

Friend of the Sea Standard

FOS - Wild –Non-Freezer Vessels Sustainable fishing Requirements

REV	DATE	REASON	VALIDATION	APPROVAL
0	18/01/2013	First issue	OK	OK
1	01/07/2015	Content update	OK	OK
2	27/12/2015	Update Document Title	OK	OK

Table of contents

Introduction.....	4
Friend of the Sea criteria and their compliance with Minimum Substantive Criteria (FAO)	6
Description of the Organisation	7
1 –Stock Status	10
2 –Ecosystem Impact	10
3 - Selectivity	11
4 - Legal compliance.....	12
5 - Management.....	15
6 – Waste Management	16
7 –Energy Management	16
8 - Social Accountability	17

Introduction

Friend of the Sea is a non-governmental organisation established in 2008, whose aim is to safeguard the marine environment and its resources incentivising a sustainable market and implementing specific conservation projects.

Friend of the Sea certification program allows assessment of fisheries and aquaculture products according to sustainability criteria and requirements. The certification, granted by Independent Certification Bodies following an audit, ensures that a product complies with the sustainability requirements.

The Friend of the Sea fishing certification program complies with the **"GUIDELINES FOR THE ECOLABELLING OF FISH AND FISHERY PRODUCTS FROM MARINE CAPTURE FISHERIES (FAO)"**. All requirements refer to criteria which conform with the "Minimum substantive criteria" included in the following FAO Guidelines.

"Management systems

28. Requirement: The fishery is conducted under a management system which is based upon good practice and that ensures the satisfaction of the requirements and criteria described in Paragraph 29. The management system and the fishery operate in compliance with the requirements of local, national and international law and regulations including the requirements of any regional fisheries management organization that manages the fisheries on the "stock under consideration".

28.1 For the "stock under consideration" there are documented management approaches with a well based expectation that management will be successful taking into account uncertainty and imprecision.

28.2 There are objectives, and as necessary, management measures to address pertinent aspects of the ecosystem effects of fishing as per paragraph 31.

29. The following criteria will apply to management systems for any fisheries, but it must be recognized that special consideration needs to be given to small-scale fisheries with respect to the availability of data and with respect to the fact that management systems can differ substantially for different types and scales of fisheries (e.g. small scale through to large scale commercial fisheries).

29.1 Adequate data and/or information are collected, maintained and assessed in accordance with applicable international standards and practices for evaluation of the current state and trends of the stocks⁴ (see below: Methodological aspects). This can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified.

29.2 In determining suitable conservation and management measures, the best scientific evidence available is taken into account by the designated authority, as well as consideration of relevant traditional fisher or community knowledge, provided its validity can be objectively verified, in order to evaluate the current state of the "stock under consideration"⁵ in relation to, where appropriate, stock specific target and limit reference points.

29.2bis: Taking due account of paragraph 32, for the "stock under consideration" the determination of suitable conservation and management measures should include or take account of:

- Total fishing mortality from all sources is considered in assessing the state of the "stock under consideration", including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries.*

- Management targets 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 management system should specify limits or directions in key performance indicators (see 30.2), consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, and specify the actions to be taken if the limits are approached or the desired directions are not achieved.*

29.3 Similarly, data and information, including relevant traditional, fisher or community knowledge, provided its validity can be objectively verified, are used to identify adverse impacts of the fishery on the ecosystem, and timely scientific advice is provided on the likelihood and magnitude of identified impacts (see paragraph 31).

29.4 The designated authorities adopt and effectively implement appropriate measures for the conservation and sustainable use of the "stock under consideration" based on the data, information and scientific advice referred to in the preceding bullets.⁷ Short-term considerations should not compromise the long-term conservation and sustainable use of fisheries resources.

29.5 An effective legal and administrative framework at the local, national or regional level, as appropriate, is established for the fishery⁸ and compliance is ensured through effective mechanisms for monitoring, surveillance, control and enforcement (see paragraph 6).

29.6 In accordance with the Code of Conduct Article 7.5, the precautionary approach is being implemented to protect the "stock under consideration" and to preserve the aquatic environment.

Inter alia this will require that the absence of adequate scientific information should not be used as a reason for postponing or failing to take conservation and management measures. Further, relevant uncertainties are being taken into account through a suitable method of risk assessment. Appropriate reference points are determined and remedial actions to be taken if reference points are approached or exceeded are specified.

Stocks under consideration

30. Requirement: The "stock under consideration" is not overfished, and is maintained at a level which promotes the objective of optimal utilization and maintains its availability for present and future generations taking into account that longer term changes in productivity can occur due to natural variability and/or impacts other than fishing. In the event that biomass drops well below such target levels, management measures (Code of Conduct Article 7.6) should allow for restoration within reasonable time frames of the stocks to such levels (see also paragraph 29.2.bis). The following criteria are applicable:

30.1 The "stock under consideration" is not overfished if it is above the associated limit reference point (or its proxy).

