fleet is equipped with measures that guarantee a quick retrieval of lost fishing gear to avoid “ghost fishing”.**	**Essential**

“Ghost fishing” refers to abandoned, lost or discarded fishing gear and has detrimental effects on fish stocks, endangered species and benthic environments. Ghost gear can in fact continue catching fish for many years, as they are persistent in the marine environment. It is required that the unit of certification does not deliberately abandon gears at sea and adopts measures to reduce the risk of losing gears during fishing operations. The auditor shall review and report on all measures, procedures and protocols adopted by the unit of certification to ensure a quick retrieval of lost fishing gears, including gear marking (*e.g.* tags), gear storage and gear retrieval strategies used.

Permanent gear marking is compulsory in some countries. The auditor is strongly recommended to verify what the applicable regulation prescribes in terms of gear marking and verify compliance during the onsite inspection.

	Requirement	Level
5.8.1	**Vessels shall have appropriate equipment on board to assist in the safe recovery of lost fishing gear.**	**Important**

The auditor shall verify the existence of appropriate equipment on board through inspection on site and purchase invoice.

	Requirement	Level
5.8.2	**When retrieval is not possible, the vessel must record the last known position of lost gear and report to the relevant authorities.** **If fishing authorities do not have the means to collect information on lost fishing gear, an alternative option is to report the details to the Global Ghost Gear Initiative via the Ghost Gear Reporter App.**	**Important**

The auditor shall collect evidence of the procedure and ask for a logbook. This shall include information on the lost fishing gear (type and amount) and the reason for loss. Additional information is available at https://www.ghostgear.org/news/2018/7/6/gggi-ghost-gear-reporter-app.

	Requirement	Level
5.8.3	**Vessels shall be prepared and commit to the recovery and salvage of fishing gear lost by other vessel operators and to recycle damaged or found fishing gear, where appropriate and practically possible.**	**Important**

A standard procedure has to be established about how to recover lost fishing gear from other vessels. The auditor shall verify if there is a person of the staff in charge of this task and if all the workers on board are aware about how to proceed in case of necessity.

	Requirement	Level
5.8.4	**The unit of certification undertakes an annual assessment of the lost gear records (amount and reasons for loss) and implements mitigation measures to address instances where gear loss is high.**	**Important**

The auditor shall get evidence of the annual assessment and specify in the report which are the measures used by the unit of certification to reduce the amount of gear lost.

Such measures could include reducing soak times, implementing gear use limits in high-risk areas or during high-risk times (e.g. inclement weather), implementing other spatial or temporal measures as needed (e.g. to avoid severe weather or crowded fishing areas) and measure to reduce gear conflict that could result in gear loss.

Requirement		Level
5.9	**The unit of certification has an independent observer on board, from the fisheries management organizations or States. In alternative, a CCTVs system has been deployed and it is accessible by the auditor to verify compliance with Friend of the Sea requirements.** **Only applicable to large-scale vessels and fleets. Not applicable to small-scale artisanal fisheries.**	**Important**

This requirement is applicable only to large-scale fishing vessels and fleets, not to small-scale artisanal fisheries. If the unit of certification uses these types of vessels, they shall have a full-time on-board independent observer from the fisheries management authority who reports on compliance with FOS requirements, with special regards to requirements 3.1, 3.3.2, 3.4, 3.6, 5.4. Alternatively, they shall have on-board CCTVs for monitoring fishing operations, specially the moments in which the catch is unload (e.g. the moment in which the purse-seine fishing net is opened on the boat). Therefore, the auditor shall verify if the position of the CCTVs is appropriated.

In the case of an independent observer on-board, the auditor shall verify the documents proving that the observer works for a fisheries management authority and review at least one report. In the case of a CCTV system, the auditor shall randomly verify at least three videos showing the unloading of the catches. In addition, the auditor shall report on the monitoring and reporting system in place.

“Large-scale fisheries” are intended as those using fishing crafts with size ≥ 24 m, engine ≥375 kW, vessels with freezing facilities and/or factory vessels, i.e. large ocean-going vessels with on-board facilities for processing and freezing caught fish.

