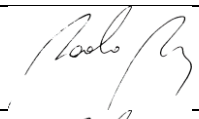
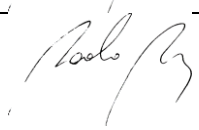
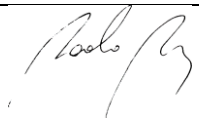
Friend of the Sea Standard

FOS - Wild
Sustainable Fishing Requirements

Friend of the Sea
www.friendofthesea.org

REV	DATE	REASON	VALIDATION	APPROVAL
1	18/01/2013	First issue	Paolo Bray	
2	01/07/2015	Update	Paolo Bray	
3	30/09/2016	Standards update	Paolo Bray	

Foreword

Friend of the Sea is a non-governmental organisation, which was established in 2008. Its aim is to safeguard the marine environment and its resources by 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 following an audit by independent certification bodies, ensures that a product complies with the sustainability requirements.

Requirements are classified as Essential, Important or Recommendations, according to their level of importance.

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 shall also include a timetable concerning the implementation of each correction measure. Each proposed corrective action shall be fully implemented within the following 12 months.

Recommendations: Compliance with recommendations is not mandatory for the product to be certified. However compliance with recommendations will be verified during the audit and any deficiency 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 shall be filled out in English if spoken fluently.

a) NAME OF THE ORGANISATION TO BE AUDITED:

Indústrias Alimentícias Leal Santos Ltda

b) NAME OF THE ORGANISATION REQUESTING THE AUDIT:

Indústrias Alimentícias Leal Santos Ltda

c) IS THE ORGANISATION TO BE AUDITED PART OF A GROUP? IF SO, PLEASE SPECIFY THE NAME OF THE GROUP AND LIST ALL MEMBERS:

The Spanish group ACTEMSA owns Leal Santos. The unit in Rio Grande-RS has a port to unload the fish from fleet of 6 fishing boats, a processing plant to make canned tuna and cold storage facilities.

d) ADDRESS OF THE ORGANISATION TO BE AUDITED:

4ª Seção da Barra S/Nº - Distrito Industrial 96204-090 - Rio Grande - RS - Brazil

e) NAME AND CONTACTS OF THE PERSON WITHIN THE ORGANISATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR:

Diego Cortezia

diego@lealsantos.com
+55 53 99135 1583

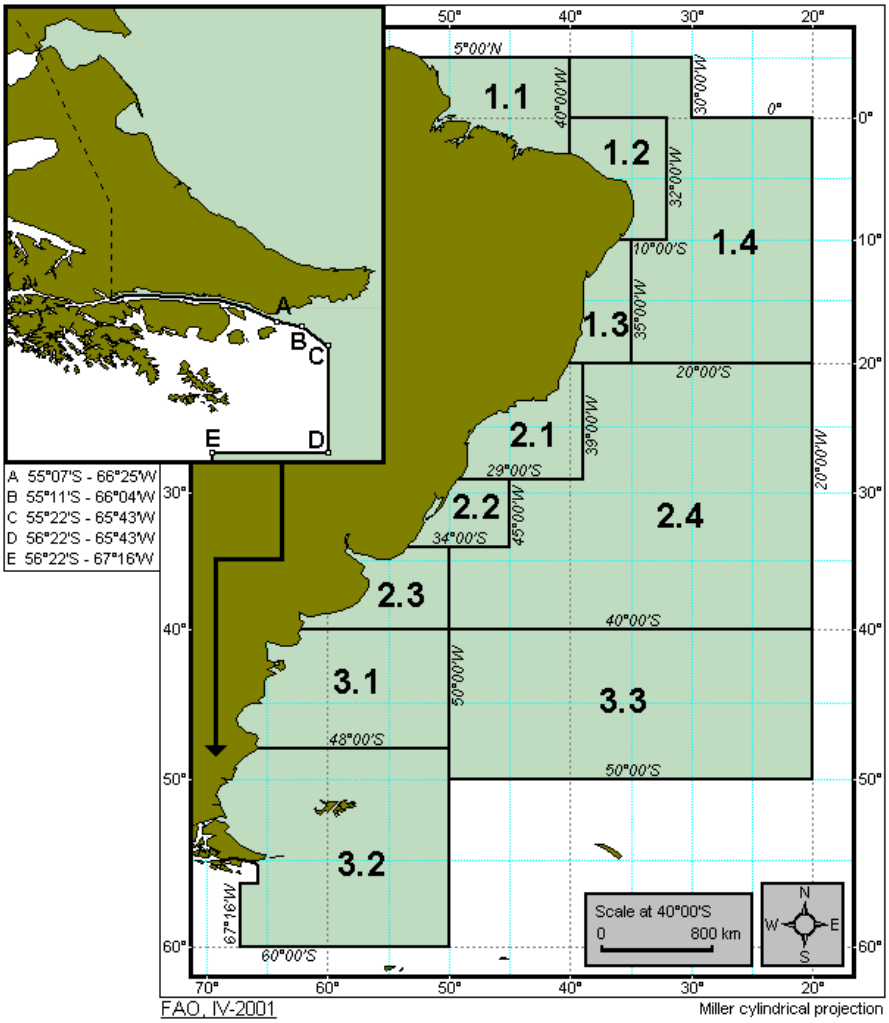
f) FLEET TO BE AUDITED:

Name of the fishing vessel	*Registration number*	*Vessel's flag*	*Fishing method*	*Capacity (MT)*	*Unloading harbour*	*Ship owner, if different from a)*
Katsushio Maru 5	4610083566	Brazil	Pole and Line	220	Rio Grande-RS	-
Katsushio Maru 6	4610083574	Brazil	Pole and Line	220	Rio Grande-RS	-
Katsushio Maru 7	4610083582	Brazil	Pole and Line	220	Rio Grande-RS	-
Katsushio Maru 8	4610083591	Brazil	Pole and Line	220	Rio Grande-RS	-
Delfim	4610036771	Brazil	Pole and Line	80	Rio Grande-RS	-
Espada	4610037033	Brazil	Pole and Line	100	Rio Grande-RS	
Águia Dourada VII	461091544	Brazil	Pole and Line	110	Rio Grande-RS	Espólio de Gennaro Perciavalle
Águia Dourada IX	4430091641	Brazil	Pole and Line	130	Itajaí-SC	Espólio de Gennaro Perciavalle
Águia Dourada XII	4430107017	Brazil	Pole and Line	130	Itajaí-SC	Espólio de Gennaro Perciavalle
Águia Dourada XVI	4430121044	Brazil	Pole and Line	220	Itajaí-SC	Espólio de Gennaro Perciavalle
Águia Dourada XVII	4430477990	Brazil	Pole and Line	140	Itajaí-SC	Espólio de Gennaro Perciavalle

g) VESSELS AUDITED ON SITE (the auditor shall list the vessels which have actually been audited on site as sample representing the fleet)**:**

Name of the fishing vessel	**Registration number**	**Unloading harbour**
Katsushio Maru 6	4610083574	Rio Grande-RS
Katsushio Maru 7	4610083582	Rio Grande-RS

h) FISHING ZONE *(Coordinates and/or FAO area and/or subarea and/or ICES area and/or EEZ. If available, please include a map.)****: Fao 41***



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

Common Name	Scientific Name
Skipjack tuna	*Katsuwonus pelamis*
Yellowfin tuna	*Thunnus albacares*
Albacore	*Thunnus alalunga*

j) TOTAL NUMBER OF EMPLOYEES:

260 employees, being 150 fishermen.

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS IPNLF –International Pole and Line Foundation, Dolphin Safe, Actemsa – is MSC certifed
l) ADDITIONAL INFORMATION:

☒ **The Friend of the Sea project was introduced** *(If not, the Auditor shall provide a short description)*

☒ **The Organisation and the ship owners were informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products**

☒ **The Organisation has a document qualifying and confirming the roles of the staff carrying out the audit**

☒ **The duration of the Audit was agreed upon**

☒ **The information included in the Preliminary Information Form (PIF) has been confirmed** (in case of changes to the PIF, an updated version has to be promptly provided)**:**

CERTIFICATION BODY: Rina Services	**AUDIT TEAM:** Osires de Melo – Lead auditor	**AUDIT START AND END DATE:** 20/03/2017 21/03/2017
SIGNATURE OF AUDITOR: 	**NAME OF THE PERSON IN CHARGE OF THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT:** Diego Cortezia	**AUDIT CODE:**