30.2 If fishing mortality (or its proxy) is above the associated limit reference point, actions should be taken to decrease the fishing mortality (or its proxy) below that limit reference point.

30.3 The structure and composition of the "stock under consideration" which contribute to its resilience are taken into account.

30.4 In the absence of specific information on the "stock under consideration", generic evidence based on similar stocks can be used for fisheries with low risk to that "stock under consideration". However, the greater the risk the more specific evidence is necessary to ascertain the sustainability of intensive fisheries.

Ecosystem considerations

31. Requirement: Adverse impacts of the fishery on the ecosystem should be appropriately assessed and effectively addressed. Much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks. This issue can be addressed by taking a "risk assessment/risk management approach". For the purpose of development of ecolabelling schemes, the most probable adverse impacts should be considered, taking into account available scientific information, and traditional, fisher or community knowledge provided that its validity can be objectively verified. Those impacts that are likely to have serious consequences should be addressed. This may take the form of an immediate management response or further analysis of the identified risk. In this context, full recognition should be given to the special circumstances and requirements in developing countries and countries in transition, including financial and technical assistance, technology transfer, and training and scientific cooperation. The following criteria are to be interpreted in the context of avoiding high risk of severe adverse impacts:

31.1 Non target catches, including discards, of stocks other than the "stock under consideration" are monitored and should not threaten these non-target stocks with serious risk of extinction; if serious risks of extinction arise, effective remedial action should be taken.

31.2 The role of the "stock under consideration" in the foodweb is considered, and if it is a key prey species in the ecosystem, management measures are in place to avoid severe adverse impacts on dependent predators.

31.3 There is knowledge of the essential habitats for the "stock under consideration" and potential fishery impacts on them. Impacts on essential habitats and on habitats that are highly vulnerable to damage by the fishing gear involved are avoided, minimized or mitigated (Code of Conduct 7.2.2). In assessing fishery impacts, the full spatial range of the relevant habitat should be considered, not just that part of the spatial range that is potentially affected by fishing.

31.4 In the absence of specific information on the ecosystem impacts of fishing for the unit of certification, generic evidence based on similar fishery situations can be used for fisheries with low risk of severe adverse impact. However, the greater the risk the more specific evidence is necessary to ascertain the adequacy of mitigation measures.

Methodological aspects

Assessing current state and trends in target stocks

32. There are many ways in which state and trends in stocks may be evaluated, that fall short of the highly quantitative and data-demanding approaches to stock assessment that are often used for large scale fisheries in developed countries. Use of less elaborate methods for stock assessment should not preclude fisheries from possible certification for ecolabelling. However it should be noted that, to the extent that the application of such methods results in greater uncertainty about the state of the "stock under consideration", more precautionary approaches to managing fisheries on such resources will be required which may necessitate lower levels of utilization of the resource. There is a variety of management measures commonly used in small scale or low value fisheries that nonetheless can achieve quite adequate levels of protection for stocks in the face of uncertainty about the state of the resource. A past record of good management performance could be considered as supporting evidence of the adequacy of the management measures and the management system."

Friend of the Sea criteria and their compliance with Minimum Substantive Criteria (FAO)

For each of the following criteria whose compliance is verified in the course of the audit, the respective FAO Minimum Substantive Criterion observed is mentioned in brackets.

1. Status of stock (30)
2. Ecosystem Impact (31)
3. Selectivity (31)
4. Legal Compliance (28)
5. Management (28, 29)
6. Waste management
7. Energy Management
8. Social Accountability

Each one of these criteria contains essential or important requirements or recommendations.

Essential Requirements. 100% conformity to Essential Requirements is mandatory in order for the Certification Body to certify the Organisation's product. Any lack of compliance with these requirements will generate a Major Non-Conformity and the Organisation has to undertake effective Corrective Actions, to be implemented within three months from the issuing of the Non-Conformity. The Organisation shall provide satisfactory evidence to the Certification Body of correction of all major non-conformities. Six months are allowed exclusively for correction of requirements 2.1 and 2.2, in consideration of their more complex nature.

Important Requirements. 100% conformity to Important Requirements is mandatory in order for the Certification Body to certify the Organisation's product. Any lack of compliance with these requirements is to be considered as a Minor Non-Conformity and the Organisation has to propose effective Corrective Actions (declaration of intents and implementation plan), to be submitted to the Certification Body within three weeks from the issuing of the Non Conformity. This proposal must also include a timetable concerning the implementation of each correction measure. Each proposed Corrective Action must be fully implemented within the following twelve months.

Recommendations. Compliance with Recommendations is not mandatory for the product to be certified. However compliance with Recommendation will be verified during the audit and any deficiency (k day du) will be included in the Audit Report as a Recommendation. The Organisation shall inform the Certification Body, during the following audit, regarding any corrective measures implemented.

Requirements which are not applicable to the audited Organisation will be marked with "N.A."

Description of the Organisation

This document shall only be filled out by personnel of the Certification Body in charge of the audit. It must be filled out in English.

