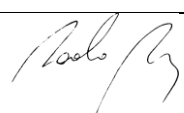
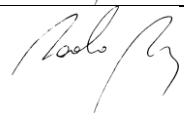
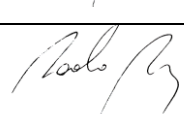
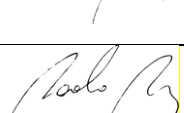


Friend of the Sea Standard

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 organisation, which was established in 2008. Its aim is to safeguard the marine environment and its resources by incentivising a sustainable market and implementing specific conservation projects.

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

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




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

Important Requirements: 100% conformity to important requirements is mandatory in order for the certification body to certify the organisation's product. Any lack of compliance with these requirements is to be considered as a Minor Non Conformity and the organisation has to propose effective corrective actions (declaration of intents and implementation plan), to be submitted to the certification body within three weeks from the issuing of the non conformity. This proposal shall also include a timetable concerning the implementation of each correction measure. Each proposed corrective action shall be fully implemented within the following 12 months.

Recommendations: Compliance with recommendations is not mandatory for the product to be certified. However compliance with recommendations will be verified during the audit and any deficiency will be included in the Audit Report as a recommendation. The organisation shall inform the certification body, during the following audit, regarding any corrective measures implemented.

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

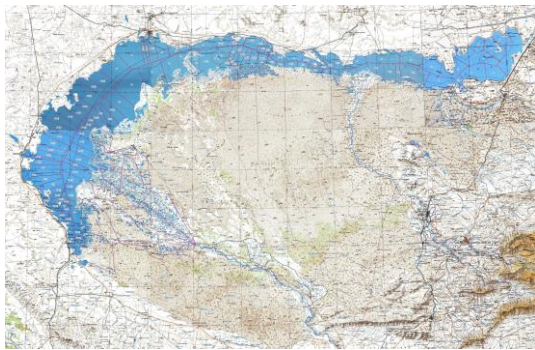
g) VESSELS AUDITED ON SITE (the auditor shall list the vessels which have actually been audited on site as sample representing the fleet): **annex g**

Name of the fishing vessel	Registration number	Unloading harbour
Motorboat	Alm 0696	KAPSHAGAY
Motorboat	Alm 0872	KAPSHAGAY
Steel fishing bot SMB-40	Alm 0063	Kuigan
Steel fishing bot SMB-40	Kal 1879	Kuigan
Steel fishing bot SMB-40	Kal 1877	Kuigan
Steel fishing bot SMB-40	Kal 1874	Kuigan
		

h) FISHING ZONE (Coordinates and/or FAO area and/or subarea and/or ICES area and/or EEZ. If available, please include a map.): **Annex h no change from previous audit**



Balkash lake,



KAPSHAGAY reservoir



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

Common Name	Scientific Name
<i>Pike perch</i>	<i>Stizostedion lucioperca</i>
<i>Well Cat fish</i>	<i>Silurus glanis</i>
<i>Carp</i>	<i>Cyprinus carpio</i>
<i>Abramid or Fresh water Bream</i>	<i>Abramis Brama</i>
<i>Vobla/ Caspian Roach</i>	<i>Rutilus caspius</i>

j) TOTAL NUMBER OF EMPLOYEES:350

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS-----

I) STAKEHOLDERS ENGAGEMENT:

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

Mr Mamiyev Temirlan Bolatovich

Republican state institution "Almaty regional territorial Inspection of forestry and hunting industry of the Committee of forestry and hunting of the Ministry of environmental protection of the Republic of Kazakhstan

Mr Zhumagaliuly Nurzhan

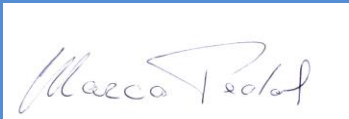
Republican association of public associations of fishers and fisheries entities ULE «Kazakhrybhoz »

Mr Talgat Uderbayev

Department of Biodiversity and Bioresources, Al-Farabi Kazakh National University, 71 Al-Farabi Avenue, Almaty 050040, Kazakhstan

m) ADDITIONAL INFORMATION:

- xThe Friend of the Sea project was introduced** *(If not, the auditor shall provide a short description)*
- xThe 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**
- xThe organisation has a document qualifying and confirming the roles of the staff carrying out the audit**
- xThe duration of the audit was agreed upon**
- xThe information included in the Preliminary Information Form (PIF) has been confirmed** (in case of changes to the PIF, an updated version has to be promptly provided)