Requirement		Level
5.10	**Outcome indicator(s), including target and limit reference points, shall be consistent with all management objectives related to the unit of certification and the conservation of stock under consideration.** **Management objectives shall take into account the best scientific evidence available and, where applicable, take into account a Precautionary Approach regarding:**	**Essential**
5.10.1	**Clear target reference points consistent with achieving Maximum Sustainable Yield, MSY (or a suitable proxy) on average and limit reference points (or proxies) consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.**	**Essential**

“Management objectives” are here intended as formally established targets that are actively sought and provide a direction for management action. Outcome indicators and measures undertaken for achieving the indicators are required for all management objectives for the stock(s) under consideration. The auditor shall gather evidence that management objectives take into account the best scientific evidence available and particularly that the management system is designed in such a way that the mechanism by which it commissions science and solicits scientific advice results in it receiving the best scientific evidence available.

The auditor shall verify if the levels set for the target and limit reference points are consistent with achieving maximum sustainable yield (MSY) (or a suitable proxy) on average, or a

lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators.

The source of scientific evidence does not necessarily have to be an official institution (*e.g.* through peer-reviewed publication), but it needs to be objectively verified by the management system. The same applies to any traditional, fisher or community knowledge. Criteria to consider when evaluating best scientific information include relevance, objectivity, validation, verification and peer review. The auditor shall list the management objectives that must be applicable to the unit of certification, their indicators and justifications. Additional information is available at http://www.fao.org/3/v8400e/V8400E02.htm.

Requirement		Level
5.10	**Outcome indicator(s), including target and limit reference points, shall be consistent with all management objectives related to the unit of certification and the conservation of stock under consideration.** **Management objectives shall take into account the best scientific evidence available and, where applicable, take into account a Precautionary Approach regarding:**	**Essential**
5.10.2	**Marine resources exploited in deep-sea fisheries in the high seas that have low productivity. Biological reference points shall be set, in a precautionary manner and determined on a case-by-case basis, to ensure long-term sustainability.** **Only applicable to deep-sea fisheries.**	**Essential**

In order to ensure sustainable utilization and exploitation of resources, in the case of deep-sea fisheries in the high seas, the management objectives shall be consistent with avoiding adverse impacts on the stock under consideration that are likely to be irreversible or very slowly reversible. Evidence shall be gathered and provided in the report

Requirement		Level
5.11	**There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:**	**Essential**
Please see the Requirements 5.11.1 to 5.11.5.		

[1]Management objectives consider all the economic, social and environmental aspects for the fishery of which the unit of certification is part. In addition, it includes recruitment overfishing or other impacts likely to be irreversible or very slowly reversible.

[2]Consideration of the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing.

[3]Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible and are applicable only in relation to dependent predators. Thus, the auditor shall consider the term "severe adverse impacts" only in relation to the requirement 5.11.4 and the term "significant adverse impacts" in relation to the requirements 5.11.1, 5.11.2, 5.11.3 and 5.11.5.

[4]Adverse impacts are from the interaction with the unit of certification.

In assessing fishery impacts, the habitats in the full spatial range of the stock shall be considered, not just that part of the spatial range that is potentially affected by fishing.

Requirement		Level
5.11	**There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:**	**Essential**
5.11.1	**Essential habitats and vulnerable marine ecosystems (with special consideration to high seas), that are specifically those of the unit of the certification, and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification.**	

Please see further information about management objectives[1], full spatial range[2], significant/severe[3] and adverse impacts" on page 82.

There shall be clear management objectives related to impacts on essential habitats that are specifically those of the unit of certification, outcome indicators and measures for avoiding, minimising or mitigating the impacts of fishing activities, from the unit of certification, on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification. The auditor shall collect evidence that there is a strategy in place that is designed to ensure the unit of certification does not pose a risk of serious or irreversible harm to the habitats. There shall be measures in place that are expected to achieve the outcome indicators. The auditor shall provide clear quantitative evidence that the measures are being implemented successfully and are achieving the objectives.

Outcome indicators and measures undertaken for achieving the indicators are required for all management objectives for the stock(s) under consideration. The outcome indicators shall be consistent with demonstrating that the management objectives can be or have been effectively achieved for essential habitats and vulnerable ecosystems. Examples of impacts on habitats that should be avoided include the destruction or severe modification of vulnerable marine ecosystems.

