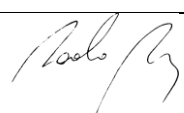
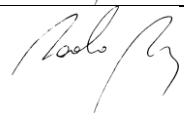
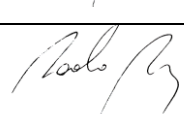
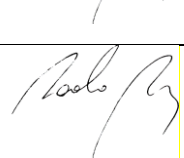


Friend of the Sea Standard

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 |  |
| 3.1 | 18/10/2017 | Definitions and guidance to standards | Paolo Bray |  |

Foreword

Friend of the Sea is a non-governmental Organization , 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 Organization 's product. Any lack of compliance with these requirements will generate a Major Non Conformity and the Organization has to undertake effective corrective actions, to be implemented within three months from the issuing of the Non Conformity. The Organization 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 Organization 's product. Any lack of compliance with these requirements is to be considered as a Minor Non Conformity and the Organization 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 Organization shall inform the certification body, during the following audit, regarding any corrective measures implemented.

Requirements which are not applicable to the audited Organization will be marked with 'N.A.'

Description of the Organization

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 ORGANIZATION TO BE AUDITED:

PT Toba Surimi Industries *ok*

b) NAME OF THE ORGANIZATION REQUESTING THE AUDIT:

RAI Seafood *ok*

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

no *ok*

d) ADDRESS OF THE ORGANIZATION TO BE AUDITED:

Jalan Pulau Pinang 2, Kawasan Industri Medan 2, Saentis – Deli Serdang, Medan 20371, Sumatera Utara, Indonesia

ok

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

Mr Edison Tardy

f) FLEET TO BE AUDITED: *see vessel list*

| Name of the fishing vessel | Registration number | Vessel's flag | Fishing method | Capacity (MT) | Unloading harbour | Ship owner, if different from a) |
|----------------------------|---------------------|---------------|----------------|---------------|-------------------|----------------------------------|
| KM. TOBA 01 | REG.0650/DIS TANLA | Indonesia | Hand line | | Belawan | Nasib Sahri |
| KM. TOBA 02 | REG.0651/DIS TANLA | Indonesia | Hand line | | Belawan | Nasib Sahri |
| KM. SAHRI 01 | REG.0655/DIS TANLA | Indonesia | Hand line | | Belawan | Nasib Sahri |
| KM. SAHRI 02 | REG.0652/DIS TANLA | Indonesia | Hand line | | Belawan | Nasib Sahri |
| KM ANPC 1 | REG.0390/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 2 | REG.0391/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 3 | REG.0392/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 4 | REG.0393/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 5 | REG.0394/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 6 | REG.0395/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 7 | REG.0396/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM ANPC 8 | REG.0397/DIS TANLA | Indonesia | Hand line | | Belawan | Junhir |
| KM SYIFA | REG.0279/DIS TANLA | Indonesia | Hand line | | Belawan | Ahmad Amsal |
| KM SYIFA | REG.0280/DIS TANLA | Indonesia | Hand line | | Belawan | Ahmad Amsal |
| KM SYIFA | REG.0281/DIS TANLA | Indonesia | Hand line | | Belawan | Ahmad Amsal |
| | | | | | | |
| | | | | | | |
| | | | | | | |

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

| Name of the fishing vessel | Registration number | Unloading harbour |
|----------------------------|---------------------|------------------------|
| ANPC 4 | 0393 | Labuhan Medan, Belawan |
| ANPC 7 | 0396 | Labuhan Medan, Belawan |
| Toba 1 | 0650 | Labuhan Medan, Belawan |
| Toba 2 | 0651 | Labuhan Medan, Belawan |
| Syifa | 0280 | Labuhan Medan, Belawan |
| | | |
| | | |
| | | |
| | | |
| | | |

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 57

WPP 571 Malacca Strait (Wilayah Pengelolaan Perikanan, Indonesian Water)

OK

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

| Common Name | Scientific Name |
|--------------|------------------|
| <i>Squid</i> | <i>Loligo sp</i> |
| | |
| | |
| | |

j) TOTAL NUMBER OF EMPLOYEES:

about 30 crew (each boat has 2 crew member) **OK**

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS

n/a

I) STAKEHOLDERS ENGAGEMENT:

