

# Friend of the Sea Standard

## **FOS - Wild – Non-Freezer Vessels Sustainable fishing Requirements**

REV	DATE	REASON	VALIDATION	APPROVAL
0	18/01/2013	First issue	OK	OK
1	01/07/2015	Content update	OK	OK
2	27/12/2015	Update Document Title	OK	OK

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## Introduction

Friend of the Sea is a non-governmental organisation established in 2008, whose aim is to safeguard the marine environment and its resources 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 by Independent Certification Bodies following an audit, ensures that a product complies with the sustainability requirements.

The Friend of the Sea fishing certification program complies with the "**GUIDELINES FOR THE ECOLABELLING OF FISH AND FISHERY PRODUCTS FROM MARINE CAPTURE FISHERIES (FAO)**". All requirements refer to criteria which conform with the "Minimum substantive criteria" included in the following FAO Guidelines.

### **"Management systems**

*28. Requirement: The fishery is conducted under a management system which is based upon good practice and that ensures the satisfaction of the requirements and criteria described in Paragraph 29. The management system and the fishery operate in compliance with the requirements of local, national and international law and regulations including the requirements of any regional fisheries management organization that manages the fisheries on the "stock under consideration".*

*28.1 For the "stock under consideration" there are documented management approaches with a well based expectation that management will be successful taking into account uncertainty and imprecision.*

*28.2 There are objectives, and as necessary, management measures to address pertinent aspects of the ecosystem effects of fishing as per paragraph 31.*

*29. The following criteria will apply to management systems for any fisheries, but it must be recognized that special consideration needs to be given to small-scale fisheries with respect to the availability of data and with respect to the fact that management systems can differ substantially for different types and scales of fisheries (e.g. small scale through to large scale commercial fisheries).*

*29.1 Adequate data and/or information are collected, maintained and assessed in accordance with applicable international standards and practices for evaluation of the current state and trends of the stocks<sup>4</sup> (see below: Methodological aspects). This can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified.*

*29.2 In determining suitable conservation and management measures, the best scientific evidence available is taken into account by the designated authority, as well as consideration of relevant traditional fisher or community knowledge, provided its validity can be objectively verified, in order to evaluate the current state of the "stock under consideration"<sup>5</sup> in relation to, where appropriate, stock specific target and limit reference points.*

*29.2bis: Taking due account of paragraph 32, for the "stock under consideration" the determination of suitable conservation and management measures should include or take account of:*

- Total fishing mortality from all sources is considered in assessing the state of the "stock under consideration", including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries.*

- Management targets are consistent with achieving maximum sustainable yield (MSY) (or a suitable proxy) on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators.*

- The management system should specify limits or directions in key performance indicators (see 30.2), consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, and specify the actions to be taken if the limits are approached or the desired directions are not achieved.*

*29.3 Similarly, data and information, including relevant traditional, fisher or community knowledge, provided its validity can be objectively verified, are used to identify adverse impacts of the fishery on the ecosystem, and timely scientific advice is provided on the likelihood and magnitude of identified impacts (see paragraph 31).*

*29.4 The designated authorities adopt and effectively implement appropriate measures for the conservation and sustainable use of the "stock under consideration" based on the data, information and scientific advice referred to in the preceding bullets.<sup>7</sup> Short-term considerations should not compromise the long-term conservation and sustainable use of fisheries resources.*

*29.5 An effective legal and administrative framework at the local, national or regional level, as appropriate, is established for the fishery<sup>8</sup> and compliance is ensured through effective mechanisms for monitoring, surveillance, control and enforcement (see paragraph 6).*

*29.6 In accordance with the Code of Conduct Article 7.5, the precautionary approach is being implemented to protect the "stock under consideration" and to preserve the aquatic environment.*

