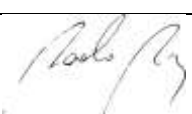
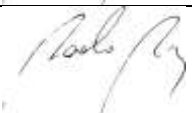
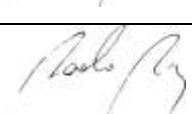
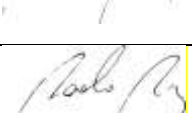


Friend of the Sea Standard

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.'

Description of the Organisation

This document shall only be filled out by personnel of the certification body in charge of the audit. It shall be filled out in English if spoken fluently.

a) NAME OF THE ORGANISATION TO BE AUDITED:

John Sea Foods (Pvt) Ltd

b) NAME OF THE ORGANISATION REQUESTING THE AUDIT:

John Sea Foods (Pvt) Ltd

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

No

d) ADDRESS OF THE ORGANISATION TO BE AUDITED:

John Sea Foods (Pvt) Ltd,
Kosgahawatte, De Silva mawatha, Kaluwarippuwa East, Miriswatthe, Divulapitiya, Sri Lanka

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

Mr. Shehan Shanaka

f) FLEET TO BE AUDITED:

| <i>Name of the fishing vessel</i> | <i>Registration number</i> | <i>Vessel's flag</i> | <i>Fishing method</i> | <i>Capacity (MT)</i> | <i>Unloading harbour</i> | <i>Ship owner, if different from a)</i> |
|-----------------------------------|----------------------------|----------------------|-----------------------|----------------------|--------------------------|---|
| Attached | | | | | | |

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

| Name of the fishing vessel | Registration number | Unloading harbour |
|----------------------------|---------------------|--------------------------------|
| Minshadi Duwa | IMUL-A-0819 CHW | Dikowita |
| Minshadi Duwa | IMUL-A-0865 CHW | Negambo, Dikowita, Trincomalee |

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 057, INDIAN OCEAN

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

| Common Name | Scientific Name |
|-----------------|--------------------------|
| YELLOW FIN TUNA | <i>Thunnus albacores</i> |
| SWORD FISH | <i>Xiphias gladius</i> |

j) TOTAL NUMBER OF EMPLOYEES:

131

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS:

Environmental Protection License From The Central Environmental Authority, Sri Lanka

l) 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:

N/A

m) ADDITIONAL INFORMATION:

Surveillance audit

Organization certified for;

ISO 22000:2005

HACCP Codex Alimentarius

Good Manufacturing practice

Food Safety System Certification (FSSC) 22000

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

| | | |
|---|---|--|
| CERTIFICATION BODY: SGS Lanka (Pvt) Ltd | AUDIT TEAM: Gamunu Wickramasekara Diyan deSilva Buddhika Tissera | AUDIT START AND END DATE: 27th August 2020 |
| SIGNATURE OF AUDITOR: Gamunu Wickramasekara | NAME OF THE PERSON IN CHARGE OF THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: Mr. Shehan Shanaka Quality Assurance Executive | AUDIT CODE: AFL/1042424 |

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 and information | Y/N | Comments |
|--|--|-----------|--|----------|--|
| 1.1 | The state of the stock under consideration shall be assessed by the fisheries management organisation. | Essential | The fishery shall demonstrate to collect data in accordance with applicable international standards (e.g. Coordinating Working Party on Fishery Statistics, the FAO Guidelines for the routine collection of capture fishery data, FAO Fisheries Technical Paper No. 382; Deep Sea Fishery (DSF) in the High Seas, FAO Programme). | Y | <p>The stock of the two species under the scope of certifications: Yellow Fin Tuna (<i>Thunnus albacores</i>), Sword Fish (<i>Xiphias gladius</i>) are managed by</p> <p>i). IOTC Stock Assessment, web site address: www.iotc.org ii). Department of Fisheries and Aquatic Resources, DFAR Sri Lanka. www.fisheriesdept.gov.lk</p> <p>The Fishing area is FAO Zone 057.</p> <p>a) The latest stock assessment was conducted in 2018 and was updated in December 2018 for the Executive summary-yellow fin Tuna with supporting information. b) The latest stock assessment was conducted in 2018 and was updated in December 2018 for Executive Summary-Sword Fish with supporting information.</p> |
| <p><i>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.</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 | | Y | <p>Species which stock under considerations are not data deficient.</p> <p>IOTC Stock Assessment, web site address: www.iotc.org</p> |

