



**FRIEND OF THE SEA**

**Sustainable Seafood**

# **FRIEND OF THE SEA CERTIFICATION CRITERIA CHECKLIST FOR AQUACULTURE PRODUCTS**

## **FISH FARMING INLAND / MARINE SPECIES**

(Latest update: 01/04/2010)

Friend of the Sea is a non-governmental organisation founded in 2007 with the purpose of conserving the marine habitat and its resources by incentivising a sustainable market and specific protection and conservation projects.

Friend of the Sea has created a certification program for products deriving from both fishing and sustainable aquaculture. Certification follows audits carried out by Independent bodies and ensures that the product conforms to the sustainability requirements.

The use of the logo is authorized by Friend of the Sea only following a positive outcome of an inspection carried out by the Certification Body:

For sustainable aquaculture, certification covers the following areas:

1. Management of a sustainable aquaculture installation
2. Site location and environmental impact assessment
3. Infrastructure
4. Fattening
5. Feeding
6. GMOs and growth hormones
7. Disease prevention and the use of drugs
8. Water and waste management
9. Hazardous substances
10. Energy management
11. Social accountability
12. Traceability



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Each of these areas sets out essential or important requirements, or recommendations.

**Essential requirements:** 100% conformity to essential requirements is necessary in order for the Certification body to recommend the enterprise for certification. Any shortfall with regard to these requirements is considered as a Major Nonconformity and corrective actions are necessary, to be carried out within a maximum term of three months from the date of the Nonconformity finding. The enterprise must provide the Certification body with satisfactory evidence of corrective actions for all Major Nonconformities. Solely for requirements 2.1 and 2.2, in consideration of the complexity of the information to be covered, the term allowed for assessing the nonconformity is extended to 6 months.

**Important Requirements:** 100% conformity to important requirements is necessary in order for the Certification body to recommend the enterprise for certification. Any shortfall with regard to these requirements is considered as a Minor Nonconformity and corrective actions (declaration of intent and plan of action) must be proposed to the Assessing Entity, to be submitted within a maximum term of three weeks from the date of the Nonconformity finding. The enterprise must include in their proposal a timeline for the achievement of each corrective action. The maximum term for the complete implementation of each corrective action is one year.

**Recommendations:** conformity to recommendations is not a strict requirement in order to be recommended for certification. However, as part of the assessment, all aspects relating to such requirements will be inspected and each shortfall will be indicated in the Audit report under the form of a Recommendation. The enterprise must assess any possible corrective action and, no later than the subsequent inspection, must inform the Certification body of decisions taken and corrective actions carried out.

Where a requirement is not applicable to the Organisation assessed this requirement should be marked N/A.



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*This document may only be compiled by the Certification body and by the Auditor responsible for the inspection. The form must be compiled in the Auditor's mother tongue or in English if fluent.*

<b>a) NAME OF THE ORGANISATION BEING AUDITED:</b>
<b>b) IS THE ORGANISATION PART OF A GROUP?</b>
<b>c) ADDRESS OF THE ORGANISATION BEING AUDITED:</b>
<b>d) COMMON NAME OF THE AQUATIC SPECIES FARMED:</b> <i>(e.g.: cod, prawn)</i>
<b>e) SCIENTIFIC NAME OF THE AQUATIC SPECIES FARMED:</b> <i>(e.g.: Gadus morhua)</i>
<b>f) SITES SUBJECT TO THE AUDIT:</b> <i>(list names of sites and location)</i>
<b>g) SITES VISITED BY THE AUDITOR:</b> <i>(sites to be audited, where different from f)</i>
<b>h) DESCRIPTION OF AQUACULTURE INSTALLATION:</b> <i>(e.g.: on land, in bay, offshore, extensive, intensive, closed, pool, cage, nets, etc, geographic extension, other. Where available include a map)</i>



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**i) DESCRIPTION OF FARMING TECHNIQUES:**

*(Summary of the techniques used in the farming area, from the hatching of the eggs to the finished product)*

**j) OPERATIONS OF THE ORGANISATION BEING AUDITED:**

- farming
- pre-transformation
- final transformation
- importing
- exporting
- distribution
- other (description) :

**k) DESCRIPTION OF THE FINAL PRODUCT:**

*(e.g.: fresh, frozen, packaged, other)*

**l) FINISHED PRODUCT BRANDS:**

*(List of brands under which the product is sold. Where available include brand images)*

**m) DESCRIPTION AND LOCATION OF ANY REFRIGERATION UNITS AND WAREHOUSES**

*(for the purposes of the products' traceability)*

**n) TOTAL NUMBER OF EMPLOYEES:**

*Optional*

**o) ENVIRONMENTAL CERTIFICATIONS AND ACKNOWLEDGEMENTS:**

**p) ADDITIONAL INFORMATION:**



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<input type="checkbox"/> <b>Friend of the Sea project has been introduced</b> <i>(If not, auditor should provide short description)</i>
<input type="checkbox"/> <b>The Audited company has been informed that in case of approval confirmation, it can use the Friend of the Sea logo on its certified products</b>
<input type="checkbox"/> <b>The Company has handed over a copy of the company organigram identifying the role of the staff involved in the audit</b>
<input type="checkbox"/> <b>Audit timing has been agreed upon.</b>
<input type="checkbox"/> <b>Data of Preliminary Information Form have been confirmed: (In case of different info please detail)</b>

