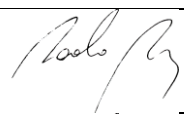

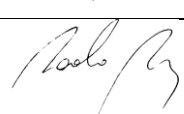


# Friend of the Sea Standard

## **FOS - Wild Sustainable Fishing Requirements**

**Friend of the Sea**  
[www.friendofthesea.org](http://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 must also include a timetable concerning the implementation of each correction measure. Each proposed corrective action must 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 must be filled out in English if spoken fluently.

**a) NAME OF THE ORGANISATION TO BE AUDITED:**

AUSTRAL GROUP S.A.A.

**b) NAME OF THE ORGANISATION REQUESTING THE AUDIT:**

Austral Group S.A.A

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

Yes, Austevoll Seafood ASA, from Norway: Leroy Seafood Group (Norway), Br Birkeland AS (Norway), Foodcorp Chile SA, Austral and Pelagia AS (North Atlantic).

**d) ADDRESS OF THE ORGANISATION TO BE AUDITED:**

Av. Victor Andres Belaunde 147, Torre 7, Lima, Peru, 15073

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

Joseph Castillo – *Coordinator of Quality Systems*

**f) FLEET TO BE AUDITED:**

<i>Name of the fishing vessel</i>	<i>Registration number</i>	<i>Vessel's flag</i>	<i>Fishing method</i>	<i>Capacity (MT)</i>	<i>Unloading harbour</i>	<i>Ship owner, if different from a)</i>
AGUILA REAL	CO-10555-PM	Perú	Purse Seine	509,940	Ports in Peru (*)	-
CASACA	CO-12234-PM	Perú	Purse Seine	534,310	Ports in Peru (*)	-
DON LUIS	CO-12186-PM	Perú	Purse Seine	521,710	Ports in Peru (*)	-
DON OLE	CO-50608-PM	Perú	Purse Seine	1.108,100	Ports in Peru (*)	-
ESTELA DE ORO	CO-5881-PM	Perú	Purse Seine	388,600	Ports in Peru (*)	-
ESTELA DE ORO II	CO-10399-PM	Perú	Purse Seine	440,650	Ports in Peru (*)	-
ESTELA DE PLATA	CO-6255-PM	Perú	Purse Seine	378,700	Ports in Peru (*)	-
ESTELA DE PLATA II	CO-9908-PM	Perú	Purse Seine	441,700	Ports in Peru (*)	-
JUANCHO	CO-12232-PM	Perú	Purse Seine	447,650	Ports in Peru (*)	-
KIANA	CO-18812-PM	Perú	Purse Seine	410,000	Ports in Peru (*)	-
MALENA	CO-15724-PM	Perú	Purse Seine	<b>756,850</b>	Ports in Peru (*)	-
MARIA PIA	CO-15652-PM	Perú	Purse Seine	884,840	Ports in Peru (*)	-
MARINA	CO-18644-PM	Perú	Purse Seine	409,990	Ports in Peru (*)	-
NORMA	CO-11391-PM	Perú	Purse Seine	666,680	Ports in Peru (*)	-
NUEVA OFELITA	CO-13721-PM	Perú	Purse Seine	452,100	Ports in Peru (*)	-
NUEVA RESBALOSA	CO-13012-PM	Perú	Purse Seine	448,310	Ports in Peru (*)	-
NUNCIA	CO-10398-PM	Perú	Purse Seine	451,180	Ports in Peru (*)	-
PITI	CO-18813-PM	Perú	Purse Seine	410,000	Ports in Peru (*)	-
RESBALOSA II	CO-10447-PM	Perú	Purse Seine	443,370	Ports in Peru (*)	-
ROSA II	CO-16948-PM	Perú	Purse Seine	410,000	Ports in Peru (*)	-
SIMON	CO-18517-PM	Perú	Purse Seine	410,000	Ports in Peru (*)	-