CERTIFICATION BODY: RINA SERVICES SPA	AUDIT TEAM: MARCO PEDOL TEAM LEADER	AUDIT START AND END DATE: PHASE 1 29/11/2019 PHASE 2 03/12/2019 04/12/2019
SIGNATURE OF AUDITOR: 	NAME OF THE PERSON IN CHARGE OF THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: ALMA SARJANOVA QUALITY MANAGER TAKYROV ZHARASKHAN HEAD OF BALKHASH PLANT AND FLEET AKULOVA KHAZINA ADMINISTRATOR	AUDIT CODE: <div style="border: 1px solid black; padding: 2px;">19 QD DF 11</div>

NOTES TO THE AUDITOR

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

- 8) In the present document 'organisation' is used to refer to the unit of certification.

1 STOCK STATUS

No.	Requirement	Level	Parameters	Y/N	Comments
1.1	The state of the stock under consideration shall be assessed by the fisheries management organisation.	Essential	The fishery shall demonstrate to collect data in accordance with applicable international standards (e.g. Coordinating Working Party on Fishery Statistics, the FAO Guidelines for the routine collection of capture fishery data, FAO Fisheries Technical Paper No. 382; Deep Sea Fishery (DSF) in the High Seas, FAO Programme).	Y	The state of Stock is yearly assessed by the KAZAK SCIENTIFIC RESEARCH INSTITUTE FROM FISHERY BALASH BRANCH www.kazanurh.kz for Ministry of Agriculture and controlled by Almaty regional territorial Inspection of forestry and hunting industry of the Committee of forestry and hunting of the Ministry of environmental protection of the Republic of Kazakhstan. Lake Balkash and KAPSHAGAY Reservoir. The water basin in Central Asia and habitat of fish has two main characteristics: 1 It is the endorheic nature of the region and surrounding areas, which means that the hydrological system is essentially closed, such that water is never released to the ocean. Second is that the unusual degree to which the entire region is dependent on precipitation that falls on relatively small areas at high elevation principally in Kirgizstan, Tajikistan. The system is a nexus between water energy and food. Water is used 90% for irrigation and recently has been more and more used for energy production causing problems to the water level on the lakes and affecting habitat for fish. Species present in the two lake have been introduced in the last two centuries causing a ne ecological equilibrium. Kazakhstan is constantly monitoring the level of the biomass in the two lakes and managing fisheries consequently. A special attention is posed on Carp level that is at the base of the trophic chain where is a constant repopulation through hatcheries. ANNEX 1.1 no change from previous audit

The fisheries management organisation is an institution responsible for fisheries management, including the formulation of rules governing fishing activities. The fishery management organisation may also be responsible for collection of information, its analysis stock assessment, monitoring, control and surveillance.

FAO 1997: FAO Technical Guidelines for Responsible Fisheries.

1.1.1	The stock under consideration shall NOT be data deficient	Essential		Y	THE STOCK UNDER COSIDERATION IS NOT DATA DEFICIENT
1.1.2	The stock under consideration shall NOT be over-exploited.	Essential	$F \leq F_{msy}$ within probability range of available stock assessments or at least $F \leq F_{lim}$ (limit reference point – or its proxy) If overfishing of a stock under consideration of a certified fishery occurs, the certification of this fishery is suspended or revoked.	Y	All the species assessed are alloctonus and introduced in the last centuries. The criteria for fisheries are the one to maintain the level of stock in equilibrium with an enhancement policy as important source of food for the region. The enhancement plan is referred to the Carp considered as the low trophic level- The lakes are divided in department and for every department it is assigned a fishing concession and license. The owner of the fishing concession is in charge of the enhancement. Rybprom enhancement target fixed from the fishing authority for 2019. Annex 1.1.2 KAPSHAGAY: SPECIES ARE NOT OVEREXPLOITED BALKHASH SPECIES ARE NOT OVEREXPLOITED No change from previous auit
1.1.3	The stock under consideration shall NOT be over-Fished.	Essential	$B \geq B_{msy}$ within probability range of available stock assessments or at least $B > B_{lim}$ (limit reference point – or its proxy). If the stock under consideration of a certified fishery becomes overfished, the certification of this fishery is suspended or revoked.	Y	All the species assessed are alloctonus and introduced in the last centuries. The criteria for fisheries are the one to maintain the level of stock in equilibrium with an enhancement policy as important source of food for the region. The enhancement plan is referred to the Carp considered as the low trophic level- The lakes are divided in department and for every department it is assigned a fishing concession and license. The owner of the fishing concession is in charge of the enhancement. Rybprom enhancement target fixed from the fishing authority for 2019. Annex 1.1. KAPSHAGAY: SPECIES ARE NOT OVERFISHED BALAKHASH SPECIES ARE NOT OVERFISHED No change from previous audit