NOTES TO THE AUDITOR

1) The auditor shall fill out all fields in the checklist.
2) Checklist compilation guidelines are highlighted in the blue boxes.
3) The Auditor shall provide an explanation when requirements are not applicable.
4) The Auditor shall write YES when the Organisation complies with a requirement and NO when it does not.
5) The Auditor shall comment and explain the positive or negative answers. Simple "YES," "NO," or "N.A." are insufficient.
6) Each relevant document shall 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	Parameters and information	Y/N	Comments
1.1	The state of the stock under consideration shall be assessed by the fisheries management organisation.	Essential	The fishery shall demonstrate to collect data in accordance with applicable international standards (e.g. Coordinating Working Party on Fishery Statistics, the FAO Guidelines for the routine collection of capture fishery data, FAO Fisheries Technical Paper No. 382; Deep Sea Fishery (DSF) in the High Seas, FAO Programme).	Y	The fishery collects data from FAO, ICCAT and from the Federal University if Rio Grande – FURG, who keeps records of all landings and fishing of the region, studies and projections for the fishing companies and the government.

The fisheries management organisation is an institution responsible for fisheries management, including the formulation of rules governing fishing activities. The fishery management organisation may also be responsible for collection of information, its analysis stock assessment, monitoring, control and surveillance. ***FAO 1997: FAO Technical Guidelines for Responsible Fisheries.***					
1.1.1	The stock under consideration shall NOT be data deficient	Essential		Y	Many publications from important scientific sources are available. Infofish, FAO and ICCAT are the main source of data.
1.1.2	The stock under consideration shall NOT be Over-exploited.	Essential	$F<=F_{msy}$ within probability range of available stock assessments or at least $F<=F_{lim}$ (limit reference point – or its proxy) If overfishing of a stock under consideration of a certified fishery occurs, the certification of this fishery is suspended or revoked.	Y	According to the most recent available ICCAT stock assessment reports: Skipjack (ICCAT Report 2014-2015(II)): F = 0.7 For Albacore, the REPORT OF THE 2016 ICCAT NORTH AND SOUTH ATLANTIC ALBACORE STOCK ASSESSMENT MEETING) The F2014/FMSY ranged from 0.489 to 0.573, indicating that this species is not over-exploited. Yellowfin: On the REPORT OF THE 2016 ICCAT YELLOWFIN TUNA STOCK ASSESSMENT MEETING (San Sebastian, Spain – 27 June to 1 July 2016, the Age Structured Production Model (ASPM) estimates of the MSY and its associated quantities for yellowfin tuna for the base case models, the values for F were between 0.558 and 0.625 (table 17, pag 33).
1.1.3	The stock under consideration shall NOT be Over-Fished.	Essential	$B>=B_{msy}$ within probability range of available stock assessments or at least $B>B_{lim}$ (limit reference point – or its proxy). If the stock under consideration of a certified fishery becomes overfished, the certification of this fishery is suspended or revoked.	y	Skipjack (ICCAT Report 2014-2015(II)): B = 1.3 The REPORT OF THE 2016 ICCAT NORTH AND SOUTH ATLANTIC ALBACORE STOCK ASSESSMENT MEETING found that values for B2015/BMSY ranged from 0.937 to 1.147 indicating that this species is not overfished Yellowfin: On the REPORT OF THE 2016 ICCAT YELLOWFIN TUNA STOCK ASSESSMENT MEETING (San Sebastian, Spain – 27 June to 1 July 2016, the Age Structured Production Model (ASPM) estimates of the MSY and its associated quantities for yellowfin tuna for the base case models, the values for B were between 1.0023 and 1.025 (table 17, pag 33).
All the requirements related to the current status and trend of the stock under assessment shall include data of bycatch, discards, unobserved mortality, incidental mortality, unreported catch, and catch outside of the unit of certification. ***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.*** ***Other information may include generic evidence based on similar stocks, when specific information on the stock under consideration is not available, providing there is low risk to the stock under consideration in accordance with the Precautionary Approach.***					
1.1.4	The methodology of assessment of the status and trends of the stock under consideration shall be made publicly available in a timely manner.	Essential	Documental evidence	y	The FAO and ICCAT reports are public and available at their respective websites.