| | | | | | |
|-------|--|-----------|--|-----|---|
| 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 | <p>As per the IOTC Executive summary-Yellow Fin Tuna, December 2018, the main fleet average catch from Sri Lanka is 9%.</p> <p>The sword fishes catch from main fleet Sri Lanka is 18% and it is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-Sword Fish, December 2018.</p> <p>The organization buys 100% of their YFT and Sword Fish from small Fishing vessel.</p> <p>The YFT and Sword fishes are caught by mostly artisanal Fishing vessels <24m.</p> |
| 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 | <p>As per the IOTC Executive summary-Yellow Fin Tuna, December 2018, the main fleet average catch from Sri Lanka is 9%.</p> <p>The sword fishes catch from main fleet Sri Lanka is 18% and it is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-Sword Fish, December 2018.</p> <p>The organization buys 100% of their YFT and Sword Fish from small Fishing vessel.</p> <p>The YFT and Sword fishes are caught by mostly artisanal Fishing vessels <24m.</p> |

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 | Refer 1.1.1 |
| 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. | Y | <p>The YFT and Sword fishes are caught by mostly artisanal Fishing vessels <24m.</p> <p>As per the IOTC Executive summary-Yellow Fin Tuna, December 2018, the main fleet average catch from Sri Lanka is 9%.</p> <p>The sword fishes catch from main fleet Sri Lanka is 18% and it is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-Sword Fish, December 2018.</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 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 | <p>Data collection shall be in accordance with international standards (e.g. CWP and DSF in the High Seas, FAO Programme).</p> <p>The data and analysis may include local, traditional or indigenous knowledge and research, providing its validity can be objectively verified.</p> <p>The methodology and results of the analysis of the most probable adverse impacts of the unit of certification on the ecosystem are made publicly available in a timely manner, respecting confidentiality where appropriate.</p> | Y | <p>Fishing gear used is Deep set is long line which reduces the percentage of bycatch.</p> <p>Government controls the fleets by VMS tracking. All vessels which has high-sea license for fishery equipped with VMS and track by department of fisheries and aquatic resources. Which is compliance for international obligations.</p> |
| 2.2 | The fishery or fleet complies with Marine Protected Areas regulation. | Essential | Verify compliance also by use of VMS and plotters tracking and World database www.mpaglobal.n etc | Y | <p>Every boat has a log book which needs update of GPS location. This is verify by government officials at the time of landing harbour with the total catch.</p> <p>Apart from that VMS been monitored by fisheries ministry and crossing unauthorized area will be alerted same time for regulatory actions.</p> <p>Designated marine protected areas are checked by department of fisheries and list of areas are enclosed with the boat log book.</p> |

| | | | | | |
|---|---|----------------|--|---|---|
| <i>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).</i> | | | | | |
| 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 | Witnessed fishing boats were used Longline for YFT and Sword fish. Organization verify the fishing gears by random inspections of their registered boats. |
| <i>The auditor shall collect conformity evidence.</i> | | | | | |
| 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 | Evidence observed that organizations has collected research papers regarding impact of fishing activities relating to fishing gear. |
| <i>The Auditor shall provide evidence referring to all available studies.</i> | | | | | |

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 | Accidental bycatch species are list out in the log book for data collection. The studies are carries out by DFAR, NARA and MFARD for taking necessary actions which are coordinated with IOTC for publishing. Observed log books at the time of boat auditing haven't caught any bycatch species. |
| 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 | <p>Log book details are taken at the time of fish receiving to factory. Log book contains all accidental by catch details and factory keeps information.</p> <p>DFAR, NARA and MFARD are referring latest data to take control / actions accordingly.</p> |
| <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 | Log book details collected by organization indicates that discards are lesser than 8% of total catch. |

| | | | | | |
|-------|---|-----------|---|------------|---|
| 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 | Not using FADs. As per the rules and regulations described in the fish license, FADs are prohibited for longline fishery. Once boats reaches harbours, Sri Lankan coast guards are verifying the catch and gears before unloading. |
| 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 | No FADs used. |