*Inter alia this will require that the absence of adequate scientific information should not be used as a reason for postponing or failing to take conservation and management measures. Further, relevant uncertainties are being taken into account through a suitable method of risk assessment. Appropriate reference points are determined and remedial actions to be taken if reference points are approached or exceeded are specified.*

### **Stocks under consideration**

*30. Requirement: The "stock under consideration" is not overfished, and is maintained at a level which promotes the objective of optimal utilization and maintains its availability for present and future generations taking into account that longer term changes in productivity can occur due to natural variability and/or impacts other than fishing. In the event that biomass drops well below such target levels, management measures (Code of Conduct Article 7.6) should allow for restoration within reasonable time frames of the stocks to such levels (see also paragraph 29.2.bis). The following criteria are applicable:*

*30.1 The "stock under consideration" is not overfished if it is above the associated limit reference point (or its proxy).*

*30.2 If fishing mortality (or its proxy) is above the associated limit reference point, actions should be taken to decrease the fishing mortality (or its proxy) below that limit reference point.*

*30.3 The structure and composition of the "stock under consideration" which contribute to its resilience are taken into account.*

*30.4 In the absence of specific information on the "stock under consideration", generic evidence based on similar stocks can be used for fisheries with low risk to that "stock under consideration". However, the greater the risk the more specific evidence is necessary to ascertain the sustainability of intensive fisheries.*

### **Ecosystem considerations**

*31. Requirement: Adverse impacts of the fishery on the ecosystem should be appropriately assessed and effectively addressed. Much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks. This issue can be addressed by taking a "risk assessment/risk management approach". For the purpose of development of ecolabelling schemes, the most probable adverse impacts should be considered, taking into account available scientific information, and traditional, fisher or community knowledge provided that its validity can be objectively verified. Those impacts that are likely to have serious consequences should be addressed. This may take the form of an immediate management response or further analysis of the identified risk. In this context, full recognition should be given to the special circumstances and requirements in developing countries and countries in transition, including financial and technical assistance, technology transfer, and training and scientific cooperation. The following criteria are to be interpreted in the context of avoiding high risk of severe adverse impacts:*

*31.1 Non target catches, including discards, of stocks other than the "stock under consideration" are monitored and should not threaten these non-target stocks with serious risk of extinction; if serious risks of extinction arise, effective remedial action should be taken.*

*31.2 The role of the "stock under consideration" in the foodweb is considered, and if it is a key prey species in the ecosystem, management measures are in place to avoid severe adverse impacts on dependent predators.*

*31.3 There is knowledge of the essential habitats for the "stock under consideration" and potential fishery impacts on them. Impacts on essential habitats and on habitats that are highly vulnerable to damage by the fishing gear involved are avoided, minimized or mitigated (Code of Conduct 7.2.2). In assessing fishery impacts, the full spatial range of the relevant habitat should be considered, not just that part of the spatial range that is potentially affected by fishing.*

*31.4 In the absence of specific information on the ecosystem impacts of fishing for the unit of certification, generic evidence based on similar fishery situations can be used for fisheries with low risk of severe adverse impact. However, the greater the risk the more specific evidence is necessary to ascertain the adequacy of mitigation measures.*

### **Methodological aspects**

*Assessing current state and trends in target stocks*

*32. There are many ways in which state and trends in stocks may be evaluated, that fall short of the highly quantitative and data-demanding approaches to stock assessment that are often used for large scale fisheries in developed countries. Use of less elaborate methods for stock assessment should not preclude fisheries from possible certification for ecolabelling. However it should be noted that, to the extent that the application of such methods results in greater uncertainty about the state of the "stock under consideration", more precautionary approaches to managing fisheries on such resources will be required which may necessitate lower levels of utilization of the resource. There is a variety of management measures commonly used in small scale or low value fisheries that nonetheless can achieve quite adequate levels of protection for stocks in the face of uncertainty about the state of the resource. A past record of good management performance could be considered as supporting evidence of the adequacy of the management measures and the management system."*

## **Friend of the Sea criteria and their compliance with Minimum Substantive Criteria (FAO)**

For each of the following criteria whose compliance is verified in the course of the audit, the respective FAO Minimum Substantive Criterion observed is mentioned in brackets.