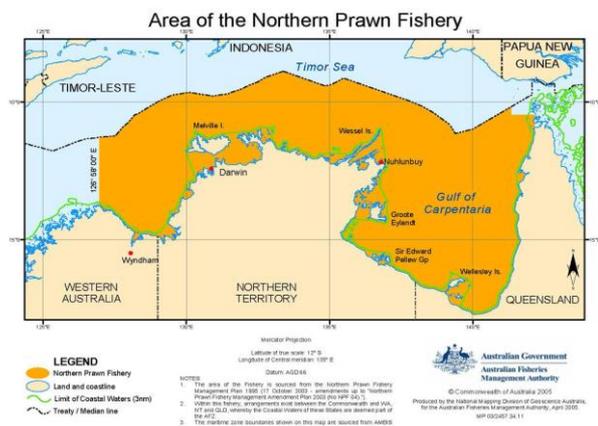
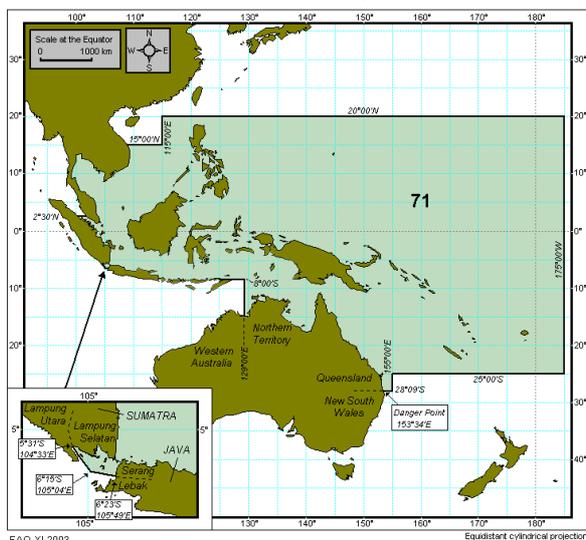
<p>a) NAME OF THE ORGANISATION TO BE AUDITED:</p> <p>A. Raptis and Sons</p>																																																																																																		
<p>b) NAME OF THE ORGANISATION REQUESTING THE AUDIT:</p> <p>A. Raptis and Sons</p>																																																																																																		
<p>c) IS THE ORGANISATION TO BE AUDITED PART OF A GROUP? IF SO, PLEASE SPECIFY THE NAME OF THE GROUP:</p> <p>Northern Prawn Fishery Industry Pty Ltd (NPFII)</p>																																																																																																		
<p>d) ADDRESS OF THE ORGANISATION TO BE AUDITED:</p> <p>90 Colmslie road, Colmslie, QLD 4170 Australia</p>																																																																																																		
<p>e) NAME AND CONTACTS OF THE PERSON WITHIN THE ORGANISATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR:</p> <p>Leith Harte - lharte@raptis.com.au Phil Robson - probson@raptis.com.au</p>																																																																																																		
<p>f) FLEET TO BE AUDITED:</p> <p>The fishery is formed of 52 vessels operating around the Gulf of Carpentaria. A subsection of these are listed in the Table 1 below. These were chosen as the group of vessels owned and operated by Raptis and Son. Fishing vessels use trawls to catch the banana prawns.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: left; padding: 5px;"><i>Name of the fishing vessel</i></th> <th style="text-align: left; padding: 5px;"><i>Registration number</i></th> <th style="text-align: left; padding: 5px;"><i>Vessel's flag</i></th> <th style="text-align: left; padding: 5px;"><i>Fishing method</i></th> <th style="text-align: left; padding: 5px;"><i>Capacity (MT)</i></th> <th style="text-align: left; padding: 5px;"><i>Unloading harbor</i></th> <th style="text-align: left; padding: 5px;"><i>Ship owner if different from a)</i></th> </tr> </thead> <tbody> <tr><td style="padding: 2px 5px;">Adelaide pearl</td><td style="padding: 2px 5px;">855528</td><td style="padding: 2px 5px;">Australia</td><td style="padding: 2px 5px;">Trawl</td><td style="padding: 2px 5px;"></td><td style="padding: 2px 5px;">Karumba</td><td style="padding: 2px 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Pearl	386076	Australia	Trawl		Karumba		Dolphin pearl	855352	Australia	Trawl		Karumba		Eylandt pearl	850856	Australia	Trawl		Karumba		Flinders Pearl	855237	Australia	Trawl		Karumba		Karumba pearl	855304	Australia	Trawl		Karumba		Northern Pearl	855648	Australia	Trawl		Karumba		Raptis Pearl	855356	Australia	Trawl		Karumba		Sandpiper	851458	Australia	Trawl		Karumba		Territory Pearl	850695	Australia	Trawl		Karumba	
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g) VESSELS AUDITED ON SITE: (the auditor must list the vessels which have actually been audited on site as sample representing the fleet)