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 | Boats are registered under DFAR and its web site maintained a daily updating boat registry. Website: https://www.fisheriesdept.gov.lk |
| 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). | Y | Verified all the vessels from where the fish is purchased are not present in the list as per http://www.itfseafarers.org/foc-registries.cfm . |
| 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.EN.G | Y | DFAR issues list of IUU vessels to their relevant parties. |

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.dolphinsafe.tuna.org</p> | Y | <p>The organization has obtained the certificate.</p> <p>Certificate no. 002-2018-EU</p> <p>Original certificate date: 14/08/2018</p> |
| <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 fisheries regulations. The organization also audited by department of fisheries for compliance of fisheries regulations. The organization also has approved license by department of fisheries for seafood processing.</p> <p>The organization also certified for ISO 22000, HACCP, GMP, FSSC and BRC.</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>DFAR decide number of license issuing for high sea fishing annually.</p> <p>No reference regarding TAC in Sri Lanka.</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 | Use of log book verified at the vessel audit. |
| 4.5.3 | Minimum net mesh size | 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> | N/A | <p>Fishery uses only long line for Tuna harvest.</p> <p>DFAR has authority to provide license for other fishing gears.</p> |

| | | | | | |
|-------|--|-----------|---|------------|--|
| 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 | Fishery uses only long line for Tuna harvest. DFAR has authority to provide license for other fishing gears. |
| 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 | There is no minimum legal size of the target species mentioned in the country law. But long line fishery itself regulate the size of the fish. Organization has their own size limit for receiving fish. |
| 4.5.6 | Distance from the shore | Essential | Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ | Y | Based on the license provided by DFAR. |
| 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 | DFAR provides license according to their rules & regulations. Adequate measures have taken by the DFAR for reduction of accidental catch. |
| 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 | Fishing in protected areas are being controlled by VMS at DFAR monitoring center. |
| 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 | DFAR has prohibited such items. Before unloading coast guards are inspecting for these items. |

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 | <p>National fishery management is done by DFAR. Which is the government authority for fishery management.</p> <p>Fishery regulations are updated by DFAR and organizations are alerted once published.</p> |
| 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 | <p>DFAR has the authority to control all fishing vessels as needed.</p> <p>Fish processing organizations are also registered under DFAR.</p> |
| 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 | Evidence was provided for audit performed by DFAR at organization for updated regulatory updates. |

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 | Actions or regulations taken/update by the fishery management system (DFAR) are published in their web site for public awareness. |
| 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 | N/A | Organization does not involve in such planning and implementation. However fish communities have their representation at DFAR for planning and implementation of management measures. |
| 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. | N/A | DFAR has implementations according to protection of target fish and habitats. Organizations are not involved in taking such decisions since DFAR is the authorized government institute for protection of target fish and habitats. |
| 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. | N/A | DFAR has authority to control fishery by issuing license for fishing vessels. So local fish processing organizations does not manage / taking actions regarding fishery management. |
| 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. | N/A | Fish processing organizations doesn't take any action since DFAR is the authorized government institute. Management measures taken by DFAR is reviewed and published in their web site. |
| 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 | DFAR conducts audits in their registered organizations for compliance with fishery regulations. |

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 | As per the interview had with vessel operators, bycatch needs to be noted in log book as stated by DFAR. Cost guards are check log book before unloading the fish at harbours. But no evidences observed in log books. |
| 5.5 | The fleet or fishery shall record discards. | Essential | Procedure and evidence of conformity | Y | During interview skipper said that they must to record discards in log book as per the procedure of DFAR. But no evidences observed in log books. |
| 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 | N | Bycatch and discard percentages are not publicly available in both DFAR & organization. |