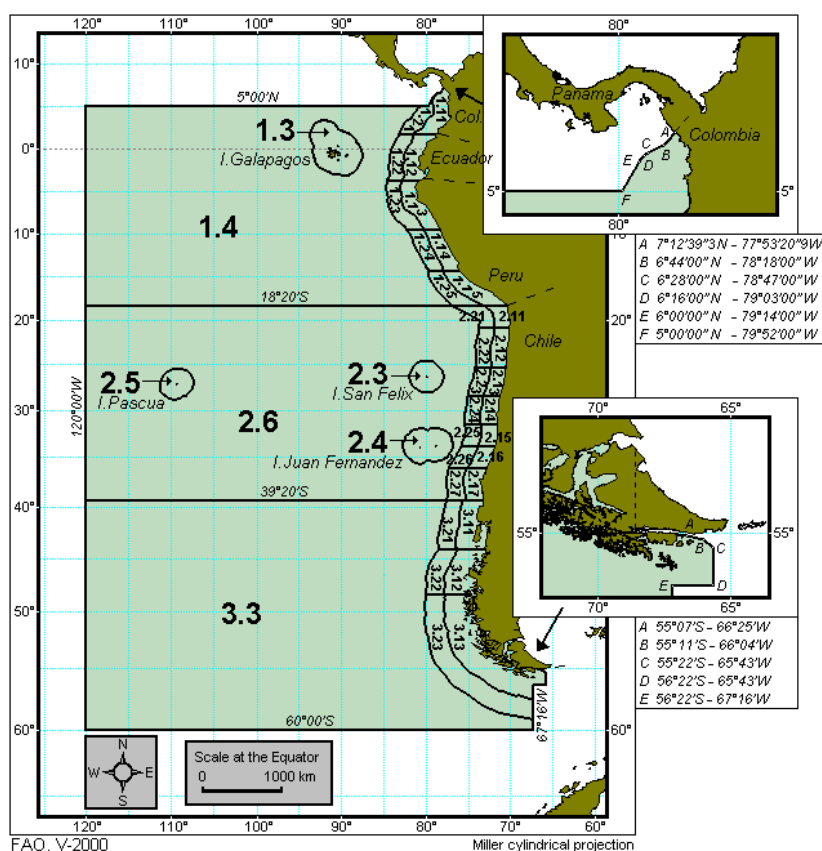
(\*)Ports of Coishco, Pisco, Chancay and Ilo

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

Name of the fishing vessel	Registration number	Unloading harbour
DON OLE	CO-50608-PM	COISHCO, CHANCAY, PISCO and ILO
NUEVA RESBOLOSA	CO-13012-PM	COISHCO, CHANCAY, PISCO and ILO
KIANA	CO-18812-PM	COISHCO, CHANCAY, PISCO and ILO
MALENA	CO-15724	COISHCO, CHANCAY, PISCO and ILO
MARIA PIA	CO-15652	COISHCO, CHANCAY, PISCO and ILO

**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 Area 87 (Pacific, Southeast):



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

Common Name	Scientific Name
Anchoveta	Engraulis ringens
Caballa	Scomber japonicus

**j) TOTAL NUMBER OF EMPLOYEES:**

There are 893 employees. Out of these, 296 are fishermen. During the fishing season, around 130 temporary employees are hired.


**k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS:**

ISO 14001-2004, IFFO RS, Premio Nacional a la Ecoeficiencia empresarial 2010, Empresa Socialmente Responsable, in 2012 and 2013.

**l) ADDITIONAL INFORMATION:**

From the two fishing seasons of 2016, Austral received 235,843 metric tons of raw material that produced 55,951 metric tons of fishmeal and 2,349 mt of fish oil. The audited plant alone, Coishco, received 131,878 mt of raw material and produced 31,236 mt of fishmeal and 5,238 metric tons of fish oil.