Figure 1 and 2: Fishing vessel 'Brisbane Pearl' which was audited at the Karumbasite.

h) FISHING ZONE (Coordinates and/or FAO area and/or subarea and/or ICES area and/or EEZ. If available please include also a map)



: Northern Prawn Fishery fishing area

Figure 3 Above shows FAO area 71

i) COMMON AND SCIENTIFIC NAME OF THE SPECIES TO BE AUDITED

Common Name	Scientific Name
Banana Prawn	<i>Fenneropenaeus merguensis</i>

j) TOTAL NUMBER OF EMPLOYEES:

120 - on site in Brisbane (peak season)
5 staff in Normanton
3 staff in Darwin
Up to 24 in Karumba depending on the time of year

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS

- **Friend Of the Sea**
- **Marine Stewardship Council**

l) ADDITIONAL INFORMATION:

- X The Friend of the Sea project was introduced**(If not the Auditor must provide a short description)
- X The Organisation and the shipowners were informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products**
- X The Organisation has a document qualifying and confirming the roles of the staff carrying out the audit**
- The duration of the Audit was agreed**
- X The information included in the Preliminary Information Form has been confirmed:** *(in case of changes to the PIF, an updated version has to be promptly provided)*

CERTIFICATION BODY: RINA SERVICES SPA	AUDIT TEAM: Harry Owen (Lead Auditor)	AUDIT START AND END DATE: 20/07/2016 To the 22/07/2016
SIGNATURE OF AUDITOR: 	NAME OF THE PERSON IN CHARGE FROM THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: Leith Harte (A. Raptis and Sons)	AUDIT CODE: Contract: 2016 QHE 16 Order: 2016 DG DF 18

NOTES TO THE AUDITOR

- 1) The auditor must fill out all fields in the checklist.
- 2) Checklist compilation guidelines are highlighted in the blue boxes.
- 3) The Auditor must provide explanation when requirements are not applicable.
- 4) The Auditor must write YES when the Organisation complies with a requirement and NO when it does not.
- 5) The Auditor must comment and explain the positive or negative answers. YES, NO, N.A. are not enough
- 6) Each relevant document must be added to the final Audit Report in a separate and numbered attachment
- 7) Photographic explanations added to the checklist or attached are appreciated

1 – STOCK STATUS

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
1.1	Up-to-date data and/or information on the stock status is available from one of the following: FAO, Regional Fisheries Management Organisation, Marine Research National Authority, University, other independent research institute. This data concludes that the stock is NOT:				
1.1.1	Data deficient	Essential		Y	The fishing grounds (predominantly the Gulf of Carpentaria- See Figure 3) is monitored by the Australian Fish Monitoring Authority (AFMA) and Commonwealth Scientific and Industrial Research Organisation (CSIRO). The Northern Prawn Fishery for Banana prawns has not been subject to a stock assessment (See Annex 1). However the governing body AFMA consider the stock to be sustainable on the basis of good CPUE management and results (See http://www.afma.gov.au/fisheries/northern-prawn-fishery/).
1.1.2	Over-exploited ($F > F_{msy}$)	Essential	$F < F_{msy}$ within probability range of available stock assessments	Y	The stock is not considered overexploited. It was assessed and is closely monitored and managed by a CPUE trigger that halts fishing when abundance drops below a certain level (See point 1.1 above).
1.1.3	Over-Fished ($B < B_{msy}$)	Essential	$B > B_{msy}$ within probability range of available stock assessments	Y	The landings of banana prawns in the fishery were 4901 (2012), 3050 (2013), 6330 (2014), and 3857 in 2015 (http://www.afma.gov.au/fisheries/northern-prawn-fishery/). This level of consistency shows a stable fishery given that the number of vessels in the fishery did not change over this time and neither did the amount of gear used AND all catches were made above the trigger CPUE of <425kg per boat per day.
The Auditor must take into consideration only the most up-to-date official studies on the stock status. These studies can be provided by the company to be audited, by Friend of the Sea, by other interested parties and by the auditor. Most updated stock assessments for tuna resources are carried out by the tuna RFMOs (IOTC, IATTC, CIAT, WCPFC). The Auditor must provide evidence on the conclusion regarding the status of the stock including clear reference to documents and websites.					
1.2	Requirement 1.1 and sub do not apply to Fisheries or fleets which comply with all other requirements and which are not responsible for stock over-exploitation and do not catch more than 10% in weight of total fish in the stock under consideration.	Essential	Weight of catches by fishery with same fishing method as the one under audit, same capacity and targeting same stock is not over 10% of total catches from the same stock.	N/A	

The Auditor must fill-in these fields ONLY in case of negative answer to the 1.1 requirement