Requirement		Level
5.11	**There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:**	**Essential**
5.11.2	**Endangered species**	

Please see further information about management objectives[1], full spatial range[2], significant/severe[3] and adverse impacts" on page 82.

It is required that management objectives seek to ensure that the unit of certification does not negatively affect endangered species, including recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. This requirement does not refer to the target species; it refers to any endangered non-target species that may be affected by the unit of certification.

Outcome indicators and measures undertaken for achieving the indicators are required for all management objectives for the protection of endangered species. The outcome indicators shall be consistent with demonstrating that the management objectives can be or have been effectively achieved.

The auditor shall also verify that the fisheries management authority regularly reviews and implements measures, as appropriate, to minimise the mortality of endangered species. The auditor shall also take into account whether there are any changes in the catch or mortality of endangered species resulting from the implementation of measures to minimise their mortality.

Requirement		Level
5.11	**There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:**	**Essential**
5.11.3	**Non-target stocks represented by non-target catches and discards coming from the unit of certification.** **Additional research shall be conducted where information is insufficient to conduct a risk assessment.**	

Please see further information about management objectives[1], full spatial range[2], significant/severe[3] and adverse impacts" on page 82.

It is required that management objectives seek to ensure that the unit of certification does not threaten non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. "*Non-target stocks*" refer to any stock that is not the stock under consideration.

Outcome indicators and measures undertaken for achieving the indicators are required for all management objectives for the protection of non-target stocks. The outcome indicators shall be consistent with demonstrating that the management objectives can be or have been effectively achieved.

Requirement		Level
5.11	**There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:**	**Essential**
5.11.4	**Dependent predators resulting from fishing on the stock under consideration and/or key prey species.**	

Please see further information about management objectives[1], full spatial range[2], significant/severe[3] and adverse impacts" page 82.

It is required that management objectives, management measures and outcome indicators are in place to avoid severe adverse impacts on dependent predators resulting from fishing on a stock that is a key prey species, and on dependent preys of the stock under consideration. Severe adverse impacts are those that include recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. Please see the definition of "dependent species" in the section 1.4 — Definitions and Abbreviations.

This requirement refers to objectives for fishing mortality on stocks under consideration that are key prey species, not to fishing mortality on dependent predators/prey themselves.
Outcome indicators and measures undertaken for achieving the indicators are required for all management objectives for the protection of dependent predators and prey of the stock under consideration. The outcome indicators shall be consistent with demonstrating that the management objectives can be or have been effectively achieved.

Requirement		Level
5.11	**There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:**	**Essential**
5.11.5	**Ecosystem (structure, processes and function).**	

Please see further information about management objectives[1], full spatial range[2], significant/severe[3] and adverse impacts" on page 82.

Management objectives and measures are set to ensure protection and/or avoid severe adverse impacts of the fishery of which the unit of certification is a part on the structure, processes and functioning of aquatic ecosystems.

Outcome indicators and measures undertaken for achieving the indicators are required for all management objectives for the conservation of ecosystem structure, processes and function. The outcome indicators shall be consistent with demonstrating that the management objectives for impacts from the unit of certification on ecosystem structure and functioning can be or have been effectively achieved.

The auditor shall verify that the unit of certification does not cause serious or irreversible harm to the ecosystem structure, processes and function. The auditor shall provide clear evidence that the measures are being implemented successfully and are achieving the objectives.

Requirement		Level
5.12	**A yearly reviewed Ecosystem Approach to Fisheries (EAF) that considers the interdependencies and functioning of the ecosystem, minimizing cumulative negative impacts and, as far as possible, enhancing ecosystem health and integrity is in place.**	**Recommendation**

Ecosystems are complex and dynamic natural units that produce goods and services beyond those of benefit to fisheries. Since fisheries have a direct impact on the ecosystem, which is also impacted on by other human activities, they need to be managed in an ecosystem context. The term “Ecosystem Approach to Fisheries (EAF)” is defined in the section 1.4 — Definitions and Abbreviations.