- ☒ **The Friend of the Sea project was introduced** (*If not, the Auditor must 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):

<b>CERTIFICATION BODY:</b>  RINA Services S.p.A.	<b>AUDIT TEAM:</b>  Osires de Melo – Lead Auditor	<b>AUDIT START AND END DATE:</b>  09/03/2017 10/03/2017
<b>SIGNATURE OF AUDITOR:</b>  	<b>NAME OF THE PERSON IN CHARGE OF THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT:</b>  Joseph Castillho <i>Coordinator of Quality Systems</i>	<b>AUDIT CODE:</b>

## 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 an 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. Simple "YES," "NO," or "N.A." are insufficient.
- 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	Parameters and information	Y/N	Comments
1.1	The state of the stock under consideration must be assessed by the fisheries management organisation.	Essential	The fishery must 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	<p>The fishing of anchoveta in Peru is managed and controlled by the Peruvian Government, who establishes quotas and fishing seasons.</p> <p>The IMARPE – Instituto del Mar del Peru is the agency who publishes researches and fishing data about the main economic species of the region.</p> <p>The Peruvian government following IMARPE recommendations determines the fishing seasons and quotas.</p> <p>The government authorizes the fishing seasons for anchoveta by issuing a decree from the Ministry of Production (PRODUCE). There are two fishing seasons. The first is from mid-June to July, and the second is from November to December/January.</p> <p>There is no fishing season for caballa, only a limit of capture, that is established by a decree.</p>

***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 must NOT be data deficient	Essential		Y	<p>IMARPE produces a huge amount of data on the two species fished by Austral. There is a digital depository at Imarpe's website, free or consultation (<a href="http://www.imarpe.gob.pe/imarpe/">http://www.imarpe.gob.pe/imarpe/</a>).</p> <p>Inspected the following documents: Anexo ds010-2009_Metodología de cálculo; DS008-2016-PRODUCE Fortalecimiento ROP anchoveta; DS012-2001-Reglamento de la ley de Pesca; DS 024-2016 PRODUCE_Control y vigilancia anchoveta; DS026 -2003 PRODUCE; DS 026-2016 medidas PRODUCE contra pesca ilegal; DS009-2009-Metodología de cálculo de PMCE y LMCE zona sur; Ley de cuotas 1084_2009; Ley general de pesca 25977; Ordenamiento Pesquero anchoveta 010-2010_Artesanal; Resolución Tallas mínimas de Captura_209_2001_PRODUCE; RM Nº 225_2001_PE dimensiones de las redes de cerco en función a su capacidad; rm376-2016-produce_Plan de conservación anchoveta_medios digitales_Oct 2016),Decreto Supremo numero 011-2007 Aprueban Reglamento de Ordenamiento Pesquero de jurel y caballa; RM número 035-2017 – PRODUCE Establecen Limites de captura para caballa en 2017.</p>
1.1.2	The stock under consideration must NOT be Over-exploited.	Essential	<p><math>F \leq F_{msy}</math> within probability range of available stock assessments or at least <math>F \leq F_{lim}</math> (limit reference point – or its proxy)</p> <p>If overfishing of a stock under consideration of a certified fishery occurs, the certification of this fishery is suspended or revoked.</p>	Y	<p>The IMARPE possesses research boats that do investigation cruises to do a stock assessment prior in order to determine the start and duration of the fishing season and the quotas. Stock assessment models are not used and fishing mortality or exploitation rates are not publicly available in the last years. stock status is assessed based on real-time monitoring; which consists on direct biomass estimates and distribution from acoustic surveys prior each fishing season, and monitoring of oceanographic conditions, samplings for size structure and reproductive and somatic conditions, before and during fishing seasons, to account for the rapid fluctuations in the natural biomass of this resource. The last stock assessment on the Peruvian waters established an anchoveta stock of 7.8 million tons. The quota was then established to be:</p> <p>Season 1 2016 (from June 18th to July 31st), North-center region = 1.8 million tons and South Region = 382,000 metric tons. Season 2 2016 (from November 11th 2016 to 28th January 2017), North-Center Region = 2.0 million tons and to the South region = 382,000 tons.</p> <p>For caballa, the Document Informe Ejecutivo April 2016 Crucero 1603-04, Evaluación Hidroacústica de Recursos Pesqueros, found 340,907 metric tons of caballa biomass.</p> <p>Based on this result, IMARPE determined the quota of 110,000 metric tons, indicating that both species are considered not over-exploited.</p>