Before or during the audit, the CB shall inform all the relevant stakeholders about the audit of the applicant Organization and recommend their input. Please provide the list of all contacted stakeholders below:

Fisheries Surveillance officer contacted but On leaving to Tanjung BALai Asahan OK

m) ADDITIONAL INFORMATION:

abbreviation:


MMAF, Ministry of Marine Affair and Fisheries

KEPMEN-KP, MMAF Decree (Keputusan Menteri Kelautan dan Perikanan)

WPP, Wilayah Pengelolaan Perikanan (Indonesian Water Area)

OK

- The Friend of the Sea project was introduced** *(If not, the auditor shall provide a short description)*
- The Organization 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 Organization 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: PT PCU Indonesia (control union Indonesia) | AUDIT TEAM: Mr Nanda Agung Pratama | AUDIT START AND END DATE: 21-22 Aug 2019 |
| SIGNATURE OF AUDITOR:  | NAME OF THE PERSON IN CHARGE OF THE ORGANIZATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: Mr Simon LAhengko Mr Edison Tardy Mrs Murni | AUDIT CODE: 866777 |

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 Organization 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 evidences added to the checklist or attached are appreciated.
- 8) In the present document 'Organization' is used to refer to the unit of certification.

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 Organization. | 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 | Yes | Fish stock assessed by MMAF (National Stock Assessment Body, Kajiskan). Periodically report published on MMAF official website (http://jdih.kkp.go.id/). Assessment made generally for commercial (managed) fish only, and assessed per water management area (WPP, wilayah Pengelolaan Perikanan). Applicant vessel operating on WPP 571 (under FAO 571). OK |
| <p><i>The fisheries management Organization is an institution responsible for fisheries management, including the formulation of rules governing fishing activities. The fishery management Organization may also be responsible for collection of information, its analysis stock assessment, monitoring, control and surveillance.</i></p> <p><i>FAO 1997: FAO Technical Guidelines for Responsible Fisheries.</i></p> | | | | | |
| 1.1.1 | The stock under consideration shall NOT be data deficient | Essential | | Yes | Such independent data and dependent data are calculated by MMAF (National Commission of Stock Assessment Indonesia) OK |

| 1.1.2 | The stock under consideration shall NOT be over-exploited. | Essential | <p>$F \leq F_{msy}$ within probability range of available stock assessments or at least $F \leq F_{lim}$ (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> | n/a Yes | <table border="1"> <tr> <th colspan="2">Wilayah Pengelolaan Perikanan Negara Republik Indonesia</th> <th>Cumi-cumi</th> </tr> <tr> <td rowspan="3">Selat Malaka dan Laut Andaman</td> <td rowspan="3">WPPNRI 571</td> <td>Potensi (ton)</td> <td>9.038</td> </tr> <tr> <td>JTB (ton)</td> <td>7.230</td> </tr> <tr> <td>Tingkat pemanfaatan</td> <td>0.62</td> </tr> </table> <p>Exploitation rate: fully exploited (E: 0.5 < 0.62 < 1)</p> <p>OK</p> | Wilayah Pengelolaan Perikanan Negara Republik Indonesia | | Cumi-cumi | Selat Malaka dan Laut Andaman | WPPNRI 571 | Potensi (ton) | 9.038 | JTB (ton) | 7.230 | Tingkat pemanfaatan | 0.62 |
|--|--|---------------------|--|------------|---|--|--|-----------|-------------------------------|------------|---------------|-------|-----------|-------|---------------------|------|
| Wilayah Pengelolaan Perikanan Negara Republik Indonesia | | Cumi-cumi | | | | | | | | | | | | | | |
| Selat Malaka dan Laut Andaman | WPPNRI 571 | Potensi (ton) | 9.038 | | | | | | | | | | | | | |
| | | JTB (ton) | 7.230 | | | | | | | | | | | | | |
| | | Tingkat pemanfaatan | 0.62 | | | | | | | | | | | | | |
| 1.1.3 | The stock under consideration shall NOT be over-Fished. | Essential | <p>$B \geq B_{msy}$ within probability range of available stock assessments or at least $B > B_{lim}$ (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> | n/a yes | <table border="1"> <tr> <th colspan="2">Wilayah Pengelolaan Perikanan Negara Republik Indonesia</th> <th></th> </tr> <tr> <td rowspan="3">Selat Malaka dan Laut Andaman</td> <td rowspan="3">WPPNRI 571</td> <td>Potensi (ton)</td> <td></td> </tr> <tr> <td>JTB (ton)</td> <td></td> </tr> <tr> <td>Tingkat pemanfaatan</td> <td></td> </tr> </table> <p>Exploitation rate: fully exploited (E: 0.5 < 0.62 < 1)</p> | Wilayah Pengelolaan Perikanan Negara Republik Indonesia | | | Selat Malaka dan Laut Andaman | WPPNRI 571 | Potensi (ton) | | JTB (ton) | | Tingkat pemanfaatan | |
| Wilayah Pengelolaan Perikanan Negara Republik Indonesia | | | | | | | | | | | | | | | | |
| Selat Malaka dan Laut Andaman | WPPNRI 571 | Potensi (ton) | | | | | | | | | | | | | | |
| | | JTB (ton) | | | | | | | | | | | | | | |
| | | Tingkat pemanfaatan | | | | | | | | | | | | | | |