All the requirements related to the current status and trend of the stock under assessment shall include data of bycatch, discards, unobserved mortality, incidental mortality, unreported catch, and catch outside of the unit of certification.

Up-to-date data and/or information on the stock status is available from one of the following: FAO, Regional Fisheries Management Organisation, Marine Research National Authority, University, other independent research institute. Other information may include generic evidence based on similar stocks, when specific information on the stock under consideration is not available, providing there is low risk to the stock under consideration in accordance with the Precautionary Approach.

1.1.4	The methodology of assessment of the status and trends of the stock under consideration shall be made publicly available in a timely manner.	Essential	Documental evidence	Y	The methodology of assessment are available at the companies applying for fishery licenses to the Ministry. All the publication are listed on http://www.kazniirh.kz/index.php/en/publications No change from previous audit
1.2	<u>Only applicable to small-scale and artisanal fisheries (i.e. it is not applicable to large-scale fisheries and fleets)</u> If the organisation 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.	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.	N.A.	

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 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).	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 where appropriate.	Y	All the ecosystem and habitat is considered in the assessment. All the food chain is considered and the low level of the food web (carp) are every year are introduced in the system with a repopulation policy. No change from previous audit
2.2	The fishery or fleet complies with Marine Protected Areas regulation.	Essential	Verify compliance also by use of VMS and plotters tracking and World database www.mpaglobal.n etc	Y	All the two lakes are divided in fishing department and a part of the lakes is forbidden to fishery. No change from previous audit

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.	Y	In KAPSHAGAY lake are used fixed net while in Balkash lake the fishery uses a system of seine. Both the fishing gear are not affecting the bottom. Balkash lake has an average depth of 9mt while the net has a depth of 6 mt No change from previous audit
-----	--	-----------	---	---	--

The auditor shall collect conformity evidence.

2.4	The organisation 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.	Y	An assessment of the effect of the fishery is done by http://www.kazniirh.kz/index.php/en/publications That assesses the effect of the fishery in every single department. Every single department is assigned to a single fishery with a specific fishing license.
-----	---	----------------	--	---	---

The Auditor shall provide evidence referring to all available studies.

3 GEAR SELECTIVITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
3.1	<p>Accidental catches (bycatch) shall not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk.</p> <p>The IUCN assessment shall have been carried out no more than 10 years before.</p>	Important	<p>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</p> <p>These studies shall not indicate the presence of species vulnerable or higher risk among the regularly caught (over 0.25% of total weight) species according to www.iucnredlist.org.</p>	Y	<p>Accidental catches with the actual fishing gear and fishing system don't occur if not for under size fish that eventually can be released alive in the water.</p> <p>No change from previous audit</p>
3.1.1	The organisation 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	Y	All the catches are recorded on the logbook and inspected by Almaty regional territorial Inspection of forestry and hunting industry of the Committee of forestry and hunting of the Ministry of environmental protection of the Republic of Kazakhstan
<p><i>The auditor shall obtain records kept by the organisation of the species that are caught accidentally, and an assessment of the effects of the fishery on non-target stocks. The information included in the list shall be compared with the accidental catches actually occurred on site at the time of unloading. The list shall also be compared with the database of the IUCN red list www.redlist.org. The auditor shall provide a final document that shows if any of the accidentally caught species is included in the IUCN list.</i></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.	Y	No discard is recorded as undersize fishes are released alive in the water.