1.1.3	The stock under consideration must NOT be Over-Fished.	Essential	<p><math>B &gt; B_{msy}</math> within probability range of available stock assessments or at least <math>B &gt; B_{lim}</math> (limit reference point – or its proxy).</p> <p>If the stock under consideration of a certified fishery becomes overfished, the certification of this fishery is suspended or revoked.</p>	Y	<p>Stock assessment models are not used and fishing mortality or exploitation rates are not publicly available in the last years. stock status is assessed based on real-time monitoring; which consists on direct biomass estimates and distribution from acoustic surveys prior each fishing season, and monitoring of oceanographic conditions, samplings for size structure and reproductive and somatic conditions, before and during fishing seasons, to account for the rapid fluctuations in the natural biomass of this resource.</p> <p>The warm ocean current called El Niño has great influence on the reproductive habits of the anchoveta and caballa as well as on the fish availability for fishing at proper depths.</p> <p>The last IMARPE assessments showed that even with the occurrence of an El Niño, the reproductive fraction of the stock of anchoveta was of 20.5%, a superior value above the average before each first season. The Biomass estimation for the first season of 2016 was 7.28 million tons. A value 65% higher than the previous year for anchoveta.</p> <p>For caballa, a fishing quota for 2017 was determined to be 110,000 mt, against a stock assessment of 340,907 mt. In the interpretation of IMARPE, who allows the fishing quotas based on the constant monitoring of the stocks, these two species are not being overfished.</p>
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***All the requirements related to the current status and trend of the stock under assessment must 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 must be made publicly available in a timely manner.	Essential	Documental evidence	y	<p>All research from IMARPE and the results of the investigation cruises are public and available at <a href="http://www.imarpe.gob.pe">www.imarpe.gob.pe</a></p> <p>Inspected the documents:          "Situación del Stock Norte-Centro de la Anchoveta Peruana al 16 junio 2016 – Primera Temporada de Pesca 2016" and "Situación del Stock Norte-Centro de La Anchoveta Peruana al 01 Noviembre de 2016 y Alternativas de Explotación para la segunda temporada de pesca de 2016".          Decreto Supremo número 011-2007 Aprueban Reglamento de Ordenamiento Pesquero de jurel y caballa; RM número 035-2017 – PRODUCE Establecen Limites de captura para caballa en 2017.</p>
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1.2	<p><u>Only applicable to small-scale and artisanal fisheries (i.e. it is not applicable to freezer vessels)</u></p> <p>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.</p>	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 a large scale industrial fishing operation.
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**The Auditor must 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	<p>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).</p> <p>The same information regarding any associated enhancement activities is also collected and maintained.</p>	Important	<p>Data collection must be in accordance with international standards (e.g. CWP and DSF in the High Seas, FAO Programme).</p> <p>The data and analysis may include local, traditional or indigenous knowledge and research, providing its validity can be objectively verified.</p> <p>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.</p>	Y	<p>The fishing method used by Austral is the purse seine. The net measures between 895 meters to 1303m in length by 87 meters to 121 meters deep. The fishing is done on areas at 5 miles minimum distance from the shore. In this area, the sea bottom is much deeper than the depth of the nets. The nets almost never touch the bottom of the ocean.</p> <p>The impact on the water column is also considered minimum, for the total area of the net when the circle is completed is between 6.4hectares to 13.4 hectares. The fishing gear flows in the water and its impact the water column can be considered low, for the volume of each net is between 5,545 cubic meters to 16,345 cubic meters.</p>