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 Organization, 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 | Yes | <p>MMAF release stock assessment of commercial (managed) fish periodically (www.idih.kkp.go.id) Last assessment report (KEPMEN-KP no. 50, year 2017) shown exploitation rate is in fully exploited, However, report 2016 (KEPMEN-KP no.47, year 2016) shown exploitation rate of squid is moderate.</p> <p>OK</p> |
| 1.2 | <p><u>Only applicable to small-scale and artisanal fisheries (i.e. it is not applicable to large-scale fisheries and fleets)</u></p> <p>If the organization complies with all the requirements of the standard in the present document and does not catch more than 10% of the total catch (weight) of the stock under consideration, requirements 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. | Yes | <p>Stock status is not over fished. Squid is one of the stock which managed by MMAF. According to landing data (statistical of squid landed), squid hand liner contributes less than 10% of the total catch of squid.</p> <p>OK</p> |

The auditor shall fill-in requirement 1.2 ONLY in case of negative answer to the requirement 1.1. 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.

Small-scale fisheries are here intended as those using fishing crafts with size < 24 m and/or engine <375 kW.

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

2 ECOSYSTEM and HABITAT IMPACT

| No. | Requirement | Level | Parameters and Information | Y/N | Comments |
|-----|--|-----------|--|-----|---|
| 2.1 | Current data and/or other information are collected and updated <u>about the effects of the fishery under assessment on the ecosystem structure</u> 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). | 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 on the ecosystem are made publicly available in a timely manner, respecting confidentiality | no | In general, organization provide research about effect of catching handline in WPP 571. however, the research provided was Not detail , the literature/data/information provided by Organization is not addressing 2.1. criteria and audit guidance of FOS. OK |
| 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 | Yes | Confirmed during interviewing crew of vessel, they are not catching at protected area. They are catching squid which close to shore only (small artisanal fishery). OK |

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).

| | | | | | |
|-----|--|-----------|---|-----|--|
| 2.3 | 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 communities shall return to their original conditions within a maximum of 30 days from the impact of the fishing gear on the seabed. | Yes | Fishing gear used is handline (squid jigging). OK |
|-----|--|-----------|---|-----|--|

The auditor shall collect conformity evidence.

| | | | | | |
|-----|---|----------------|--|----|---|
| 2.4 | The Organization has requested or conducted an assessment of the impact of its fishing activities on essential habitats for the stock under consideration and on habitats vulnerable to damage by the fishing gear. | Recommendation | Studies made available by the competent FMO can be used. These studies shall consider the impact of the fishery on the ecosystem and shall be considered when producing management advice. | No | No document/information provided. OK |
|-----|---|----------------|--|----|---|

The Auditor shall provide evidence referring to all available studies.