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.	The fleet targets just fresh water fish
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.	The fleet targets just fresh water fish


4 LEGAL CONFORMITY

N°	Requirement	Level	Parameters and information	Y/N	Comments
4.1	All fishing vessels shall be officially registered.	Essential	Vessel registration and fishing license inspection.	Y	All the fishing boats are officially registered Annex G fishing licenses
<i>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)</i>					
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).	Y	The Fleet does not include flag's of convenience
<i>The Auditor shall verify according to the website http://www.itfseafarers.org/foc-registries.cfm.</i>					
4.3	The fleet does not include IUU (illegal, unreported, unregulated) fishing vessels.	Essential	The 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.EN.G	Y	The Fleet does not include IUU fishing vessels. The two lakes are often targeted by poaching. The illegal fishing is controlled either by the owner of fishing license who are organized to protect its own department and fishing stock. They are normally organized with their own security. A second level of patrolling is done by the national fishery authority that patrols the lakes with its own vessels and helicopters.

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	<p>The fleet shall be "Dolphin Safe" approved by the Earth Island Institute.</p> <p>Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species</p>	Essential	<p>The organisation shall be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphinsafetuna.org</p>	n.a.	The fishery just targets fresh water fish
<p>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</p>					
4.5	<p>The organisation complies with national and international fisheries regulations.</p> <p>Compliance with the following regulations in particular has to be confirmed and verified:</p>	Essential	<p>Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/</p> <p>The auditor shall specify applicable indicators.</p>	Y	<p>The organization complies with national and international fisheries regulation:</p> <ul style="list-style-type: none"> -fishing areas -quota -net dimension -mesh dimension -net mark -minimum distance -biological stop -minimum size <p>http://www.fao.org/faolex/collections/en/?search=adv&subj_coll=Fisheries</p>
4.5.1	TAC (Total Allowable Catches)	Essential	<p>Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/</p> <p>The auditor shall specify applicable limits.</p>	Y	<p>A quota system is in place and quota are indicated in the fishing license for every species.</p> <p>TAC 2019/2020 ANNEX 4.5.1</p>
4.5.2	Use of a logbook	Essential	<p>Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/</p> <p>The auditor shall specify applicable indicators.</p>	Y	A manual logbook is in place for every boat indicating area of fishing species and amount of fish caught.

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.	Y	Seine 40 mm, 44*45 mm, 50 mm Nets 50*55 mm
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.	Y	Seine L= 1200 m, H = 6 m. Nets L= 100 m, H= 5 m. All the nets are regularly tagged 
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.	Y	KAPSHAGAY FRESH WATER BREAM 26CM CARP 40CM WELS CATFISH 80 CM PIKE PERCH 38 CM CASPIAN ROACH NO LIMIT BALKHASH FRESH WATER BREAM 19 CM CARP 40CM WELS CATFISH NO LIMIT PIKE PERCH 37 CM CASPIAN ROACH NO LIMIT
4.5.6	Distance from the shore	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/	Y	Kuigan, Balkhash lake - 5 km KAPSHAGAY reservoir – 1 km

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.	Y	Reduction of accidental catches are done with mesh limit, distance from the coast and using small net to fish from the sein living alive any accidental catch if happens.
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.	Y	No fishing in protected area is allowed and all the boats are equipped with GPS. The assigned fishing department is patrolled by the company security to avoid any poaching 
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.	Y	Forbidden gear cannot be maintained on board http://www.fao.org/faolex/collections/en/?search=adv&subj_coll=Fisheries

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 organisation, 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	<p>The organization shall provide a copy of the FMP.</p> <p>A map of existing RFMOs is available at http://www.fao.org/figis/geoserver/factsheets/rfbs.html</p> <p>In addition, national fishery ministries and authorities can be considered, e.g. Fisheries Management Organisations (FMO).</p>	Y	A fishery management plan is in place issued on the advise of KAZAK SCIENTIFIC RESEARCH INSTITUTE FRO FISHERY BALASH BRANCH www.kazanurh.kz and controlled by Ministry of Agriculture and controlled by Almaty regional territorial Inspection of forestry and hunting industry of the Committee of forestry and hunting of the Ministry of environmental protection of the Republic of Kazakhstan Annex 5.1.1a No change from previous audit
5.1.1b	<p>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.</p> <p>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.</p> <p>The arrangement shall ensure the rights of the small-scale fishing communities are granted.</p>	Essential	<p>Evidence of conformity.</p> <p>In case this is not applicable, provide justification.</p>	Y	The stock under consideration can be considered not transboundary as the stock is non-migratory in the lake. A certain migration can arrive from the river Ili river. The Ili river management is part of the policy between China and Kazakhstan for the use of the Ili river water. No change from previous audit
5.1.1c	The fishery management organisation convenes regularly to update its management advices according to the most updated data.	Essential	Evidence of meetings frequency.	Y	The fishery organisation are engaged in the fish assessment and data collection. No change from previous audit

The Auditor shall verify and describe briefly the legal and administrative structure in force and provide the evidence of compliance with local laws and regulations.