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 <a href="http://www.mpaglobal.org">www.mpaglobal.org</a> etc	Y	<p>The Ministry of Production – PRODUCE, issues alerts with coordinates of marine protected areas. These areas are plotted in the navigation equipment of the fishing boats.</p> <p>The fishing fleet complies with the limits of the fishing zone determined by the Peruvian Government. Fishing must occur only after a 5 miles line distant from the shore.</p> <p>Inspected the maps and GPS screens of the boats and Austral's fishing Control Room in Coishco.</p>
<b>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 <a href="http://www.mpaglobal.org">www.mpaglobal.org</a>).</b>					
2.2	The fishery or fleet must use fishing gears that do not affect the seabed unless proven that such impact is negligible.	Essential	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	<p>By the end of each fishing season, some of the fishing vessels go fishing in the north region, where the depth is shallower. The purse seine nets sometimes touch the bottom of these sandy and almost deserted areas, with negligible impact. According with interviews of fishermen and the captains, no benthonic fauna is captured.</p> <p>Inspected the document 2.2 RM N° 225_2001_PE dimensiones de las redes de cerco en función a su capacidad.</p>
<b>The Auditor must collect conformity evidence.</b>					
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 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 management advices.	Y	<p>The organization has a fishing management team and control, who analyses in detail all the documents and regulations imposed by the Peruvian regulatory agencies (PRODUCE and IMARPE) to take their decisions and plan the fishing of each season. See 2.2 above.</p>
<b>The Auditor must provide evidence referring to all available studies.</b>					
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 enhanced fishery.
2.4.1	Natural reproductive stock components of enhanced stocks are not overfished nor substantially displaced by stocked components.	Essential	The displacement must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies).	Y	<p>The number of juveniles captured is recorded in a logbook FORMATO DE REPORTE DE INCIDENCIA DE JUVENILES. This information is passed to the Ministry of Production (PRODUCE) and Imarpe, who monitors the reproduction season and declares the stop and beginning of each fishing season.</p>

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.	Y	The stock assessment is made by Imarpe and Ministry of Production establishes the fishing seasons and quotas
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**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	<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 higher risk among the regularly (over 0.25% of total weight) species according to <a href="http://www.redlist.org">www.redlist.org</a>.</p>	y	<p>Almost no bycatch occurs. The fishing boats, records the sight of different species from anchovy, such as dolphins, sea wolves, turtles, etc. on the Logbook named FICHA DE REGISTRO DE AVISTAMIENTO E INCIDENCIA.</p> <p>Interviewees during on board inspection declared that any bycatch caught alive is carefully released back to the ocean.</p>
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	<p>Imarpe has a number of research boats that do investigations about the target species on the Peruvian ocean in order to do an assessment of their stocks to release the fishing quotas.</p> <p>The fishing method used is the Purse Seine, where the net is closed into a circle, in order to catch the fish. The fish caught in the net is pumped up to the boat. On the tip of the pumping tube, there is a metal excluder to avoid the suction of bigger fish or mammals. Whenever a smaller predator, mammal or turtle is sucked up to the boat, they are released back to the ocean</p>

**The Auditor must 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 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](http://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.**

3.2	The level of discard (in weight) must 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	In the case of the fishing of anchovy to produce fishmeal and fish oil production there is no discards.  In the case of the fishing of caballa, to human consumption the level of discards is 1.52%
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	NA	There is no tuna fishing
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.	NA	There no tuna fishing

## **4 LEGAL CONFORMITY**

N°	Requirement	Level	Parameters and information	Y/N	Comments
4.1	All fishing vessels must be officially registered.	Essential	Vessel registration and fishing license inspection.	Y	All fishing and support vessels are officially registered. Inspected the registration of the inspected fishing boats: Don Ole, Nueva Resbalosa, Kiana, Malena and Maria Pia.
<b>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)</b>					
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 ( <a href="http://www.itfs.eafarers.org/foc-registries.cfm">http://www.itfs.eafarers.org/foc-registries.cfm</a> ).	Y	All vessels are registered to the country of Peru. Peru has not been declared FOCs (Flags of Convenience) by the ITF's (International Transport Workers' Federation) Fair Practices Committee.  The auditor Verified on the IFS site that Peru is not listed as Nation with flag of convenience.