3 GEAR SELECTIVITY

| No. | Requirement | Level | Parameters and information | Y/N | Comments |
|--|---|-----------|--|-----|--|
| 3.1 | Accidental catches (bycatch) shall not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk. The IUCN assessment shall have been carried out no more than 10 years before. | Important | 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 | Yes | During interviewing vessel/boat crew member, said that Accidental catch are puffer fish and layur fish. Checked on IUCN website puffer fish and layur fish (Trichiurus sp) listed as LC. OK Studies regarding by catch of handline squid not provided (see 5.4 and 5.5) |
| 3.1.1 | The Organization collects and maintains current data and/or other information about the effects of the fishery 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 | Yes | During interviewing vessel/boat crew member, said that Accidental catch are puffer fish and layur fish. No record provided by vessel. Also checked through other stakeholders, said in general puffer fish and layur fish are accidentally caught by handline squid fishery. However the level of frequency are very rare. Checked on IUCN website puffer fish and layur fish (Trichiurus sp) listed as LC, OK |
| <p>The auditor shall obtain records kept by the Organization 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.</p> | | | | | |
| 3.2 | The level of discard shall not be over 8% of total catch (in weight). | Essential | Discards are bycaught species which are not used for human consumption not for fish meal or fish oil production. | Yes | Reviewing catch record, none by catch species caught by fisherman. Cross check during interview, none of crew caught by catch. OK |
| 3.3.1 | The fleet or fishery shall provide a census of number of all fish aggregating devices (FADs) deployed during the previous 12 months and shall report on a yearly basis to Friend of the Sea regarding FADs deployment per vessel. Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species | Important | Auditor shall collect the data provided by the fleet or fishery and attach it to the audit report | n/a | Main target is squid, OK |

| | | | | | |
|-------|--|-----------|---|-----|-----------------------------------|
| 3.3.2 | The fleet shall use non entangling FADs only, to avoid entanglement of sharks, turtles and other non-target species. Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species | Important | Audit shall collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance. | n/a | Main target is squid OK |
|-------|--|-----------|---|-----|-----------------------------------|

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. | Yes | All vessel registered under local authority (Department of Agriculture and fisheries Medan). (see enclosed file: 1 legality of vessel) OK |
| 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 vessels with a flag of convenience. | Essential | The auditor shall verify that each vessel is not registered to another Nation identified as Flag of Convenience (http://www.itfseafarers.org/foc-registries.cfm). | Yes | Check on website, all vessel doesn't list on FOC. OK |
| 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 vessels cannot be included in the list http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2015.199.01.0012.01.ENG | Yes | None of vessel included as IUU fishing. Checked through website and meet with stakeholder (fisheries surveillance officer). OK |
| The auditor shall verify that the vessels are not listed in EU IUU vessel list(http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2015.199.01.0012.01.ENG), or in the IUU vessel list made available by the competent RFMO. | | | | | |
| 4.4 | The fleet shall be "Dolphin Safe" approved by the Earth Island Institute. Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species | Essential | The Organization shall be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphin-safe-tuna.org | n/a | Main target is squid. OK |

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 fisheries 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/faolex/en/ The auditor shall specify applicable indicators. | | |
| 4.5.1 | TAC (Total Allowable Catches) | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable limits. | n/a | No specific regulation in Indonesia for squid TAC. OK |
| 4.5.2 | Use of a logbook | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators. | n/a | As per Fisheries regulation, uses of logbook not mandatory for small scale fisheries. Organization has record catch date in daily basis per each vessel. OK |
| 4.5.3 | Minimum net mesh size | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators. | n/a | Fishing gear used hand-line. OK |
| 4.5.4 | Net size | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators. | n/a | Fishing gear used hand-line. OK |

| | | | | | |
|-------|--|-----------|---|-----|---|
| 4.5.5 | Minimum legal size of the target species | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators. | n/a | There is no specific regulation for minimum size of squid shall be caught. OK |
| 4.5.6 | Distance from the shore | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ | Yes | Small scale fisheries only operating closed to the shore about less than 12 miles as per MMAF advised. Reference: PERATURAN MENTERI KELAUTAN DAN PERIKANAN REPUBLIK INDONESIA NOMOR PER.02/MEN/2011 → http://jdih.kkp.go.id/peraturan/per-02-men-2011.pdf OK |
| 4.5.7 | Measures for the reduction of accidental catches | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable measures. | n/a | Fishing gear used are generally selective. Squid caught by handline, and the frequencies of accidental catch (as per crew of vessel) very rare. OK |
| 4.5.8 | No fishing in protected habitats | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators. | Yes | Verified through interviewing crew, not allow to catch on protected area. Correspond during stakeholder meeting (fisheries surveillance officer), none of the listed vessel ever caught in protected area. OK |
| 4.5.9 | Use of forbidden gears, chemical substances and explosives | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators. | Yes | Fishing gear used handline, Checked during site visit, no forbidden gear nor chemical used on board. OK |