2-ECOSYSTEM IMPACT

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
2.1	The fishery or fleet complies with Marine Protected Areas regulation.		Verify compliance also by use of VMS and plotters tracking and World database www.mpaglobal.net	Y	Yes all have VMS. All monitored by the Australian Fish Monitoring Authority in Canberra. All closed areas are can be seen in Annex ? . There are seasonal closures (Dec - April & from June - August). These are enforced via VMS- See Annex2 Additionally to VMS there are enforcement vessels that patrol occasionally.
The Auditor, through random sampling, using the Satellite Control System on the vessels or valid alternative evidence, must verify that the fishing activity is not carried out in infringement of Marine Protected Areas (MPA). Alternatively an official declaration from local Control Authorities must be produced. The Auditor must provide a list of Protected Marine Areas in the area (refer to www.mpaglobal.org).					
2.2	The fishery or fleet must use fishing gears that do not affect the seabed unless proven that such impact is negligible.		The seabed and benthic marine wildlife must revert to their original conditions within a maximum of 30 days from the impact of the fishing gear on the seabed.	Y	The prevailing substrate is mud and sand owing to the monsoonal these areas are covered with new substrate every year (See Annex 3 - page 1). Only a small portion of the seabed in the fishing area is trawled and this is only on soft mud where the banana prawns live.
The Auditor must collect conformity evidence.					
2.3	The ecosystem impact of the fishery or fleet is taken into consideration by the RFMOs. (Cfr. Art. 31.2 of FAO guidelines 2009)	Recommendation	The RFMO must carry out studies which consider the impact of the fleet or fishery on the ecosystem and it must take this into account when producing managements advices.	Y	This is done by AFMA (see Annex 2 - page 43) and SCIRO and the Northern Prawn Fishery Industry group.
The Auditor must provide evidencereferring to all available studies.					

3- SELECTIVITY

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
3.1	<p>Accidental catches must not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk.</p> <p>The IUCN assessment must have been carried out no more than 10 years before and it must have not been outdated by a more recent stock assessment for the given species / stock.</p>	Important	<p>Bycatch studies must have been carried out by the relevant bodies (FAO or RFMOs or National Authorities or Universities) and they must provide information regarding level of bycatch and bycaught species</p> <p>These studies must not indicate the presence of species vulnerable or worse among the regularly (over 0.25% of total weight) species according to www.redlist.org.</p>	N	<p>Bycatch of non-commercial species is very low but does include any ICUN red list species (See Annex 4). The main bycatch species are mainly forage fish. All vessels are required to have bycatch reduction devices including turtle excluders (See Annex 2 - page 21).</p> <p>New bycatch reduction devices are being trial all the time to reduce this further including KON's Covered Fisheyes that say a 40% reduction in the 2016 trial (Annex 5).</p>
<p><i>The Auditor must obtain a list of the species that are generally caught accidentally. Such list must be provided by the audited organisation with the available studies. The information included in the list must be compared with the accidental catches actually occurred on site at the time of unloading. The list must also be compared with the database of the IUCN red list www.redlist.org. The Auditor must provide a final document that shows if any of the accidentally caught species is included in the IUCN list.</i></p>					
3.2	The level of discard (in weight) must not be over 8% of total catch.		Discards are bycaught species which are not used for human consumption not for fish meal or fishoil production.	Y	<p>Bycatch of non-commercial species is very low and but does include any ICUN red list species (See Annex 4). The main bycatch species are mainly forage fish. All vessels are required to have bycatch reduction devices including turtle excluders (See Annex 2 - page 21). New bycatch reduction device's are being trial all the time to reduce this further including KON's Covered Fisheyes that say a 40% reduction in the 2016 trial (Annex 5). In addition to this very small (2 fathom) 'Try nets' (see Annex 6) are towed in areas with sonar activity to determine the species composition. If it is found that a lot of unwanted species are present then nets are not set, reducing greatly the potential for high bycatch volumes. Furthermore nets are advised where to set with advice from spotter planes that relay the coordinates for large groups of prawns so dense they can be seen from the air. This allows only the cleanest of prawn aggregations to be targeted.</p>

3.3.1	THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA). FADs (Fish Aggregating Devices) The fleet or fishery must provide a census of number of FADs deployed in the previous 12 months per vessel and its must report on a yearly basis to Friend of the Sea regarding FADs deployment per vessel.	Important	Auditor must collect the data provided by the Fleet or fishery and attach it to the Audit Report	N/A	
3.3.2	THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA). FADs (Fish Aggregating Devices) The fleet must use non entangling FADs only, to avoid entanglement of sharks and turtles.	Important	Audit must collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance.	N/A	