The purpose of the EAF is to plan, develop and manage fisheries in a manner that addresses the needs of societies, without jeopardising the options for future generations to benefit from the goods and services provided by marine ecosystems. Therefore, application of EAF goes beyond monitoring the status of stocks. Variables in the ecosystem should be monitored to assess the impacts of fishing on the ecosystem as well as the effects of ocean variability of fisheries’ productivity.

This requirement refers to the management of the fishery by the competent fisheries management authority. The EAF addresses the following key principles:

- Fisheries should be managed to limit their impact on the ecosystem to an acceptable level;
- Ecological relationships between species should be maintained;
- Management measures should be compatible across the entire distribution of the resource;
- Precaution in decision making and action is needed because knowledge about ecosystem is incomplete;
- Governance should ensure both human and ecosystem well-being and equity.

Many of these key principles of EAF are addressed by other requirements of the FOS Wild Standard. The auditor shall therefore concentrate on the existence of an EAF plan and its yearly review by the fisheries management authority. In other words, the auditor shall collect

documented evidence that there is a regular review of the potential effectiveness and practicality of the ecosystem approach in place.

Requirement		Level
5.13	**Fisheries management approaches, plans and strategies are an integral part of integrated coastal management, and/or ocean management for oceanic fisheries.** **Safeguards are in place to protect the fisheries ecosystems from adverse effects coming from other sectors.**	**Recommendation**

This requirement looks for fisheries management to be integrated within broader coastal and/or oceanic management, with the aim of protecting ecosystems on which fisheries rely from the impacts of non-fishing activities. The expectation should be that the fishery managers ensure that they are recognised as important stakeholders in the process of integrated coastal management so that they can safeguard the function of the habitats that support fisheries' ecosystems from adverse effects stemming from activities in other sectors.

There are many issues that concern fishery managers that are within the competence of other agencies outside of the fishery management system. These may be highly relevant in an EAF context; they include such issues as the impact associated with human activities on land and sea leading to habitat destruction, eutrophication, contaminants, CO_2 emissions, litter, accidental introduction of exotic species through ballast water, etc. While fishery managers cannot be expected to control these issues, they should be expected to be proactive to ensure that the appropriate authorities include all those involved in fisheries as important stakeholders in management planning and decision-making.

The unit of certification should provide evidence that the approaches applied for the management of the fishery under assessment are part of a broader ocean management that also takes into account other issues concerning the fishery.

Requirement		Level
5.14	**Any traditional, fisher or community knowledge[1] used within the management system can be objectively verified.**	**Essential**

[1]Uncertainties can be assessed using a risk assessment/risk management approach.

The auditor shall verify if the management system uses any traditional, fisher or community knowledge. If such knowledge is used, the auditor shall verify the methods by which traditional, fisher or community knowledge can be objectively verified, since they vary between fisheries. Then, the auditor shall verify if such knowledge is analysed though a systematic, objective and well-designed process. In all cases, the auditor shall verify if the management measures implemented by the management system are based on the best scientific evidence available. Evidence shall be gathered and provided in the report.

Waste management

Requirement		Level
6.1	**The unit of certification recycles, re-uses or re-processes all materials used during fishing, conservation and transport of the fish up to the selling point, including packaging.**	**Essential**

The auditor shall review protocols and procedures for recycling, reusing, reprocessing all materials used on board and at landing port and describe them briefly.

Requirement		Level
6.2	**The unit of certification implements measures to prevent dispersion of waste at sea (including fuels, lubricants and plastic materials).**	**Essential**

The auditor shall review protocols and procedures in place for preventing the dispersion of waste at sea and describe them briefly.

Requirement		Level
6.3	**The unit of certification utilises all the chemical non-toxic alternatives available in order to reduce the use of toxic, persistent or bio-accumulating substances.**	**Essential**

The auditor shall verify and report on evidence that the unit of certification actively seeks to replace toxic, persistent and bio-accumulating chemicals with non-toxic alternatives, for example for anti-fouling purposes. Policy, procedures and a list of chemicals on board shall be reviewed.

Requirement		Level
6.4	**The unit of certification does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.** **Only applicable to large-scale vessel.**	**Essential**

The auditor shall verify and report on evidence that the unit of certification does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.