<b>NAME OF THE CERTIFICATION BODY:</b>	<b>AUDIT TEAM:</b>	<b>AUDIT START AND END DATE:</b>
<b>SIGNATURE OF AUDITOR:</b>	<b>NAME OF PERSON IN CHARGE OF THE ORGANISATION ACCOMPANYING THE AUDITOR THROUGH THE ASSESSMENT:</b>	<b>AUDIT CODE:</b>



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## NOTES FOR THE AUDITOR

- 1) The Auditor must complete all fields of the checklist.
- 2) Instructions for completing the checklist are indicated in blue
- 3) The Auditor must provide an explanation when qualification requirements are not applicable
- 4) The Auditor must answer Yes (Y) when the Organization is compliant with the requirement and No (N) when it is not compliant
- 5) The Auditor must provide comments and explanations for positive or negative responses. Yes, No or Not Applicable are not sufficient
- 6) Any significant documentation must be attached to the final audit report in a separate and numbered appendix
- 7) Photographs added to the checklist and/or as an annex will be helpful

## 1 - MANAGEMENT OF A SUSTAINABLE AQUACULTURE INSTALLATION

No.	Requirement	Level	Y/N	Comments
<b>1.1</b>	A sustainable aquaculture installation must include procedures for the management of the following:			
1.1.1	authority and responsibility in the enterprise's environmental management	Important		
1.1.2	management of documents and ledgers (including updating of environmental standards to be complied with)	Important		
1.1.3	management of monitoring systems and measurement of environmental impact parameters	Important		
1.1.4	maintenance and control of infrastructure	Important		
1.1.5	preparation for environmental emergencies and response capability	Important		
1.1.6	management of corrective actions (originating from nonconformities and recommendations).	Important		
The Auditor must examine the procedures used by the Organisation, indicating the number of the relative procedure as well as the manual (quality, environment or other) that describes it.				

## 2 - SITE LOCATION

No	Requirement	Level	Y/N	Comments
<b>2.1</b>	An Environmental Impact Assessment (EIA) or equivalent has been carried out with a positive outcome by the presiding authority, taking the following into consideration:			
2.1.1	impact on the ecosystem	Essential*		



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No	Requirement	Level	Y/N	Comments
2.1.2	impact on the countryside	Essential*		
<i>The auditor must check whether an environmental impact assessment, taking the above factors into account, was carried out prior to the installation. The auditor must specify the title, date, author and significant conclusions of the inspected EIA or equivalent document. *Where an environmental impact assessment prior to installation is not mandatory in certain countries, this requirement can be met by full conformity to requirement 2.2.</i>				
<b>2.2</b>	No critical alterations found to ecosystems, such as mangroves, rivers, lakes, bays, estuaries, humid zones, wetlands and swamps.	Essential		
<i>The auditor must acquire documented information and evidence (text, photos, official documents to be annexed to the audit report) of the environmental conditions of the ecosystem prior to the installation and assess whether the installation has had a negative impact.</i>				

### 3 - INFRASTRUCTURE

No	Requirement	Level	Y/N	Comments
<b>3.1</b>	In order to reduce escapes of the farmed eggs, larvae and species, the Organisation has implemented:			
3.1.1	screens, filters or similar	Essential		
3.1.2	maintenance and control procedures	Essential		
3.1.3	warning systems and procedures against extraordinary atmospheric events	Essential		
<b>3.2</b>	In order to avoid the entry of other organisms, such as birds or other predators, into the installation, the Organisation has implemented:			
3.2.1	screens, filters, covering nets or similar	Essential		
3.2.2	maintenance and control procedures	Essential		
<b>3.3</b>	In the event of the escape of animals, the Organisation has procedures for:			
3.3.1	recording the escapes	Essential		
3.3.2	informing the presiding local authorities promptly	Essential		
3.3.3	implementing corrective measures aimed at reducing the future risk of other escapes due to similar causes.	Essential		
<i>The Auditor must indicate the number of the required procedures and the relative Manual. The Auditor must describe the systems implemented (e.g. filters, screens, nets, etc) and append technical documentation, photographs or videos.</i>				
<b>3.4</b>	The Organisation either does not use anti-fouling paints or has an independent scientific study demonstrating their non-toxicity.	Essential		
<i>If the Organisation declares use of anti-fouling paints, the Auditor must request a copy of the paint's technical specifications, proving their non-toxicity. If the Organisation states that it does not use anti-fouling, the Auditor must request evidence of the alternative methods used.</i>				



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## 4 - FATTENING

No	Requirement	Level	Y/N	Comments
4.1	Any specimens of fish caught and then fattened must be from Friend of the Sea approved fisheries.	Essential		
<i>Fattening refers to the aquaculture method of feeding and farming naturally caught fish (e.g.: Bluefin tuna and European eel). The Auditor must describe the origin (fishing zone, fishing method, flag of fleet) of any caught fish. Indicate whether the origin is approved by Friend of the Sea and if not the audited organisation's willingness to enable an audit of the fishing fleet.</i>				