1.2	Only applicable to small-scale and artisanal fisheries (i.e. it is not applicable to freezer vessels) If the organisation complies with all the requirements of the standards in the present document and does not catch more than 10% of the total catch (weight) of the same target species in the stock under consideration, requirements 1.1.1, 1.1.2., 1.1.3. do not apply.	Essential	Weight of catches by fishery with same fishing method as the one under assessment is not over 10% of total catch from the same stock.	na	This is not a small scale operation.
The Auditor shall fill-in these fields ONLY in case of negative answer to the 1.1 requirement. ***The aim of this requirement is to allow certification of small-scale artisanal and/or traditional fisheries targeting stocks which might have been overfished by bigger scale vessels and fisheries.***					

2 ECOSYSTEM and HABITAT IMPACT

No.	Requirement	Level	Parameters and Information	Y/N	Comments
2.1	Current data and/or other information is collected and updated about the effects of the fishery under assessment on the ecosystem structure and habitats vulnerable to damage by fishing gear, also considering the role of the stock in the food web (e.g. key prey or predator species). The same information regarding any associated enhancement activities is also collected and maintained.	Important	Data collection shall be in accordance with international standards (e.g. CWP and DSF in the High Seas, FAO Programme). The data and analysis may include local, traditional or indigenous knowledge and research, providing its validity can be objectively verified. The methodology and results of the analysis of the most probable adverse impacts of the unit of certification and any associated culture and enhancement activity on the ecosystem are made publicly available in a timely manner, respecting confidentiality where appropriate.	Y	The fishing method used by Leal Santos is Pole and Line. Pole and Line does not impact the ecosystem structure and habitats Purse seine fishing for baits are done in deep ocean areas, where the net never touches the bottom.

2.2	The fishery or fleet complies with Marine Protected Areas regulation.	Essential	Verify compliance also by use of VMS and plotters tracking and World database www.mpaglobal.n etc	Y	There are strong regulations about fishing in protected areas in Brazil. There are just a few protected areas on the fishing zone of Leal Santos. All of them are marked on the GPS navigation system of the vessels. These boats are real time monitored by the PREPS – *Programa Nacional de rastreamento de embarcações pesqueiras por satelite* (National Program for fishing vessels tracking by satellite). There is a written commitment from Leal Santos to not fish in protected areas.
The Auditor, through random sampling, using the Satellite Control System on the vessels or valid alternative evidence, shall verify that the fishing activity is not carried out in infringement of Marine Protected Areas (MPA). Alternatively an official declaration from local Control Authorities shall be produced. The Auditor shall provide a list of Protected Marine Areas in the area (refer to www.mpaglobal.org).					
2.2	The fishery or fleet shall use fishing gears that do not affect the seabed unless proven that such impact is negligible.	Essential	The seabed and benthic marine wildlife shall revert to their original conditions within a maximum of 30 days from the impact of the fishing gear on the seabed.	Y	See 2.1 above.
The Auditor shall collect conformity evidence.					
2.3	The organisation has requested or conducted an assessment of the impact of its activities on essential habitats for the stock under consideration and on habitats vulnerable to damage by the fishing gear.	Recommendation	The RFMO shall carry out studies which consider the impact of the fleet or fishery on the ecosystem and it shall take this into account when producing managements advices.	y	Leal Santos has an agreement with the Federal University of Rio Grande –FURG, Department of Oceanology. The company supply FURG with data of its fisheries. With this data FURG does research studies that serve as guidance for the fisheries. See 1.1 above.
The Auditor shall provide evidence referring to all available studies.					
2.4	In the case of enhanced fisheries (e.g. fishery and aquaculture activities) the organisation is assessed also against FOS Aquaculture standards	Essential	Full compliance of FOS-Aqua standards	NA	This is not an enhancement fishery
2.4.1	Natural reproductive stock components of enhanced stocks are not overfished nor substantially displaced by stocked components.	Essential	The displacement shall not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies).	NA	This is not an enhancement fishery
2.4.2	Management objectives are in place that seek to avoid significant negative impacts of enhancement activities on the natural reproductive stock component of the stock under consideration and any other wild stocks from which the organisms for stocking are being removed.	Essential	Target Reference points or their proxies.	NA	This is not an enhancement fishery
Only applicable to enhanced fisheries. **Enhanced fisheries** ***are fisheries supported by activities aimed at supplementing the recruitment and raising the total production of a fishery beyond a level supported by natural processes (FAO Technical Guidelines for Responsible Fisheries. Inland fisheries. No 6. Rome, FAO 1997.***					