Requirement		Level
6.5	**Fishing vessels must be equipped with storage facilities for damaged or end-of-life fishing gear.**	**Important**

The auditor shall verify the existence of storage facilities and document this by attaching photographs.

Requirement		Level
6.6	**Gear shall be properly disposed of at port. If appropriate disposal facilities are not available, the unit of certification shall endeavour to work with port operators to provide adequate, low-cost and accessible disposal facilities.**	**Important**

The auditor shall collect evidence about the procedure used by the unit of certification regarding how they dispose of the gear at port. If a procedure is not in place, the auditor shall suggest the unit of certification endeavour to work with port operators to provide adequate, low-cost and accessible disposal facilities.

Requirement		Level
6.7	**Where applicable, the unit of certification shall work with ports to implement gear collection and/or recycling programs for end-of-life gear.**	**Recommendation**

Where applicable, the auditor shall suggest the unit of certification about working with ports to implement gear collection and/or recycling programs for end-of-life gear.

Energy management

Requirement		Level
7.1	**The unit of certification shall keep a register of all energy sources and their use, updated at least once a year.**	**Essential**

The auditor shall verify and report evidence that the unit of certification keeps records of all energy sources (e.g. fossil fuels, solar, wind or hydroelectric energy, etc) and consumption.

These records shall include, as a minimum, the following parameters:

- Energy sources used (type, renewable or not);
- Energy consumption rate per process line (fishing, processing, and transport).

Requirement		Level
7.2	**The unit of certification should calculate its carbon footprint per product unit and commit to reducing it every year.**	**Recommendation**

The auditor shall verify and report evidence that the unit of certification regularly calculates its carbon footprint per product unit and is actively engaged in reducing it every year.

Social accountability

The requirements included in this section of the FOS Wild Standard are applicable to all the crew operating on board the vessels supplying the unit of certification. If the review of written documentation is not possible for all requirements, the auditor can assess compliance of these requirements through staff interviews and observations of activities.

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.1	**Compliance with national regulations and ILO on child labour.**	

The Minimum Age Convention 1973 (No. 138) establishes the age at which children can legally be employed or otherwise work (Table 1). For the purpose of this standard, a child is defined as any person under 15 years of age. A higher age would apply if the national minimum age law stipulates a higher age for work or mandatory schooling. According to the exceptions made in ILO Convention No. 138 for developing countries, if the country permits, the minimum age may be 14 years.

Table 1. The main ILO's Convention concerning the minimum age of admission to employment and work.

Items	The minimum age at which children can start work	Possible exceptions for developing countries
Hazardous work[1]	18 (16 under strict conditions)	18 (16 under strict conditions)
Basic Minimum Age[2]	15	14
Light work[3]	13–15	12–14

[1]**Hazardous work**: Any work which is likely to jeopardize children's physical, mental or moral health, safety or morals should not be done by anyone under the age of 18.

[2]**Basic Minimum Age:** The minimum age for work should not be below the age for finishing compulsory schooling and in any case not less than 15.

[3]**Light work:** Children between the ages of 13 and 15 years old may do light work, as long as it does not threaten their health and safety, or hinder their education or vocational orientation and training.

(Adapted from ILO: https://www.ilo.org/ipec/facts/ILOconventionsonchildlabour/lang--en/index.htm).

The auditor shall ask the unit of certification to review copies of the official identification of all the employees, showing date of birth to assess compliance to this requirement. In addition, the auditor shall collect evidence that hazardous work is not performed by staff below age 18. This includes heavy lifting disproportionate to their size, operating heavy machinery, working night shifts and exposure to any toxic chemicals.

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.2	**Pay the employees adequate salaries compliant at least with minimum legal wages[1].**	

[1]**Wages:** remuneration or earnings, however designated or calculated, capable of being expressed in terms of money and fixed by mutual agreement or by national laws or regulations, which are payable in virtue of a written or unwritten contract of employment by an employer to an employed person for work done or to be done or for services rendered or to be rendered (ILO: Protection of Wages Convention, 1949 – No. 95).