4 - LEGAL CONFORMITY

N°	Requirement	Level	Quantitative parameters	Y/N	Comments
4.1	All fishing vessels must be officially registered.	Essential	Vessel registration and fishing license inspection.	Y	Through Australian Fish Management Authority. See Annex 7 for an example registration document.
<i>The Auditor must request a list of all the fishing boats and the respective registration number. The Auditor must collect on site all the documents concerning the registration of at least 10% of the audited boats (copies of photos of the documents)</i>					
4.2	The fleet does not include boats with a flag of convenience.	Essential	The auditor must verify that the boat is not registered to another Nation identified as Flag of Convenience (http://www.itfseafarers.org/foc-registries.cfm).	Y	There are only 52 vessels in the fleet and all carry the Australian flag.
<i>The Auditor must verify according to the website http://www.itfseafarers.org/foc-registries.cfm.</i>					
4.3	The fleet does not include IUU (illegal, unreported, unregulated) fishing vessels.	Essential	The boat cannot be included in the list http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF	Y	Very heavily regulated, only 52 vessels. The government uses spotter planes etc and all vessels must have VMS so it is easy to tell if a vessel is fishing illegally.
<i>The Auditor must verify according to the list on the website http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF</i>					
4.4	THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA). The fleet must be "Dolphin Safe" approved by the Earth Island Institute.	Essential	The organisation must be included in the Dolphin-Safe list of the Earth Island Institute:	N/A	

The Auditor must verify the conformity on the list www.dolphinsafetuna.org or else the company must sign the EII DS Policy and a copy must be included in the audit report

4.5	The fishing company complies with national and international regulations. Compliance with the following regulations in particular has to be confirmed and verified:	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	The fishery is very heavily regulated and monitored by AFMA and CSIRO. Working within the law must be maintained at all times to avoid prosecution.
4.5.1	TAC (Total catching allowed)	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	No quota, the fishery is managed by a time period and this is based on CPUE. When catches drop below a certain level the fisher is closed. See Section 5.1 below.
4.5.2	Use of a logbook	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	All vessels use a computer based log called "catch log". It is a legal requirement to input every day. This includes positioning. See Annex 8
4.5.3	Mesh size	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	There is no minimum mesh size
4.5.4	Net size	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	There is no maximum net size, but net size is determined by gear units. See Annex 2 (page 50)
4.5.5	Minimum size	essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	No minimum landing size
4.5.6	Distance from the shore	Essential	Countries'	Y	No minimum distance from shore

			fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators		
4.5.7	Measures for the reduction of accidental catches	Essential	Countries fisheries laws available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	In 2015 the fishery introduced its Bycatch Strategy 2015-18. The vision is to reduce bycatch by 30% over the 3 years of the strategy. This is run mainly through a voluntary and incentivised program where Bycatch Reduction Devices are trialed and tested. One such device is Kon's Covered Fisheyes, when it was trailed it was found to reduce bycatch by 19% and reduce prawn catch by <2.5% (an amount considered negligible). See Annex 5 (page 3)Some bycatch devices are mandatory, such as TEDs. Where this is the case these are checked at the docks and at sea by AFMA.
4.5.8	No fishing in protected habitats	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators	Y	These are not allowed for fishing in (See Annex 2 for a full list of closures). AFMA can see if VMS has been shut off, as it sends out a switch on and switch off signal. Any vessel found to violate this would be severely penalised.
4.5.9	Use of forbidden gears, chemical substances and explosives	Essential	Countries' laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators	Y	There is no use of forbidden gears, chemical substances and explosives. This is checked and enforced by AFMA.

The Auditor must verify, according to national and international regulations, that the aforementioned legal requirements are met and provide an exhaustive report with reference to the law. Where possible, the Auditor shall provide documents and photographs. A detailed description of the fishing regulation concerning each Country is available on FAO's website <http://www.fao.org/fishery/countryprofiles/search/en>

5 – MANAGEMENT

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
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5.1	The fishing company has a legal and administrative structure, locally, nationally or regionally, as appropriate (Code of conduct for responsible fishing, article 7.7.1).	Essential	Procedure and organisational chart.	Y	<p>The fishery is managed according to the <i>Northern Prawn Fishery Management Plan 1995</i>. This uses predominantly "input controls" to manage the fishery, including; limited entry (limits to the number of vessels and capacity of gear used in the fishery), seasonal area closures, permanent area closures, gear restrictions and operational controls.</p> <p>The Fishery is managed on a CPUE basis where if the fleet fails to catch 500kg per day per vessel during every two week monitoring period the fishery will be closed west of 138° and daylight trawling will be prohibited. For the fishery to close all together is a Maximum Economic Yield Trigger of 425kg per boat per day minimum (See Annex 2 - page 7). In 2012, 2013, 2014 and 2015 (76 fishing days) this resulted in the fishery opening on the 1st of April and closing on the 15th of June.</p> <p>This is all monitored by the NPFI and industry group including members from all stakeholders in the fishery, CSIRO and AFMA. This is done both at the docks and via VMS which is required to be on at all times and will send a signal to the relevant authority if it is switched off. Vessels are also required to carry observers (Annex 9 - page 7 & Annex 2 page 8 & 9).</p>
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The Auditor must verify and describe briefly the legal and administrative structure in force.