1. Status of stock (30)
2. Ecosystem Impact (31)
3. Selectivity (31)
4. Legal Compliance (28)
5. Management (28, 29)
6. Waste management
7. Energy Management
8. Social Accountability

Each one of these criteria contains essential or important requirements or recommendations.

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

Important Requirements. 100% conformity to Important Requirements is mandatory in order for the Certification Body to certify the Organisation's product. Any lack of compliance with these requirements is to be considered as a Minor Non-Conformity and the Organisation has to propose effective Corrective Actions (declaration of intents and implementation plan), to be submitted to the Certification Body within three weeks from the issuing of the Non Conformity. This proposal must also include a timetable concerning the implementation of each correction measure. Each proposed Corrective Action must be fully implemented within the following twelve months.

Recommendations. Compliance with Recommendations is not mandatory for the product to be certified. However compliance with Recommendation will be verified during the audit and any deficiency ( k day du ) will be included in the Audit Report as a Recommendation. The Organisation shall inform the Certification Body, during the following audit, regarding any corrective measures implemented.

Requirements which are not applicable to the audited Organisation will be marked with "N.A."

## Description of the Organisation

This document shall only be filled out by personnel of the Certification Body in charge of the audit. It must be filled out in English.

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

***PT TOBA SURIMI INDUSTRIES***

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

***RAI SEAFOOD***

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

**No**

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

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

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

**Mrs. Bunga Malem**

**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 harbor</i>	<i>Ship owner if different from a)</i>
KM Rejeki Bersama I	REG.0223/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama II	REG.0224/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama VIII	REG.0230/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama X	REG.0132/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XI	REG.0233/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XII	REG.0234/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XIII	REG.0235/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XV	REG.0237/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XVI	REG.0238/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XVII	REG.0239/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XVIII	REG.0240/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XIX	REG.0241/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XXI	REG.0243/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri
KM Rejeki Bersama XXIII	REG.0245/DISTANLA	Indonesia	Traditional Handline	1 GT	Nelayan Indah - Belawan	Ahmad Zamri

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

<b>Name of the fishing vessel</b>	<b>Registration number</b>	<b>Unloading harbor</b>
KM Rejeki Bersama XVI	REG.0238/DISTANLA	Nelayan Indah - Belawan
KM Rejeki Bersama XXIII	REG.0245/DISTANLA	Nelayan Indah - Belawan
KM Rejeki Bersama VIII	REG.0235/DISTANLA	Nelayan Indah - Belawan