The auditor shall verify, according to fisheries 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/faolex/en/>

5 – FISHERY 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 (FMP), the fishery of which the fishery or fleet under audit is a part. | Essential | The organization shall provide a copy of the FMP. A map of existing RFMOs is available at http://www.fao.org/figis/geoserver/factsheets/rfbs.html | Yes | MMAF has general strategic policy to improve the stock of fish especially for pelagic fish. For instance: RENCANA STRATEGIS KEMENTERIAN KELAUTAN DAN PERIKANANTAHUN 2015-2019, permen KP 25, 2015. Which include address on IUU fishing, stock rebuilding, restriction of using some fishing gear will be applied and reviewed. Also there is presentation which presented by MMAF (director general Caught Fisheries) about ISU STRATEGIS & PRIORITAS PERIKANAN TANGKAP 2018. OK |
| 5.1.1b | If the stock under consideration is a <u>transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock</u> , a bilateral, sub regional or regional fisheries Organization or arrangement is in place. States and entities in the arrangement shall collaborate in the management of the whole stock unit and bycaught or discarded species over their entire area of distribution. <u>The arrangement shall ensure the rights of</u> | Essential | Evidence of conformity. In case this is not applicable, provide justification. | n/a | Main target is squid. Not highly migratory fish OK |
| 5.1.1c | The fishery management Organization convenes regularly to update its management advices according to the most updated data. | Essential | Evidence of meetings frequency. | Yes | Generally, MMAF release policy to ensure the stability of fish stock in each fishery management area. Such information updated and published to all department. sample ISU STRATEGIS & PRIORITAS PERIKANAN TANGKAP 2018 OK |

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 Organization may also be part of traditional or community system of management of the stock, provided their performance can be objectively verified.

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| 5.1.2 | The fisheries management system (FMS) under which the fishery or fleet under audit is managed shall <u>be both participatory and transparent, to the extent permitted</u> 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 when applicable. | Yes | Small scale and fishery are involved during Government planning to prohibit uses of trawler. Evidence in Sumatera especially at Jambi, Department of fisheries conducting workshop and/or socialization regarding moratorium of the regulation to prohibit trawler. Extension and Moratorium also given by MMAF to change/switch fisherman gear from trawler to other suggested gear. OK |
| 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. <i>E.g.</i> monitoring and control of fishing activities, protected areas | yes | Refer to 5.1.2 OK |
| 5.2.1 | A precautionary approach is applied through the FMS to protect the target stock and its habitat and preserve the marine environment. | Important | Procedure and evidence of conformity. | yes | RENCANA STRATEGIS KEMENTERIAN KELAUTAN DAN PERIKANANTAHUN 2015-2019, permen KP 25, 2015. Which include address on IUU fishing, stock rebuilding, restriction of using some fishing gear will be applied and reviewed. OK |
| 5.2.2 | Management measures <u>specify the actions to be taken in the event that the status</u> of the stock under consideration (with special consideration to deep-sea stocks) drops below a level consistent with <u>achieving management objectives</u> . These measures shall prompt the restoration of the stock to such levels within a reasonable timeframe. | Important | Procedure indicating target reference points and timeframe. | Yes | RENCANA STRATEGIS KEMENTERIAN KELAUTAN DAN PERIKANANTAHUN 2015-2019, permen KP 25, 2015. Which include address on IUU fishing, stock rebuilding, restriction of using some fishing gear will be applied and reviewed. Also there is presentation which presented by MMAF (directorate general Caught Fosheries) about ISU STRATEGIS & PRIORITAS PERIKANAN TANGKAP 2018. OK |
| 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. | Yes | RENCANA STRATEGIS KEMENTERIAN KELAUTAN DAN PERIKANANTAHUN 2015-2019, permen KP 25, 2015. Which include address on IUU fishing, stock rebuilding, restriction of using some fishing gear will be applied and reviewed. Also there is presentation which presented by MMAF (directorate general Caught Fosheries) about ISU STRATEGIS & PRIORITAS PERIKANAN TANGKAP 2018. OK |

The auditor shall verify if the Country the flag of the fishing company refers to has ratified the FAO Code of conduct. Otherwise the Organization shall include a precautionary approach in their procedures, including a risk assessment procedure.