5.2	According to the Code of conduct (art 7.5) a precautionary approach is undertaken to protect the target stock and safeguard the marine environment.	Important	Procedure and evidence of conformity.	Y	Fishery fished according to a principle of Maximum Economic Yield. (See annex 2 page 7) This means that management plans have an adjustment mechanism in place should catches exceed the maximum trigger (575kg/boat/day), and if the minimum MEY trigger (425kg/boat/day) is met the fishery will stop altogether.
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The Auditor must verify if the Country the flag of the fishing company refers to has ratified the FAO Code of conduct. Otherwise the Organisation must include a precautionary approach in their procedures.

5.3	The compliance with points 5.1 and 5.2 is achieved through monitoring, surveillance, control and application. (Code of conduct for responsible fishing, article 7.7.1)	Essential	Procedure and evidence of monitoring and control.	Y	See Point 5.1 - The fleet is required to carry VMS and monitored by the regulating authorities. Once on land the NPFI and AMFA carry out checks. The AMFA also has vessels that board and check that vessels are conforming to all applicable regulation.
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The Auditor must describe briefly the monitoring, surveillance, control, and application methods.

5.4	The fleet or fishery must record by All catches per each fishing trip	Essential	Procedure and evidence of recording during at least one fishing trip.	Y	All bycatch of listed species is recorded on Catchlog the software used by the fleet. This is for notable species only and the data from log input is collected and analysed, results can be seen in Annex 9 . However bycatch in terms of discarded forage fish is recorded by observers that circulate between the vessels in the fleet (See Annex 2) to record and build a representative picture of the rates of bycatch.
5.5	The fleet or fishery must record discards.	Essential	Procedure and evidence of conformity	Y	Discards are not recorded by the vessels. However there are observers and these record the discards. This information is sent to (AFMA, CSIRO and NPFI). This helps to build a representative picture of the discard rate.

The Auditor must provide evidence (photos or copies) of the report on accidental catches and discarded fish.

5.6	A management system to prevent possible accidental catching of endangered species must be in place.	Essential	Procedure and evidence of conformity.	Y	The Northern prawn fishery was accredited under the <i>Environmental Protection and Biodiversity Conservation Act 1999</i> (EPBC Act). This means that it must and does act in accordance with the Act and takes the necessary precautions to protect certain marine species (including all those listed as Endangered) - See Annex 2 - page 36. Also as part of the <i>Northern Prawn Fishery Management Plan 1995</i> , all trawl nets are required to be fitted with Turtle Excluder Devices (TEDs) and Bycatch Reduction Devices (BRDs), excluding those fishing deeper than 200m and "try nets". See Annex 9 - page 7.
5.7	The fleet implements a management program that guarantees that any live animals that may be accidentally caught are immediately released in the water under conditions that guarantee high chances of survival.	Essential	Procedure and evidence of conformity.	Y	As part of the <i>Northern Prawn Fishery Management Plan 1995</i> , all trawl nets are required to be fitted with Turtle Excluder Devices (TEDs) and Bycatch Reduction Devices (BRDs), excluding those fishing deeper than 200m and "try nets". See Annex 9 - page 7. However in the event that these devices have been unsuccessful as returning the animal to the sea before the gear is hauled then these individuals are released as soon as possible and their condition upon release is recorded - see Annex 9 - page 51.
5.8	The fleet is equipped with measures which guarantee a quick retrieval of lost fishing device to avoid "ghost fishing".	Essential	Procedure and evidence of conformity.	Y	The NPF is working in conjunction with the Global Ghost Gear Initiative (GGGI) to reduce the impact of ghost nets in the fishing grounds. Raptis provide disposal facilities at the Karumba port and there is equipment on site and onboard some vessels to retrieve lost fishing gear (see Annex 10). If retrieval is not an option then there is a direct reporting portal which relays all critical information the GGGI (See Annex 2 - page 45)

The Auditor must obtain a copy of the aforementioned procedure.

5.9	The fishing company implements "Threshold Reference Limits" or "Precaution Limits" for both, biomass and quantity of fish caught.	Important	Evidence of the values implemented	Y	The Fishery is managed on a CPUE basis where if the fleet fails to catch 500kg per day per vessel during every two week monitoring period the fishery will be closed west of 138° and daylight trawling will be prohibited. For the fishery to close all together is a Maximum Economic Yield Trigger of 425kg per boat per day minimum (See Annex 2). In 2012, 2013, 2014 and 2015 (76 fishing days) this resulted in the fishery opening on the 1st of April and closing on the 15th of June.
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The Auditor must verify if the "Reference Points" and the "Precaution Limits" are set by the Regional Bodies and must verify they are complied with.