3 SELECTIVITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
3.1	Accidental catches 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 and it shall have not been outdated by a more recent stock assessment for the given species / stock.	Important	Bycatch studies shall have been carried out by the relevant bodies (FAO or RFMOs or National Authorities or Universities) and they shall provide information regarding level of bycatch and bycaught species These studies shall not indicate the presence of species vulnerable or higher risk among the regularly (over 0.25% of total weight) species according to www.redlist.org.	Y	Pole and Line is a very selective fishing method. There is almost no other fish than tuna caught. According with the captains interviewed, the fish Dourado (*Coryphaena hippurus*) is the only one who is seldom caught, and consumed by the crew.
3.1.1	The organization collects and maintains current data and/or other information about the effects of the fishery and associated enhancement activities on endangered species, non-target catches and discards.	Essential	Traditional, fisher or community knowledge can be used as reference, provided its validity can be objectively verified	Y	Most of the Captains and fishermen of the fishing fleet are traditional fishermen, coming from fishermen's families with long tradition and knowledge of the fishing in the region.
The Auditor shall obtain records kept by the organisation of the species that are caught accidentally, and an assessment of the effects of the fishery on non-target stocks. The information included in the list shall be compared with the accidental catches actually occurred on site at the time of unloading. The list shall also be compared with the database of the IUCN red list www.redlist.org. The Auditor shall provide a final document that shows if any of the accidentally caught species is included in the IUCN list.					
3.2	The level of discard (in weight) shall not be over 8% of total catch.	Essential	Discards are bycaught species which are not used for human consumption not for fish meal or fish oil production.	y	According to the captains interviewed and the logbooks inspected the number of bycatch is negligible. According to the document "FAO 2005 Discards in the world's marine fisheries un update", the discard rate with pole and line fishing is between 0% and 1% (http://www.fao.org/docrep/008/y5936e/y5936e09.htm#bm09.1)

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 shall provide a census of number of FADs deployed in the previous 12 months per vessel and its shall report on a yearly basis to Friend of the Sea regarding FADs deployment per vessel.	Important	Auditor shall collect the data provided by the fleet or fishery and attach it to the audit report	NA	No fish aggregating devices are used. This method is not used with the pole and line fishing method. The fisheries use spotters that spend most of their time with binoculars looking for signs to locate tuna schools.
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 shall use non entangling FADs only, to avoid entanglement of sharks and turtles.	Important	Audit shall collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance.	NA	SEE 3.3.1 ABOVE

4 LEGAL CONFORMITY

N°	Requirement	Level	Parameters and information	Y/N	Comments
4.1	All fishing vessels shall be officially registered.	Essential	Vessel registration and fishing license inspection.	Y	All fishing vessels are officially registered. Inspected the register of the fishing vessels audited Katushio Maru 6 and Katushio Maru 7.
The Auditor shall request a list of all the fishing boats and the respective registration number. The Auditor shall collect on site all the documents concerning the registration of at least 10%of the audited boats (copies of photos of the documents)					
4.2	The fleet does not include boats with a flag of convenience.	Essential	The auditor shall verify that the boat is not registered to another Nation identified as Flag of Convenience (http://www.itfseafarers.org/foc-registries.cfm).	Y	All vessels are Brazilian Flag. Inspected by the auditor that Brazil is not listed as a country of flag of convenience.
The Auditor shall verify according to the website http://www.itfseafarers.org/foc-registries.cfm.					
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	None of the boats is on the IUU list
The Auditor shall 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					