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

5.1.2	The fisheries management system (FMS) under which the fishery or fleet under audit is managed shall be both participatory and transparent, to the extent permitted by national laws and regulations.	Essential	Information and advice used in FMS decision-making is publicly available. A consultation process regularly seeks and considers relevant information. Consultation with Deep Sea fishers shall be carried out when applicable.	Y	The fishery management system is transparent and participatory all the fishery organisation participates to its preparation and improvement. No change from previous audit
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	Y	All the small-scale fishing communities on the lakes are engaged in the fishery management plan. No change from previous audit
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.	Y	A precautionary approach is in place to protect the target stock and the environment fixing quota, fishing season and fishing gear. No change from previous audit
5.2.2	Management measures specify the actions to be taken in the event that the status of the stock under consideration (with special consideration to deep-sea stocks) drops below a level consistent with achieving management objectives. These measures shall prompt the restoration of the stock to such levels within a reasonable timeframe.	Important	Procedure indicating target reference points and timeframe.	Y	Management measures specify use of fishing quota, biological stop, and fish repopulation annex 5.2.2
5.2.3	Efficacy of management measures and their possible interactions is kept under continuous review.	Essential	Evidence of periodical reviews of the management measures shall be provided.	Y	Yearly reports are done on the fishery of the two lakes to fine tune the fishery management measures No change from previous audit
The auditor shall verify if the Country the flag of the fishing company refers to has ratified the FAO Code of conduct. Otherwise the organisation shall include a precautionary approach in their procedures, including a risk assessment procedure.					
5.3	The compliance with fishery regulations is achieved through monitoring, surveillance, control and enforcement.	Essential	Procedure and evidence of monitoring and control by the fishery management authority.	Y	The control of the measure is done by Ministry of Agriculture and controlled by Almaty regional territorial Inspection of forestry and hunting industry of the Committee of forestry and hunting of the Ministry of environmental protection of the Republic of Kazakhstan. All the companies have its own security to control fishing in their department

The Auditor shall describe briefly the monitoring, surveillance, control, and application methods and provide the evidences of the activities undertaken by the fishery enforcement system to ensure compliance.

5.4	The fleet or fishery shall record bycatch during every fishing trip.	Essential	Procedure and evidence of recording during at least one fishing trip.	Y	All catches are recorded on the logbook Annex G
5.5	The fleet or fishery shall record discards.	Essential	Procedure and evidence of conformity	Y	All catches are recorded on the logbook Annex G
5.5.1	Bycatch and discard data shall be made publicly available by either the FMO or the organisation.	Recommendation	Procedure and evidence of conformity	Y	All catches are recorded on the logbook Annex G

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

5.6	A management system to prevent possible accidental catch and significant negative impacts of endangered species shall be in place.	Essential	Procedure, performance indicators and evidence of conformity.	Y	The management system in place envisage the release of by catch alive in the water No change from previous audit
5.7	The organisation implements a management program to reduce the accidental catch of non-target species, including procedures for the release of live animals under conditions that guarantee high chances of survival.	Essential	Procedure, performance indicators, and evidence of conformity.	Y	The management system in place envisage the release of by discards alive in the water

The auditor shall provide documental evidence that the organisation collects data to assess the impact of the fishing activities on non-target species and endangered fauna (i.e. IUCN listed). The data collection shall address specific outcome indicator(s) consistent with achieving management objectives.

5.8	The fleet is equipped with measures that guarantee a quick retrieval of lost fishing gears to avoid 'ghost fishing'.	Essential	Procedure and evidence of conformity.	Y	All the net are marked and in case of lost a quick retrieval is done with harpoons as for the relative low depth of the water
-----	--	-----------	---------------------------------------	---	---

The auditor shall obtain a copy of the procedures.