**The Auditor must 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 <a href="http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF">http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF</a>	Y	Inspected on the Eurolex website that no vessel of AUSTRAL fishing fleet is reported as illegal, unreported or unregulated.
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**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>**

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: <a href="http://www.dolphinsafe-tuna.org">www.dolphinsafe-tuna.org</a>	NA	No tuna fishing
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**The Auditor must verify the conformity on the list [www.dolphinsafetuna.org](http://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 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 <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	Y	The company complies with national and international. Inspected the Ministry of Production Policy number 440-2016 and 228-2016 authorizing the 2016 fishing season. See Section 1
4.5.1	TAC (Total Allowable Catches)	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	Y	The TAC is determined by the Ministry of Production – PRODUCE, after IMARPE recommendations. The Ministry publishes the quota prior to the start of each fishing season. For 2016 the TAC was 3.8 million tons for the North-Center region and of 764,000 tons for the South region. Inspected the documents Resolución Ministerial 228-2016 and Resolución Ministerial 440-2016. (see attachment for item 4.5) CABALLA QUOTA = 110,000 metric tons. For anchoveta the quota is global and individual per fishing boat. For caballa, the quota is only global.
4.5.2	Use of a logbook	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	Y	Each vessel uses the Logbook, called BITACORA DE NAVIGACIÓN, which is regularly filled and available. Inspected the logbooks of all audited vessels.

4.5.3	Mesh size	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	Y	Inspected the document Decreto Supremo DS 001-2007v- PRODUCE, where in the item 7.4 establishes a mesh size of 1,5" (38mm) for caballa.  Resolution ministerial 440-2016=Produce, art 9, A, a.2 establishes a mesh size of 0.5" (13mm) for the fishing of anchoveta.  See 2.2
4.5.4	Net size	Essential	Countries fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	y	Between 640 m and 786m of length x 73m to 85m of height. Inspected the document" Resolucion Ministerial N° 225_2001_PE", which regulates the maximum net length according with the boat storage capacity.  See 2.2
4.5.5	Minimum size	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	y	Inspected the document Decreto Supremo DS 011-2007- PRODUCE, where in the item 7.6 establishes a minimum fish size of 32cm for caballa.  Resolución Ministerial 262-2011-produce, art 1 establishes the minimum size for anchoveta to be 12cm in length.
4.5.6	Distance from the shore	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators	y	The fishing boats must operate at 5 miles of distance from the coast, according to the Article 5 of the document "Resolución Ministerial 440-2016-PRODUCE" issued before the start of the fishing season. The auditor inspected this document.
4.5.7	Measures for the reduction of accidental catches	Essential	Countries fisheries laws available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	Y	The main measures are the mesh size, the fishing method (purse seine), and the excluder on the tip of the fish pump.  See 3.1.1
4.5.8	No fishing in protected habitats	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators	Y	The PRODUCE publications state that the fishing operations must occur according to the DECRETO SUPREMO number 024-2009-MINAM, which establishes the fishing out of protected areas. These areas are marked on the maps on board of each fishing vessel. All fishing boats in Peru are real time monitored by the Ministry of Production by GPS. See 1.1.1



4.5.9	Use of forbidden gears, chemical substances and explosives	Essential	Countries' laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators	Y	No forbidden gears are used by the fleet. The fishing method Purse Seine is the only fishing method.
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**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	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 <a href="http://www.fao.org/figis/geoserver/factsheets/rfbs.html">http://www.fao.org/figis/geoserver/factsheets/rfbs.html</a>  In addition, national fishery ministries and authorities can be considered, e.g. Fisheries Management Organisations (FMO).	Y	Peruvian fisheries are regulated and monitored by the Ministry of Production, based on researches and investigations made by the IMARPE, who employs 3 big boats and 11 smaller size boats to do CRUCEROS (investigation cruises) to do stock assessment and biomass age, reproduction status and establishes fishing quotas after the interpretations of the data collected.
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 must collaborate in the management of the whole stock unit and bycaught or discarded species over their entire area of distribution.  The arrangement must ensure the rights of the small-scale fishing communities are granted.	Essential	Evidence of consideration of the rights of small scale fishing communities.	Y	The small scale fishing vessels can fish on the area of the ocean up and beyond the 5 miles limit imposed to the industrial boats
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	The Ministry of Production issues at least 2 decrees per year