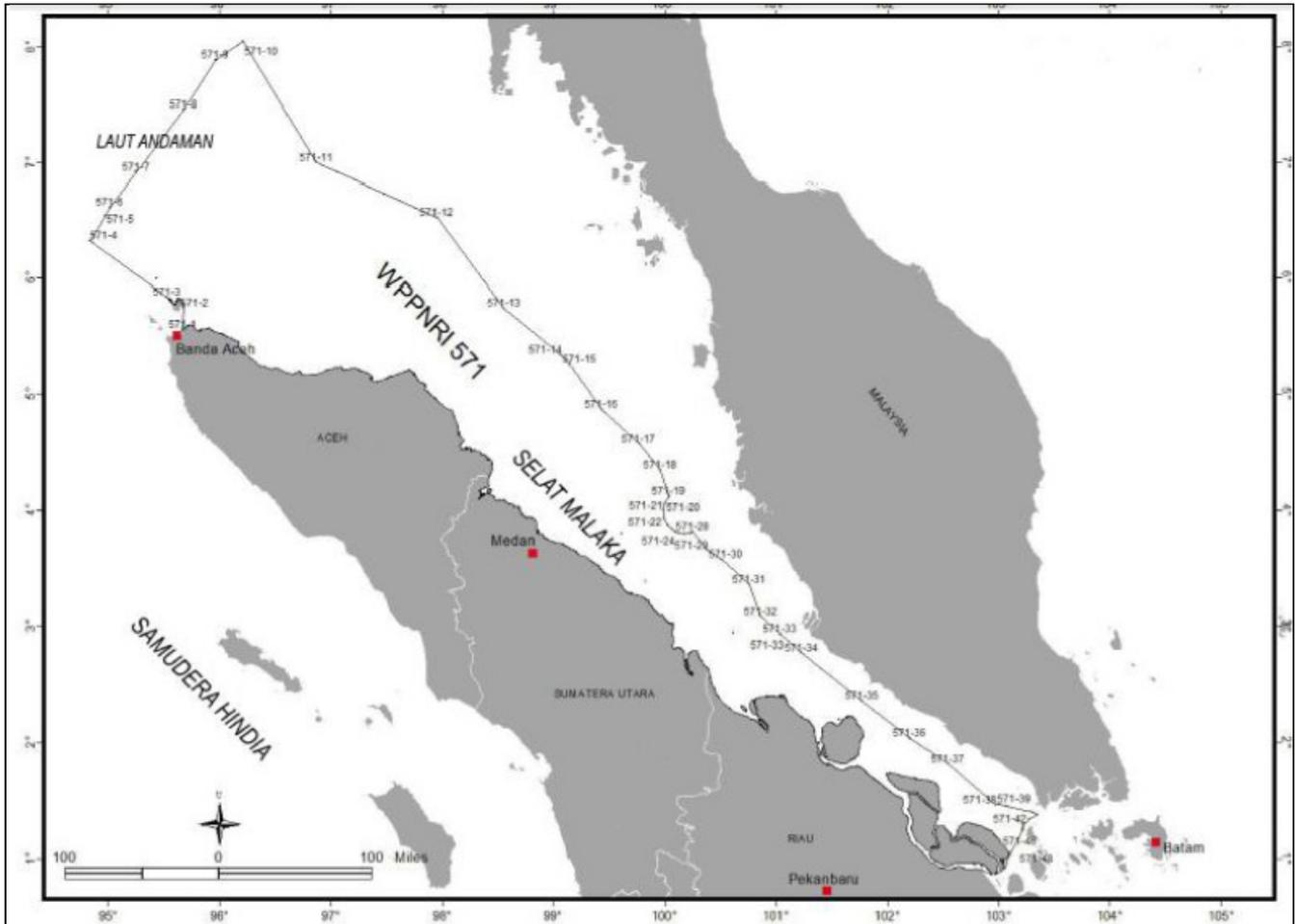
**h) FISHING ZONE** (Coordinates and/or FAO area and/or subarea and/or ICES area and/or EEZ. If available please include also a map)

**Fishing Ground FMA 571**



**REMARKS:**

- |  |   |
|--|---|
| FMA 571 : Malaka Strait - Andaman Sea  | FMA 714 : Tofo Bay - Banda Sea  |
| FMA 572 : Indian Ocean (West of Sumatra) - Sunda Strait  | FMA 715 : Tomini Bay - Maluku Sea - Halmahera Sea - Seram Sea - Berau Bay |
| FMA 573 : Indian Ocean (South of Java) - South of Nusa Tenggara - Sawu Sea - West of Timor Sea | FMA 716 : Sulawesi Sea - North of Halmahera                               |
| FMA 711 : Karimata Strait - Natuna Island - South China Sea                                    | FMA 717 : Cendrawasih Bay - Pacific Ocean                                 |
| FMA 712 : Java Sea   | FMA 718 : Aru Sea - Arakuru Sea - East of Timor Sea                       |
| FMA 713 : Makassar Strait - Bone Bay - Flores Sea - Bali Sea                                   |   |