## 5 - FEEDING

No	Requirement	Level	Y/N	Comments
5.1	The Organisation uses feeds certified by Friend of the Sea, when available on the market for the farmed species. As an alternative, feeds derive from residues of the processing of edible products (trimmings). An up-to-date list is available on the Friend of the Sea Internet site.	Recommendation		
<i>The Auditor must produce a list of all feeds used by the Organisation, indicating the name of supplier, the name of the product and the formula.</i>				
5.2	The Organisation records historical data relating to the conversion index of feeds and undertakes to carry out a gradual annual reduction.	Important		
<i>The Auditor must append a copy of these analyses to the Audit Report.</i>				

## 6 – GMOs AND GROWTH HORMONES

No	Requirement	Level	Y/N	Comments
6.1	The use of Genetically Modified fish species is not permitted	Essential		
6.2	The use of growth hormones is not permitted	Essential		
<i>In assessing conformity to requirements the Auditor must consider as a priority any national regulations in force</i>				

## 7 - DISEASE PREVENTION AND THE USE OF DRUGS

No	Requirement	Level	Y/N	Comments
7.1	Prevention of disease and infection is the guiding ethos.	Essential		
7.2	The use of drugs and other chemical compounds permitted by regulations is justified only for specific problems.	Essential		
<i>The Auditor must examine procedures and records of the use of drugs</i>				



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## 8 - WATER AND WASTE MANAGEMENT

No	Requirement	Level	Y/N	Comments
8.1	The qualitative parameters of waste water must conform to what is set out by current regulations.	Essential		
<i>The Auditor should append a copy of the most recent analysis of waste water carried out by the National presiding body, complete with an official declaration of compliance with regulations.</i>				
8.2	Organizations operating in countries where water parameter regulations are not in place must demonstrate, via independent laboratory analysis, that the water quality is not significantly deteriorated by variations of the following parameters:			
8.2.1	transparency / turbidity	Essential		
8.2.2	salinity	Essential		
8.2.3	pH	Essential		
8.2.4	temperature	Essential		
8.2.5	dissolved oxygen and redox potential	Essential		
8.2.6	organic and inorganic nutrients, (ammonia, nitrate, phosphate, carbon residues)	Essential		
8.2.7	coliform bacteria and/or sulfate reducing bacteria	Essential		
8.3	Effluents must be monitored at least once a year. The enterprise archives the results of the analyses carried out.	Important		
<i>The Auditor must examine the procedure relating to the frequency and method of monitoring and shall record the procedure number and the relative manual. The Auditor must examine previous annual analyses of water and sediments.</i>				

## 9 - HAZARDOUS SUBSTANCES

No	Requirement	Level	Y/N	Comments
9.1	The use of toxic and persistent chemical compounds (e.g. TBTs, Malachite Green, DDT) is not permitted. The use of hazardous substances must be carried out in compliance with safety regulations.	Essential		
<i>The Auditor must examine the procedures for the use of hazardous substances in the Safety Manuals and indicate the number of the procedure. In addition the Auditor must also verify their conformity during the inspection.</i>				

## 10 - ENERGY MANAGEMENT

No	Requirement	Level	Y/N	Comments
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<b>10.1</b>	The Organisation must maintain a record of energy consumption updated at least annually	Important		
<b>10.2</b>	The Organisation should calculate its Carbon Footprint per unit of product and undertake to reduce it annually	Recommendation		
<i>The Auditor must obtain copies of the records.</i>				

## 11 - SOCIAL ACCOUNTABILITY

No	Requirements	Level	Y/N	Comments
<b>11.1</b>	The Organisation must respect human rights by conforming to the following requirements :			
11.1.1	compliance with international and ILO directives regarding child labour	Essential		
11.1.2	remunerating workers with salaries conforming at least to the legal minimum	Essential		
11.1.3	assuring workers' access to medical care	Essential		
11.1.4	applying safety measures in accordance with legal requirements	Essential		
<b>11.2</b>	The organisation should be SA8000 certified	Recommendation		
<i>The Auditor must check conformity to requirements via documented evidence (examples of labour contracts) and on site observations</i>				

## 12 - TRACEABILITY

No	Requirement	Level	Y/N	Comments
<b>12.1</b>	The enterprise must have a system that allows verification that certified products originate from approved installations and that there is no possibility of interchange with products from non-approved installations.	Essential		



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**Additional comments:**

## CONCLUSIONS:

It is important that the Auditor also completes the following fields

The Organisation's products originate from an aquaculture installation that **CONFORMS** to Friend of the Sea requirements.

The Organisation's products originate from an aquaculture installation that **DOES NOT CONFORM** to Friend of the Sea requirements.

The Auditor has found the following nonconformities:

### MAJOR NONCONFORMITY (to conform within 3 months)

Specify

### MINOR NONCONFORMITY (proposal within 3 weeks and conformity within 1 year)

Specify

### RECOMMENDATIONS (notification before the subsequent inspection)

Specify