5.1.1d	If the fishery management system includes trade-related measures, they must be adopted and implemented in accordance with international law, including WTO Agreements.	Essential		Y	Austral exports around 95% of fishmeal and fish oil. In the case of caballa, 100% is exported.
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**The Auditor must 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 must 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 must be carried out if applicable.	Y	The investigations made by IMARPE is public. Occasionally, IMARPE does investigation fishing trips with the commercial fishing boats, called Pesca Exploratória. All the results are shared with the fishing companies and made public.
5.1.3	Small-scale fishing communities and deep-sea fishers, must 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	Y	Small-scale fishing communities and commercial fisheries provide information about their fishing activities to the Ministry of Production, in order to help the data collection for decision making from the Government.
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 PRODUCE is regularly updating its fishing policies. The IMARPE owns 4 research boats named BIC OLAYA, BIC FLORES and HUMBOLDT and IMARPE IV, who set sail at least twice a year to do stock assessment and other investigations
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 must prompt the restoration of the stock to such levels within a reasonable time frame.	Important	Procedure indicating target reference points and time frame.	Y	According to the results obtained after the research trips mentioned on 5.2.1, IMARPE issue reports with recommendations to the PRODUCE to guide the determination of the fishing quotas.
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 must be provided.	Y	The authorization of a next fishing season is based on the results of the previous one and the results of the IMARPE acoustic investigation cruises and stock assessments.

**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, 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	Apart of all laws, Decrees, Regulations and Information listed on Section 1, the Peruvian fishing vessels are also real time monitored by Satellite. All fishing boats can be seen on the GPS screen by the Ministry of Production.
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**The Auditor must 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 must record bycatch from each fishing trip.	Essential	Procedure and evidence of recording during at least one fishing trip.	Y	The bycatch is recorded upon the fishing boats unloading at the reception at the plant.
5.5	The fleet or fishery must record discards.	Essential	Procedure and evidence of conformity	Y	The book BITACORA DE PESCA is also used to register the discards. The books BITACORA DE NAVIGACIÓN were inspected IN ALL FISHING BOATS AUDITED
5.5.1	The organisation must make bycatch and discard data publicly available.	Recommendation	Procedure and evidence of conformity	Y	Important bycatch is informed by the company to the Ministry of Production

**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 catch and significant negative impacts of endangered species must be in place.	Essential	Procedure, performance indicators and evidence of conformity.	Y	As mentioned in 3.1.1, an excluder is located at the tip of the sucking tube to prevent large species to be pumped up along with the anchovetas or caballas to the fishing boat. SEE 3.1.1
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	Due to the characteristics of the fish schools, very few non targeted species are caught when the purse seine net is closed.

**The auditor must 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 must 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	The net very seldom touches the bottom of the sea. The nets are constructed in a way that they can be ripped but not teared. During interviews, captains declared they never had lost a net of part of a net.
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**The Auditor must obtain a copy of the aforementioned procedures.**

5.9	<u>ONLY APPLICABLE TO FREEZER VESSELS AND FLEETS. NOT APPLICABLE TO SMALL-SCALE ARTISANAL FISHERIES.</u>  The fleet has a full-time on-board independent observer who reports compliance with Friend of the Sea requirements. In alternative a CCTV 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	There are no freezer vessels on the fishing fleet.
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**The Auditor must 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 must be set to ensure long term sustainability.	Y	See Section 1. All fishing of targeted species is done following IMARPE researches and publications.
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 SECTION 1 There are two fishing seasons in Peru. PRODUCE issues the resolutions with fishing areas, fish minimal size and fishing total quota and quota per fishing vessel.
5.11.1	Essential habitats for the stock of consideration, and vulnerable ecosystems, including those potentially impacted by Deep-Sea fisheries			Y	The fishing must follow PRODUCE's resolutions, which states that industrial fishing must occur only after the 5 miles line from the coast. The quantity of juveniles is also monitored.
5.11.2	Endangered species			Y	<i>Engraulis ringens</i> and <i>Scomber japonicus</i> are considered as "Least Concern" at the IUCN red list. The fishing of both species in Peru is closely monitored by the Peruvian Government, who establishes fishing seasons and fishing quotas, for the sake of the species and the fishing sector sustainability.
5.11.3	Non target stocks			Y	The main catches are of the species mentioned in 5.11.2, above.
5.11.4	Dependent predators and/or preys			Y	<i>Scomber japonicus</i> (caballa) is a the main predator of anchoveta ( <i>E. ringens</i> ). No records of other predators were found on the logbooks inspected. <i>E. ringens</i> feeds on phytoplankton.
5.11.5	Ecosystem structure and processes			Y	The fishing occurs after the 5 miles from the coastline, respecting the protected areas mentioned in 4.5.8.
5.12	A yearly reviewed Ecosystem Approach to Fisheries is in place	Recommended	Documental evidence	Y	The Ministry of Production meets regularly to evaluate the fishing season and to issue the resolutions. See 5.2.2 and 5.2.3
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	See Sections 1,2 and 4