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 shall be "Dolphin Safe" approved by the Earth Island Institute.	Essential	The organisation shall be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphinsafetuna.org	Y	Leal Santos is Dolphin Safe certified.
The Auditor shall verify the conformity on the list www.dolphinsafetuna.org or else the company shall sign the EII DS Policy and a copy shall be included in the audit report					
4.5	The Organization 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 shall specify applicable indicators.	Y	See Section 1
4.5.1	TAC (Total Allowable Catches)	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en. The Auditor shall specify applicable indicators.	Y	There is no quotas for the species used by Leal Santos in Brazil. According to the ICCAT, the MSY for Skipjack is around 30,000 to 32,000 tons and the current yield is 26,317t. For Albacore, MSY was estimated to range from 25,080 t to 26,920 t and a TAC of 24,000. For Yellowfin, from ICCAT reports, the MSY in 2015 was 150,300 tons, while the total catch was estimated in 110,337 t.
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 shall specify applicable indicators.	Y	All fishing vessels use a logbook to register their fishing activities.
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 shall specify applicable indicators.	NA	The fishing method is Pole and line

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 shall specify applicable indicators.	NA	The fishing method is Pole and line
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 shall specify applicable indicators.	Y	There is no minimum size. However, the buyers only buys above 1.8 Kg. Average weight is 4to 5 Kg.
4.5.6	Distance from the shore	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en. The Auditor shall specify applicable indicators	Y	Brazilian Coast Guard prohibits industrial fishing 200 meters from the coast, Leal Santos has an internal policy to fish after 5 miles from the coast
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 shall specify applicable indicators.	Y	Pole and line is a very selective fishing method, almost does not provokes accidental catches.
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 shall specify applicable indicators	Y	Protected areas are plotted on the navigation/fishing equipment and respected by the fishing fleet, who is real time monitored by the PREPS GPS system.
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 shall specify applicable indicators	Y	The company does not uses forbidden gears to fish. The baits are fished using purse seine and the tuna is fished using pole and line.
The Auditor shall 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	Parameters and information	Y/N	Comments
5.1.1a	A fishery management organization, that holds a legal mandate in compliance with national and international laws, manages, by means of a Fishery Management Plan, the fishery of which the fishery or fleet under audit is a part.	Essential	Evidence of conformity to local laws and regulations. A map of existing RFMOs is available at http://www.fao.org/figis/geoserver/factsheets/rfbs.html In addition, national fishery ministries and authorities can be considered, e.g. Fisheries Management Organisations (FMO).	Y	The Ministério da Pesca (Ministry of the Fishing) regulates the fishing in Brazil, issuing fishing permits, fishing seasons, fishing quotas, when applicable and registering the companies. The fishing vessels are real time monitored by the PREPS system.
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 organisation 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. The arrangement shall ensure the rights of the small-scale fishing communities are granted.	Essential	Evidence of consideration of the rights of small scale fishing communities.	Y	There is no small scale tuna fishing om the region
5.1.1c	The fishery management organization convenes at least yearly to update its management advices according to the most updated data.	Essential	Evidence of meetings frequency.	Y	There are regular meeting of the fishing committees
5.1.1d	If the fishery management system includes trade-related measures, they shall be adopted and implemented in accordance with international law, including WTO Agreements.	Essential		Y	Most of the Leal Santos products are exported.
The Auditor shall verify and describe briefly the legal and administrative structure in force and provide the evidence of compliance with local laws and regulations. ***The fishing company or organisation may also be part of traditional or community system of management of the stock, provided their performance can be objectively verified.***					

5.1.2	The fisheries management system (FMS) under which the fishery or fleet under audit is managed shall be both participatory and transparent, to the extent permitted by national laws and regulations.	Essential	Information and advice used in FMS decision-making is publicly available. A consultation process regularly seeks and considers relevant information. Consultation with Deep Sea fishers shall be carried out if applicable.	Y	The fishing regulations are made public by the Ministry of Fishing.
5.1.3	Small-scale fishing communities and deep-sea fishers, shall be involved in the planning and implementation of management measures affecting their livelihood, as appropriate.	Important	Evidence of involvement of local communities. E.g. monitoring and control of fishing activities, protected areas	NA	See 5.1.1b
5.2.1	A precautionary approach is undertaken to protect the target stock and its habitat and safeguard the marine environment. (FAO Code of conduct, art 7.5)	Important	Procedure and evidence of conformity.	Y	The use of pole and line fishing method
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. These measures shall prompt the restoration of the stock to such levels within a reasonable time frame.	Important	Procedure indicating target reference points and time frame.	Y	ICCAT recommendations are taken into consideration by the management of the company.
5.2.3	Efficacy of management measures and their possible interactions is kept under continuous review.	Essential	Evidence of periodical reviews of the management measures shall be provided.	y	The company keeps track of all scientific data on the targeted stocks, as well as new ways to improve their efficiency and sustainability.
The auditor shall verify if the Country the flag of the fishing company refers to has ratified the FAO Code of conduct. Otherwise the organisation shall include a precautionary approach in their procedures, including a risk assessment procedure.					
5.3	The compliance with points 5.1 and sub and 5.2 is achieved through monitoring, surveillance, control and enforcement.	Essential	Procedure and evidence of monitoring and control.	Y	Brazil ratified the FAO Code of conduct.
The Auditor shall describe briefly the monitoring, surveillance, control, and application methods and provide the evidences of the activities undertaken by the fishery enforcement system to ensure compliance.					