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 | DFAR has provided necessary instructions to prevent possible accidental catches and methods are describes in the license provided to fishery. In such accidental catches log book need to be updated as instructed. But no evidences observed in log books. |
| 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 | Organization has conducted trainings for fish suppliers and produce evidence of training. |

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 | Instructions and procedures are in place as DFAR mentioned all in the license. During the interview with skippers, drifted fishing gears are collected since they stay for few days at one place. |
|-----|--|-----------|---------------------------------------|---|--|

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 | Not large-scale fishing vessels are operated. |
|-----|---|-----------|---|-----|---|

**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 | Referred to the IOTC report for Tuna and Sword. |
| 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. | | |
| 5.11.1 | Essential habitats for the stock of consideration, and vulnerable ecosystems, including those potentially impacted by Deep-Sea fisheries | | | Y | Referred the regulation of DFAR act and license provided for fishery. |
| 5.11.2 | Endangered species | | | Y | Refer 5.11.1 |
| 5.11.3 | Non-target stocks | | | Y | Refer 5.11.1 |
| 5.11.4 | Dependent predators and/or preys | | | Y | Refer 5.11.1 |
| 5.11.5 | Ecosystem structure and processes | | | Y | Refer 5.11.1 |
| 5.12 | A yearly reviewed Ecosystem Approach to Fisheries is in place | Recommended | Documental evidence | Y | Refer 5.11.1 |
| 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 | Refer 5.11.1 |

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 | System of collecting waste is in place at visited fishing harbors by 3 rd party for re-use & re-cycling. Coast guards are monitoring the compliance on vessel for performing the same. |
| 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 | System of collecting waste is in place at visited fishing harbors by 3 rd party for re-use & re-cycling. Coast guards are monitoring the compliance on vessel for performing the same. |
| 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 specific toxic chemicals are used onboard. Organization does random inspections on their registered fishing vessels. |
| 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 | Using 507 gas (Kalfon) as refrigerants. |

**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 organisation 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 | Organization has average fuel consumption for fishing and transportation, electricity bill for fish processing as incoming energy source. |

| | | | | | |
|-----|---|----------------|--|---|---|
| 7.2 | The organisation should calculate its carbon footprint per product unit and engage to reduce it every year. | Recommendation | | N | Organization has not calculated carbon footprint per product. |
|-----|---|----------------|--|---|---|

The auditor shall review copies of the registers.

8 SOCIAL ACCOUNTABILITY

| No. | Requirement | Level | Parameters and information | Y/N | Comments |
|-------|---|-----------|---|-----|--|
| 8.1 | The Organisation shall respect human rights, complying with the following requirements: | | | | |
| 8.1.1 | compliance with national regulations and ILO on child labour | Essential | Refer to ILO: http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm | Y | Child labour wasn't observed at the time of the audit. |
| 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 | Minimum salary in the organization is higher than the minimum legal wage limit given by Sri Lankan government act. |
| 8.1.3 | grant employees access to healthcare | Essential | | Y | Medical checkups have carried out annually for all employees. |
| 8.1.4 | apply safety measures required by the law | Essential | | N | Training on HSE and Firstaid, Ergonomic assessment not conducted. |

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

- ☒ **The fleet COMPLIES with Friend of the Sea requirements**
- ☐ **The fleet DOES NOT COMPLY with Friend of the Sea requirements**

MAJOR NON CONFORMITIES (to be corrected within 3 months)

1.
FOS wild: Clause: 8.1.4
Requirement: Apply safety measures required by the law
Description: No evidence found on training on HSE, firstaid or Ergonomic assesment

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

1.
FOS wild: Clause: 7.2
Requirement: The organisation should calculate its carbon footprint per product unit and engage to reduce it every year.
Description: No evidence on a carbon footprint calcutation done.
2.
FOS Wild: Clause: 5.5.1
Requirement: Bycatch and discard data shall be made publicly available by ether the FMO or the organisation.
Description: Byatch and discard data available but need to be publicly available.