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| 5.3 | The compliance with fishery regulations is achieved through monitoring, surveillance, control and enforcement. | Essential | Procedure and evidence of monitoring and control by the fishery management authority. | Yes | through monitoring, surveillance, control and enforcement conducted by fisheries surveillance office (under MMAF), Navy and marine police. MMAF (through surveillance department) conducting MCS OK |
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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.

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| 5.4 | The fleet or fishery shall record bycatch during every fishing trip. | Essential | Procedure and evidence of recording during at least one fishing trip. | No | Conformed with crew of vessel that they are not record any by-catch. OK |
| 5.5 | The fleet or fishery shall record discards. | Essential | Procedure and evidence of conformity | No | Conformed with crew of vessel there is no record of discard fish OK |
| 5.5.1 | Bycatch and discard data shall be made publicly available by either the FMO or the Organization. | Recommendation | Procedure and evidence of conformity | No | No evidence provided. OK |

The auditor shall attach copies of the bycatch and discards reports to the audit report.

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| 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. | yes | Selective gear used by fisherman OK |
| 5.7 | The Organization 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. | No | There is no document provided by organisation. OK |

The auditor shall provide documental evidence that the Organization 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.

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| 5.8 | The fleet is equipped with measures that guarantee a quick retrieval of lost fishing gears to avoid 'ghost fishing'. | Essential | Procedure and evidence of conformity. | yes | Fishing gear used is hand liner (squid jigging), so no chance of losing gear, incase crew is not using the gear, they will dispose accordingly, OK |
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The auditor shall obtain a copy of the procedures.

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| 5.9 | 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. Only applicable to large-scale vessels and fleets. Not applicable to small-scale artisanal fisheries. | Important | Documental evidence of employment. At least one monthly report of the on-board inspector. | n/a | Artisanal fisheries (small scale fisheries) OK |
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The auditor shall verify the presence of the observer(s) and obtain their CV and contacts. See definition for large-scale fisheries in section 1.

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| 5.10 | 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 | Yes | TRP defined by MMAF, As per KEPMEN-KP no.50 year 2017, MMAF define the TRP (which point considered as fully exploited and which point considered as overfishing). OK |
| 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, outcome indicators, action taken and outcomes. | yes | RENCANA STRATEGIS KEMENTERIAN KELAUTAN DAN PERIKANANTAHUN 2015-2019, permen KP 25, 2015. Which include address on IUU fishing, stock rebuilding, restriction of using some fishing gear will be applied and reviewed. OK |
| 5.11.1 | Essential habitats for the stock of consideration, and vulnerable ecosystems, including those potentially impacted by Deep-Sea fisheries | | | Yes | |
| 5.11.2 | Endangered species | | | yes | |
| 5.11.3 | Non-target stocks | | | Yes | |
| 5.11.4 | Dependent predators and/or preys | | | Yes | |
| 5.11.5 | Ecosystem structure and processes | | | No | |
| 5.12 | A yearly reviewed Ecosystem Approach to Fisheries is in place | Recommended | Documental evidence | No | No evidence provided OK |
| 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 | Yes | Available under RENCANA STRATEGIS KEMENTERIAN KELAUTAN DAN PERIKANANTAHUN 2015-2019, permen KP 25, 2015 OK |

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 Organization 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 Organization 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. | Yes | Organization has Waste procedure to ensure waste are handled properly. Observed during site visit, Garbage also available onboard to dispose such waste. Verified during interview that they understand regarding this procedure. OK |
| 6.2 | The Organization implements measures to prevent dispersion of waste at sea (including fuels and lubricants and plastic materials) | Essential | Procedure and evidence of conformity. | Yes | Verified during interviewing skipper and crew are implementing waste procedure (No. CPF/SOP-011 updated at 2 Oct 2018). Crew has collecting waste OK |
| 6.3 | The Organization 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. | Yes | Verified during site visit none of vessel using chemical or toxic substance. OK |
| 6.4 | The Organization does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion. <i>Only applicable to large-scale vessels</i> | Essential | Procedure and evidence of conformity. | n/a | Vessel doesn't use refrigerant. Only block ice used on square boxes. OK |

The auditor shall provide procedures complete with photographic evidence. See definition of large-scale fisheries in section 1.