The auditor shall ask the unit of certification to review copies of employees' contracts, wage records, working hours and pay slips signed by workers to assess full compliance. If the unit of certification is not in possession of legal documents that show the minimum wages of the countries in which it operates, the auditor shall gain this information independently

and verify that employees are paid at least the minimum wage. This applies also to seasonal/casual workers. The auditor shall also make sure that the unit of certification is aware of the minimum wages of the countries in which it operates.

More information about ILO standards on wages are available at:
https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/wages/lang--en/index.htm

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.3	**Grant employees access to health[1] care.**	

[1]**Health**: in relation to work, it indicates not merely the absence of disease or infirmity; it also includes the physical and mental elements affecting health which are directly related to safety and hygiene at work (ILO: Occupational Safety and Health Convention, 1981 – No. 155).

The unit of certification shall have workers' compensation insurance to cover their employees when an illness or injury happens at work. The auditor shall verify that the unit of certification provides, where necessary, measures to deal with emergencies and accidents, including adequate first-aid arrangements. In the case of a job-related accident or injury, if the workers' compensation insurance does not cover all the costs of treatment of employees, the unit of certification shall be aware that it must be responsible for that cost. Evidence may be employee insurance covering work-related medical expenses.

More information about ILO standards on health-care are available at:
https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/occupational-safety-and-health/lang--en/index.htm

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.4	**Apply safety measures required by the law. Nonetheless, compliance with the minimum safety requirements are mandatory, even if not required by local law.**	

The auditor shall verify what the local occupational safety regulation requires and collect evidence that the unit of certification respects all mandatory safety measures. If a national health and safety standard does not exist in the countries where the unit of certification operates, or if it does not meet the minimum safety requirements, the auditor shall verify and collect evidence that:

- Hazards and risks in the work environment are minimised;
- There are not immediate dangers to life;
- Safe drinking water is provided to all workers;
- Health and safety training is provided to all workers;
- Personal Protective Equipment (PPE) is provided for all workers.

More information about ILO standards on occupational safety and health are available at http://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/occupational-safety-and-health/lang--en/index.htm

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	
8.1.5	**Keep records of accidents or injuries.**	**Important**

The auditor shall review records of accidents or injuries to workers. In order to avoid future occurrences, these records shall be used for the elaboration and/or constant improvement of a work safety plan for the unit of certification.

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.6	**Freedom of association and collective bargaining[1].**	

[1]**Collective bargaining:** all negotiations which take place between an employer, a group of employers or one or more employers' organisations, on the one hand, and one or more workers' organisations, on the other, for (a) determining working conditions and terms of employment; and/or (b) regulating relations between employers and workers; and/or (c) regulating relations between employers or their organisations and a workers' organisation or workers' organisations (ILO: Collective Bargaining Convention, 1981 – No. 154).

The auditor shall verify if workers are free to form organizations to advocate for and protect their rights. Likewise, the auditor shall verify if workers are free and able to bargain collectively for their rights. These two aspects allow both sides to negotiate a fair employment relationship and prevent costly labour disputes.

More information about ILO standards on freedom of association and collective bargaining are available, respectively, at:

- https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/freedom-of-association/lang--en/index.htm
- https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/collective-bargaining/lang--en/index.htm.

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.7	**No forced or compulsory labour[1].**	

[1]**Forced or compulsory labour:** all work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily (ILO: Forced Labour Convention, 1930 – No. 29).

All work, including overtime, must be voluntary. The hours worked in excess of the normal working hours must be remunerated at the rates prevailing in the case of overtime for voluntary labour. The wages shall be paid to each worker individually. The auditor shall verify if work contracts are clearly articulated and understood by workers. During the interviews and on-site observations, the auditor shall ensure that the unit of certification does not retain any passports or other identity documents.

More information about ILO standards on forced or compulsory labour are available at https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/forced-labour/lang--en/index.htm

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.8	**No discrimination[1].**	

[1]**Discrimination**: **(a)** any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation; **(b)** such other distinction, exclusion or preference which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation as may be determined by the Member concerned after consultation with representative employers' and workers' organisations, where such exist, and with other appropriate bodies (ILO: Discrimination (Employment and Occupation) Convention, 1958 – No. 111).