5.4	The fleet or fishery shall record bycatch from each fishing trip.	Essential	Procedure and evidence of recording during at least one fishing trip.	Y	Bycatch, whenever occurs, is recorded on the logbooks
5.5	The fleet or fishery shall record discards.	Essential	Procedure and evidence of conformity	Y	Discards are recorded in the logbook and in the unloading reports.
5.5.1	The organisation shall make bycatch and discard data publicly available.	Recommendation	Procedure and evidence of conformity	Y	All fishing is reported to the FURG department of Oceanology.
The Auditor shall provide evidence (photos or copies) of the report on accidental catches and discarded fish.					
5.6	A management system to prevent possible accidental catch and significant negative impacts of endangered species shall be in place.	Essential	Procedure, performance indicators and evidence of conformity.	Y	Pole and line is a very selective fishing method.
5.7	The organisation implements a management program to reduce the accidental catch of non-target species, including procedures for the release of live animals under conditions that guarantee high chances of survival.	Essential	Procedure, performance indicators, and evidence of conformity.	Y	The fishing vessels crews are oriented to not capture sharks.
The auditor shall provide documental evidence that the organisation collects data to assess the impact of the fishing activities on non-target species and endangered fauna (i.e. IUCN listed). The data collection shall address specific outcome indicator(s) consistent with achieving management objectives.					
5.8	The fleet is equipped with measures that guarantee a quick retrieval of lost fishing devices to avoid "ghost fishing".	Essential	Procedure and evidence of conformity.	Y	There is no ghost fishing with pole and line. The capture of baits (anchoita) using purse seine is done very near the surface. The organization has a procedure for ghost fishing prevention.
The Auditor shall obtain a copy of the aforementioned procedures.					
5.9	ONLY APPLICABLE TO FREEZER VESSELS AND FLEETS. NOT APPLICABLE TO SMALL-SCALE ARTISANAL FISHERIES. The fleet has a full-time on-board independent observer who reports compliance with Friend of the Sea requirements. In alternative a CCTVs system has been deployed and it is accessible by the auditor to verify compliance with Friend of the Sea requirements	Important	Documental evidence of employment. At least one monthly report of the on-board inspector.	NA	Leal Santos fishing boats are not Freezer Vessels
The Auditor shall verify the presence of the observers and obtain their CV and contacts.					

5.10a	Outcome indicator(s), including Target and Limit reference points, are defined for all management objectives related to the conservation of the stock under consideration. Management Objectives take into account the Best Scientific Evidence available	Essential	Target reference points. e.g maximum sustainable yield (MSY, or a suitable proxy) or a lesser fishing mortality if that is applicable to the fishery. Marine resources exploited in deep-sea fisheries in the high seas have low productivity, thus biological reference points shall be set to ensure long term sustainability.	Y	SEE Section 1
5.11	There are clear management objectives, outcome indicators and measures defined and periodically reviewed by means of risk assessment to avoid, minimize, or mitigate impacts on:	Essential	Procedure, performance indicators, action taken and outcomes.	Y	See section1
5.11.1	Essential habitats for the stock of consideration, and vulnerable ecosystems, including those potentially impacted by Deep-Sea fisheries			Y	Pole and line is used 5 up 90 miles from the coat, with very low impact.
5.11.2	Endangered species			Y	Pole and line method is very selective
5.11.3	Non target stocks			Y	Almost only the tuna species is caught. The organization has a procedure to deal with By-catches.
5.11.4	Dependent predators and/or preys			Y	The main predators are sharks. The company forbids the fishing of sharks
5.11.5	Ecosystem structure and processes			Y	The Pole and line fishing method causes a very low ecosystem impact.
5.12	A yearly reviewed Ecosystem Approach to Fisheries is in place	Recommended	Documental evidence	Y	ICCAT reports are regularly published and used by the organization as guidance.
5.13	Fisheries management approaches, plans and strategies are an integral part of integrated coastal management, and/or ocean management for oceanic fisheries.	Recommended	Documental evidence	Y	ICCAT reports are regularly published and used by the organization as guidance.
The Auditor shall provide evidence of the reference values targeted and implemented. These can, in some cases, be threshold reference limits and precaution limits set by regional bodies. ***The management measures implemented by the management system of the organisation shall be based on the best available scientific evidence. Any traditional or scientific knowledge can be used within the management system, given that it can be objectively verified by the auditor***					