6 – WASTE MANAGEMENT

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
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6.1	The fishing company 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	Procedure and evidence of conformity.	Y	All equipment in the industry is cleaned and mended and reused for as long as possible. When this is no longer possible much is recycled, for example all boxes used for product storage are card and as they are no longer lined they can now be and are recycled.
6.2	The fishing company implements measures to prevent dispersion of waste in the sea (including fuels and lubricants and plastic matter)	Essential	Procedure evidence of conformity.	Y	This must all come back to land. This is mandated under the International Convention for the Prevention of Pollution from Ships to which Australia is a signatory and this is managed by the Australian Maritime Safety Authority (See Annex 2 - page 44 NPF). In addition any vessel over 100 gross tonnage or certified to carry 15 people and above must have a Garbage Management Plan. There are waste disposal facilities at the ports for oil/bilge water, nets, <i>et cetera</i> - see Annex 11 .
6.3	The fishing company utilises all the chemical non-toxic alternatives available in order to reduce the use of toxic, persistent or bio-accumulating substances.	Essential	Procedure evidence of conformity.	Y	The chemicals used are considered highly toxic to aquatic organisms. However the "dilution of the product with the large excesses of water present and the relatively rapid biodegradation of the surfactants and quaternary ammonium compound should ensure minimal ecotoxicity" (See Annex 21).
6.4	The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.	Essential	Procedure evidence of conformity.	N	R22 used on 80% of vessels and just started a process to convert to R438. R22 is a HCFC gas that the Australian government has (by signing and ratifying the Montreal treaty) committed to discontinuing the use of. This treaty "sets out a mandatory timetable for the phase out of ozone-depleting substances including almost all imports to Australia of hydrochlorofluorocarbons (HCFC), such as R22 by 2016". While Raptis is still using R22 in the majority of its vessels it is phasing in R438 instead which will have to be done before the complete cessation of use by 2029 set out by the government. See Annex 19 .

The Auditor must provide procedures complete with photographic evidence.

7 –ENERGY MANAGEMENT

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
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7.1	The Organisation must keep a register of the energy sources and use, updated at least once a year.	Essential	<p>The at least yearly frequency of the energy consumption records must be included in the procedure.</p> <p>The register must state at least the following parameters:</p> <ol style="list-style-type: none"> 1. incoming energy sources (renewable or not) 2. energy consumption per process line (fishing, processing, transport) 	Y	<p>The factory keeps a record of power use and the trend shows that the power usage is decreasing. This is to do with upgrading equipment such as compressors, a power factor correction unit, using more LED lights etc. See in Annex 12 - page 1</p> <p>Vessels keep fuel sheets -see Annex 13</p>
7.2	The Organisation should calculate its Carbon Footprint per product unit and engage to reduce it every year.	Recommendation		N	<p>This is not the case for either the factory or the vessels.</p> <p>Recommendation: That in future the company attempts to calculate its carbon footprint in an attempt to reduce this over time.</p>
The Auditor must request copies of the registers.					

8 - SOCIAL ACCOUNTABILITY

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
8.1	The Organisation must respect human rights, complying with the following requirements:				
8.1.1	compliance with national regulations and ILO on child labour	Essential	Refer to ILO: http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm	Y	No children are employed in the industry.
8.1.2	pay the employees adequate salaries compliant at least with minimum legal wages	Essential	Minimum wages vary depending on the country. The Auditor must verify the Organisation knows about it.	Y	All employees receive an award wage based on a share of the catch once the cost of running has been deducted from the money from the landing the rest is divided between the captain (who takes the largest portion), the Engineer (who get the next largest amount) and then equally amongst the remainder of the crew. An example payslip for a crewmember can be seen in Annex 14
8.1.3	grant employees access to healthcare	Essential		Y	There is no access to healthcare provided by the company. However all Australian citizens are on Medicare and all crew members have accident insurance. Non-Australians don't get access but are required to sign a disclaimer explaining they understand the situation and are advised to purchase healthcare. However any crew-member will be reimbursed for medical expenses (up to \$25,000 AUD) if ill health occurred whilst signed on to work on the vessel (see Annex 16). This brings the company beyond what is required by the Australian government.
8.1.4	apply safety measures required by the law	Essential		Y	There is a health and safety document contained within the "Ships Management System" at the site and all staff have been received training in this before they start work and this is record and signed by the employee - see Annex 15
8.2	The organisation should be SA8000 certified.	Recommendation		N	The organization is not SA8000 certified Recommendation: That the company seeks SA8000 certification

The Auditor must verify the compliance with the requirements through documental evidence (work-contract samples) and on-site observation.

Further comments:

CONCLUSIONS:

The Auditor must fill-in the following fields

The fleet COMPLIES with Friend of the Sea requirements

The fleet DOES NOT COMPLY with Friend of the Sea requirements

MAJOR NON-CONFORMITIES (to be corrected within 3 months)

List major non conformities

MINOR NON-CONFORMITIES (corrective plan to be produced within 3 weeks and correction within 1 year)

3.1

Accidental catches must not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk.

6.4

The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.

RECOMMENDATIONS (to be communicated within the next inspection)

Recommendation:

7.2 That in future the company attempts to calculate its carbon footprint in an attempt to reduce this over time.

8.2 That the company seeks SA8000 certification

NEXT AUDIT SUGGESTED PLANNING

	TYPE	BY THE DATE
	Surveillance audit	
	Renewal audit	