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.	Just fresh water fish
-----	---	-----------	---	------	-----------------------

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.

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 reference points shall be set to ensure long term sustainability.	Y	Reference point are indicated on the stock assessment and fixed by quota
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.	Y	The management policy is clear to maintain in equilibrium the ecological system No change from previous audit
5.11.1	Essential habitats for the stock of consideration, and vulnerable ecosystems, including those potentially impacted by Deep-Sea fisheries			Y	Essential habitat is defined and protected area are indicated No change from previous audit
5.11.2	Endangered species			Y	A list of endangered species is approved and they are forbidden for fishing as sturgeon and Balkash perch No change from previous audit
5.11.3	Non-target stocks			Y	All the fisheries are planned to release alive non-target species No change from previous audit
5.11.4	Dependent predators and/or preys			Y	Dependent predator are taken into consideration and a policy of repopulation of carps is in place to maintain the food web annex 5.2.2
5.11.5	Ecosystem structure and processes			Y	The ecosystem structure is taken into consideration controlling the water dynamic and availability No change from previous audit
5.12	A yearly reviewed Ecosystem Approach to Fisheries is in place	Recommended	Documental evidence	Y	A yearly Ecosystem approach is in place to controlling water dynamic and usage No change from previous audit
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	Fishery management plan take into consideration coastal management of the two lakes. No change from previous audit

The auditor shall provide evidence of the reference values targeted and implemented. These can, in some cases, be threshold reference limits and precaution limits set by regional bodies.

The management measures implemented by the management system of the organisation shall be based on the best available scientific evidence. Any traditional or scientific knowledge can be used within the management system, given that it can be objectively verified by the auditor

6 WASTE MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N	Comments
6.1	The organisation 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	The organisation uses plastic boxes that can be recycled. All the food waste from processing is sent for the production of fish meal. The storing tank on the transportation vessels are all in steel No change from previous audit
6.2	The organisation implements measures to prevent dispersion of waste at sea (including fuels and lubricants and plastic materials)	Essential	Procedure and evidence of conformity.	Y	All the waste is collected and taken at shore. No waste is allowed free in the water. Annex 6 No change from previous audit
6.3	The organisation 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	No Chemical is used . The only product used for cleaning is ANTI-GERM RKR 600 that is considered environmentally friendly. http://www.anti-germ.com/en/company/compliance/ Annex 6 No change from previous audit
6.4	The organisation 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.	Y	The Organisation used as refrigerant Freon 404 Annex 6 No change from previous audit

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 (renewable or not) 2. energy consumption per process line (fishing, processing, transport)	Y	All the oil and energy consumption is recorded and kept to the head quarter. Oil consumption is recorded for trucks, transport boats and fishing vessels. All the energy plant is recorded. See register 2019
7.2	The organisation should calculate its carbon footprint per product unit and engage to reduce it every year.	Recommendation		y	The organization calculate its carbon foot print No change from previous audit

8 SOCIAL ACCOUNTABILITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
8.1	The Organisation shall respect human rights, complying with the following requirements:				Annex 8.1
8.1.1	compliance with national regulations and ILO on child labour	Essential	Refer to ILO: http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm	Y	No child is employed Annex 8.1
8.1.2	pay the employees adequate salaries compliant at least with minimum legal wages	Essential	Minimum wages vary depending on the country. The Auditor shall verify that the organisation knows the minimum wage.	Y	The company employs all the workers according to a company contract in conformity with the law of the republic of Kazakhstan. Minimum wage in Kazakhstan is 90.000 TENGE (KZT). Government of Kazakstan has announced to raise the minimum wage from current 28,000 to 42,000 tenge starting from January 1, 2019. The minimum wage paid by the company is 42500 for people patrolling the fishing departments who has also the right to fish in the same department for their own necessity. (their catches are always declared and deducted by Rybprom TAC and the quantity allowed are only for family consumption) See pay roll Nov. 2019 All the people on board are regularly contracted (crew list)
8.1.3	grant employees access to healthcare	Essential		Y	The company according to the law assures a medical visit once a year for all the workers. The company supplies a life insurances for all the workers. (ASIA LIFE policy). A health public service is supplied free by the State.
8.1.4	apply safety measures required by the law	Essential		Y	Safety measures are in place ANNEX 8.1

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

- XThe 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)

List recommendations