6 WASTE MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N	Comments
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	FEPAM – fundação estadual de proteção ambiental license of operation. Requirements in this license on recycling of residues. Plastic, paper e organics are sent to a licensed residues center, Metal is sold to recycling
6.2	The fishing company implements measures to prevent dispersion of waste in the sea (including fuels and lubricants and plastic matter)	Essential	Procedure and evidence of conformity.	Y	All recycling materials are kept on board until the boat arrives back to the port, when these materials are then sent to their respective final destination.
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 and evidence of conformity.	y	Only regular biodegradable cleaning products are used on the boats.
6.4	The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.	Essential	Procedure and evidence of conformity.	y	Ammonia is the gas used for refrigeration by the boats.
The Auditor shall provide procedures complete with photographic evidence.					

7 ENERGY MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N	Comments
7.1	The Organisation shall keep a register of all energy sources and use thereof, which shall be updated at least once a year.	Essential	Energy consumption records, which shall be created at least once a year shall be included in the procedure. At minimum, the register shall include the following **parameters**: 1. incoming energy sources (renewable or not) 1. energy consumption per process line (fishing, processing, transport)	Y	The company monitors the consumption of electric energy. Inspected the Spreadsheet "Consumo de energia Elétrica – Ano 2016", with all the details month by month.
7.2	The Organisation should calculate its carbon footprint per product unit and engage to reduce it every year.	Recommendation		N	The company does not calculates is carbon footprint per product unit.
The Auditor shall request copies of the registers.					

8 SOCIAL ACCOUNTABILITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
8.1	The Organisation shall 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	According to Brazilian law, workers must be above 18 years old. According with the HR manager, no worker at Leal Santos is below 18 years old.
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 shall verify that the organisation knows the minimum wage.	Y	The minimal wage in Brazil is R$ 950.00 At Leal Santos the lowest pay is R$ 1,188.00 Inspected the payslip of a Bianca Burlamaqui da Matta, production worker, with a salary of February 2017 of R$ 1,188.00 and all legal deductions.
8.1.3	grant employees access to healthcare	Essential		Y	Leal Santos provides an optional private health and dental care plan (Uniao da Clinicas do Rio grande) to all workers. Inspected the Healthcare plan card form a Claudia Rosane Netto Oleinick
8.1.4	apply safety measures required by the law	Essential		Y	Workers are regularly trained on safety. PPE`s are used and free of charge. Inpected the training certificate of a Diego Huilham Noro Cortezia, on Fire prevention, First and first aid
8.2	The organisation should be SA8000 certified.	Recommendation		N	Leal Santos is not SA 8000 certified.
The Auditor shall verify the compliance with the requirements through documental evidence (work contract samples) and on-site observation.					

Further comments:

In 2016, Leal Santos produced 9,234metric tons of frozen tuna. Out of this total, its own fleet and 42% originated 58% by third party vessels. Out of the grand total, 96.2% were Skipjack, 3.2% were Yellow fin and 0.59 Albacore.

CONCLUSIONS:

The Auditor shall fill out the following fields

x 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)

List minor non conformities

RECOMMENDATIONS (to be communicated within the next inspection)

7.2 The company does not calculates is carbon footprint per product unit.

8.2 Leal Santos is not SA 8000 certified.