7 ENERGY MANAGEMENT

| No. | Requirement | Level | Parameters and information | Y/N | Comments |
|-----|---|----------------|---|-----|---|
| 7.1 | The Organization shall keep a register of all energy sources and their use, 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 | Yes | Check during site visit, fuel used kept by boat owner in daily basis. Since this is artisanal fisheries, boat owner has record of fuel consumption in daily. OK |
| 7.2 | The Organization should calculate its carbon footprint per product unit and engage to reduce it every year. | Recommendation | | No | Carbon footprint calculation not provided OK |

The auditor shall review copies of the registers.

8 SOCIAL ACCOUNTABILITY

| No. | Requirement | Level | Parameters and information | Y/N | Comments |
|-------|---|-----------|---|-----|---|
| 8.1 | The Organization shall respect human rights, complying with the following requirements: | | | | |
| 8.1.1 | compliance with national regulations and ILO on child labor | Essential | Refer to ILO: http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm | Yes | Check during site visit there is no indication of child workers on board. OK |
| 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 Organization knows the minimum wage. | Yes | Check during site visit, During interviewing crew, they have verbal agreement with the boat owner. Which using scheme sharing profit. OK |
| 8.1.3 | grant employees access to healthcare | Essential | | No | Check during site visit, Most of the fisherman has National insurance. However, found few crew cant provide evidence that they have national insurance (BPJS insurance) OK |
| 8.1.4 | apply safety measures required by the law | Essential | | Yes | Check during site visit, such safety equipment available on board (life jacket, life buoy, compass) OK |

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

Further comments:

CONCLUSIONS:

The Auditor shall fill out the following fields

X The fleet COMPLIES with Friend of the Sea requirements

Note: After non-compliance (important and essential) are closed

The fleet DOES NOT COMPLY with Friend of the Sea requirements

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

| | | | | | |
|--------|---|-----------|---|----|---|
| 5.4 | The fleet or fishery shall record bycatch during every fishing trip. | Essential | Procedure and evidence of recording during at least one fishing trip. | No | Conformed with crew of vessel that they are not record any by-catch. |
| 5.5 | The fleet or fishery shall record discards. | Essential | Procedure and evidence of conformity | No | Conformed with crew of vessel there is no record of discard fish |
| 5.7 | The Organization 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. | No | There is no document provided by organisation. |
| 5.11.5 | Ecosystem structure and processes | Essential | | No | No evidence provided |
| 8.1.3 | grant employees access to healthcare | Essential | | No | Check during site visit, Most of the fisherman has National insurance. However, found few crew cant provide evidence that they have national insurance (BPJS insurance) |

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

| | | | | | |
|-----|--|-----------|---|----|---|
| 2.1 | Current data and/or other information are collected and updated <u>about the effects of the fishery under assessment on the ecosystem structure</u> 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). | 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. | no | In general, organization provide research about effect of catching handline in WPP 571. however, the research provided was Not detail , the literature/data/information provided by Organization is not addressing 2.1. criteria and audit guidance of FOS. |
|-----|--|-----------|---|----|---|

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RECOMMENDATIONS (to be communicated within the next inspection) ok

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|-------|---|----------------|--|----|---|
| 2.4 | The Organization has requested or conducted an assessment of the impact of its fishing activities on essential habitats for the stock under consideration and on habitats vulnerable to damage by the fishing gear. | Recommendation | Studies made available by the competent FMO can be used. These studies shall consider the impact of the fishery on the ecosystem and shall be considered when producing management advice. | No | No document/information provided. |
| 5.5.1 | Bycatch and discard data shall be made publicly available by either the FMO or the Organization. | Recommendation | Procedure and evidence of conformity | No | No evidence provided. |
| 5.12 | A yearly reviewed Ecosystem Approach to Fisheries is in place | Recommendation | Documental evidence | No | No evidence provided |
| 7.2 | The Organization should calculate its carbon footprint per product unit and engage to reduce it every year. | Recommendation | | No | Carbon footprint calculation not provided |