**The Auditor must 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 must 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**

<b>No.</b>	<b>Requirement</b>	<b>Level</b>	<b>Parameters and information</b>	<b>Y/N</b>	<b>Comments</b>
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	Inspected garbage separation on the boats and on the plant. The company has a policy to do recycling of all materials possible
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 the lubricants and used oil on the fishing boats are stored on board in tanks. These tanks are emptied when the boats come to unload the fish. Nothing is dispersed at sea.
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	The products are used on the fishing boats are: Clorox, Ayudin, Pinesol, Liquid soap and Sodium Hipoclorite.
6.4	The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.	Essential	Procedure and evidence of conformity.	Y	The boats with cold storage on board use Ammonium for refrigeration.

***The Auditor must provide procedures complete with photographic evidence.***

## **7 ENERGY MANAGEMENT**

<b>No.</b>	<b>Requirement</b>	<b>Level</b>	<b>Parameters and information</b>	<b>Y/N</b>	<b>Comments</b>
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7.1	The Organisation must keep a register of all energy sources and use thereof, which must be updated at least once a year.	Essential	Energy consumption records, which must be created at least once a year must be included in the procedure.  At minimum, the register must include the following <b>parameters:</b> 1. incoming energy sources (renewable or not) 1. energy consumption per process line (fishing, processing, transport)	Y	In November 2014 Austral Published the document "Informe de Huella de Carbono y de Auditoría Energética" with the calculation of its Carbon footprint and detailing the company's energy management.
7.2	The Organisation should calculate its carbon footprint per product unit and engage to reduce it every year.	Recommendation		Y	In November 2014 Austral Published the document "Informe de Huella de Carbono y de Auditoría Energética" with the calculation of its Carbon footprints and energy management.

**The Auditor must request copies of the registers.**

## **8 SOCIAL ACCOUNTABILITY**

No.	Requirement	Level	Parameters and information	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: <a href="http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm">http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm</a>	Y	In Peru a person with 16 years old can work with parent's authorization. Austral has an internal rule to employ only workers with 18 years old or more. Inspected the payroll list. The younger worker is 22 years old and the older is 70. Inspected the Decreto Supremo 014, which regulates the Social Security in Peru, and the Decreto Supremo 014_2, which regulates the paid vacations in Peru. Inspected the Peruvian workers Bargaining agreement SUNEP 2012-2017.
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 that the organisation knows the minimum wage.	Y	In Peru, from 01 may 2016, the minimal wage is 850 soles. At Austral, the minimal pay is 900 soles. Inspected the paycheck of a Juan Bernabe Aguilar Vilquiniche, Storage worker, DNI 43115390, with a payment of 30 soles per day, meaning 900 soles per month.

8.1.3	grant employees access to healthcare	Essential		Y	Austral offers a private Health care with the company Pacifico Seguros. This insurance is optional. All workers are registered in the national healthcare. Inspected the Decreto Supremo 014, which regulates the Social Security in Peru (See 8.1.1)
8.1.4	apply safety measures required by the law	Essential		Y	EPP are supplied free of charge, all employees receive safety induction upon hiring. All employees receive 3 to 4 safety trainings per year. Inspected the training record of a Jorge Luis Hernandez Marcos, on the training of CAPACITACION Y ECALUACION EN SEGURIDAD PARA OPERADORES DE MONTACARGAS
8.2	The organisation should be SA8000 certified.	Recommendation		N	The Company is not SA8000 certified

**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 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)**

*8.2 Recommended for AUSTRAL to be SA 8000 certified*