Opportunities for recruitment, access to training, promotion, compensation, termination and retirement shall not be made based on race, colour, sex, religion, political opinion, national extraction or social origin. Physical, verbal or sexual abuse, bullying or harassment are prohibited. The unit of certification must have an official anti-discrimination policy, which outlines its procedures and practices. During the interviews and on-site observations, the auditor shall ensure that discrimination does not occur at the unit of certification.

More information about ILO standards on discrimination are available at https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/equality-of-opportunity-and-treatment/lang--en/index.htm

Requirement		Level
8.1	**The unit of certification shall respect human rights, complying with the following requirements:**	**Essential**
8.1.9	**Rights on board.**	

Accommodation shall be maintained in a clean and habitable condition and shall be kept free of goods and stores that are not the personal property of the occupants or for their

safety or rescue. Galley and food storage facilities shall be maintained in a hygienic condition. In addition, the fishermen's working hours must be managed respecting aspects of safety and health, including prevention of fatigue. Therefore, the auditor shall verify if the vessels are maintained in a clean and habitable condition and check if regular periods of rest of sufficient length are given to fishers.

More information about ILO standards on rights on board are available at
www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C188

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Appendix A: Preliminary audit phase planning guidance

The preliminary phase of the assessment stage aims to:

a) Audit the documentation of the applicant's management system;

b) Assess the applicant's site location and characteristics and exchange information with the staff in order to assess whether the audit implementation phase can be started;

c) Review the applicant's understanding of the regulations' requirements, particularly related to the identification of key aspects, processes, objectives and functioning of the management system;

d) Gather the necessary information about the areas of interest of the management system, processes and location(s) of the applicant, including related legal aspects and compliance to the regulation (e.g. regarding quality, environment, legal aspects related to the applicant's activity, associated risks, etc.);

e) Develop the audit plan in agreement with the applicant.

A part of this preliminary audit phase will take place at the applicant's premises, but most of the information can be gathered and reviewed before that. It is necessary to complete this phase before proceeding to the audit implementation phase. It is advised that the preliminary audit phase be carried out well ahead of the on-site inspection, to optimise the on-site audit time.

A list of information and documentation to gather before the audit implementation phase is provided below.

Preliminary audit phase checklist for **FOS Wild Standard**

Confirmation of fishing vessels in the scope of certification, and respective flag, fishing gear, target species, registration and fishing license.

1. Stock Status (requirements 1.1.1; 1.1.2; 1.1.3; 1.1.4; 1.1.5):

- ✓ Competent RFMO;
- ✓ Most recent stock assessment;
- ✓ Limit reference points for biomass and fishing mortality;
- ✓ Methodology of assessment of stock status.

2. Ecosystem impact (requirements 2.1; 2.2; 2.3):

- ✓ Effects of the fishery on ecosystem structure and habitats vulnerable to the fishing gear;
- ✓ Marine protected areas regulation in force in the country/area where the unit of certification operates;
- ✓ Documented impacts of the fishing gear on the seabed and benthic communities;
- ✓ Mapping of seabed habitats, distributions and ranges of species taken as bycatch.

4. Legal conformity (requirements 4.1; 4.2; 4.3; 4.4; 4.5 and sub):

- ✓ Vessel registration and fishing license inspection;
- ✓ Flag of Convenience;
- ✓ Illegal, unreported, unregulated fishing vessels;
- ✓ Dolphin Safe endorsement;
- ✓ National and international fishery regulations applicable to the applicant's activities in the country where the fishing operations take place.

5. Fishery management (requirements 5.1 and sub; 5.2 and sub; 5.3; 5.10 and sub; 5.11 and sub; 5.14):

- ✓ Competent FMO, unit of certification, fishery management plan;
- ✓ Involvement of small-scale fishing communities in the management;
- ✓ Management objectives and measures, target reference points;
- ✓ Monitoring and surveillance measures in place;
- ✓ Ecosystem approach to fisheries;
- ✓ Fisheries management approach, plans and strategies of integrated costal management.

8. Social accountability (8.1.1; 8.1.2; 8.1.3; 8.1.4; 8.1.5):

- ✓ Country's laws regarding child labour;
- ✓ Country's minimum legal wage;
- ✓ Health care;
- ✓ Applicable work safety measures;
- ✓ Records of accidents or injuries.