Gambar 1. Lokasi WPPNRI 571

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

Common Name	Scientific Name
<i>Cumi – cumi (Squid)</i>	<i>Loligo chinensis</i>

**j) TOTAL NUMBER OF EMPLOYEES:**

Total : 630 permanent employee  
 Production squid : 70 permanent employee

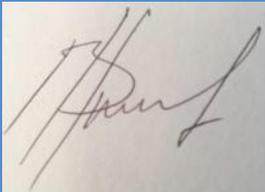
**k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS**

**N.A.**

**I) ADDITIONAL INFORMATION:**

PT. Toba Surimi Industries was established in 1997, located in Jalan Pulau Pinang 2, Kawasan Industri Medan II, Saentis – Deli Serdang, Medan 20371, Sumatera Utara, Indonesia. The factory occupied 12,056 M2 with 2,024 M2 for building and warehouse. They produce Pasteurized Crabmeat, Canned and Frozen Seafood. The product is exported to USA market, Europe market, Japan, Hongkong and Singapore.  
Now the company has got some certificates such as: HACCP, EU#343.02 B/C, CND.B/C-003-02 and RR.B/C-030-02

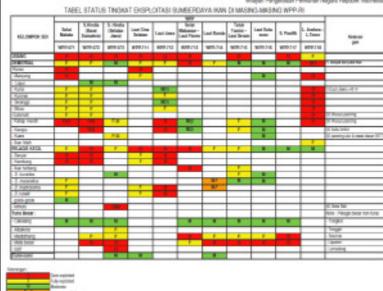
- The Friend of the Sea project was introduced** (If not the Auditor must provide a short description)
  
- The Organisation and the ship owners were informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products**
  
- The Organisation has a document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

<b>CERTIFICATION BODY: SGS INDONESIA</b>	<b>AUDIT TEAM: Tri Laksana Budiawan</b>	<b>AUDIT START AND END DATE: 19 – 21 July 2016</b>
<b>SIGNATURE OF AUDITOR:</b> 	<b>NAME OF THE PERSON IN CHARGE FROM THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: Mrs. Bunga Malem (QA) Mrs. Murniati (HR)</b>	<b>AUDIT CODE:</b>

## NOTES TO THE AUDITOR

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

### **1 – STOCK STATUS**

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
1.1	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. This data concludes that the stock is NOT:				Information on the stock status is available from <b>Ministry of Marine Affairs and Fisheries Republic of Indonesia</b> official web site: <a href="http://statistik.kkp.go.id/uploads/buku_statistik/file/buku-kpda-2014.pdf">http://statistik.kkp.go.id/uploads/buku_statistik/file/buku-kpda-2014.pdf</a>  and Decision Ministry of Marine Affairs and Fisheries Republic of Indonesia No 45/MEN/2011 about Estimation of Fisheries resource in Indonesia.
1.1.1	Data deficient	Essential			<i>Loligo chinensis</i> (Squid) is considered not over exploited or over fished on the Malacca strait or FMA 571 based on Decision Ministry of Marine Affairs and Fisheries Republic of Indonesia No 45/MEN/2011 about Estimation of Fisheries resource in Indonesia  
1.1.2	Over-exploited ( $F > F_{msy}$ )	Essential	$F < F_{msy}$ within probability range of available stock assessments		<i>Loligo chinensis</i> (Squid) is considered not over exploited or over fished on the Malacca strait or FMA 571 based on Decision Ministry of Marine Affairs and Fisheries Republic of Indonesia No 45/MEN/2011 about Estimation of Fisheries resource in Indonesia
1.1.3	Over-Fished ( $B < B_{msy}$ )	Essential	$B > B_{msy}$ within probability range of available stock assessments		<i>Loligo chinensis</i> (Squid) is considered not over exploited or over fished on the Malacca strait or FMA 571 based on Decision Ministry of Marine Affairs and Fisheries Republic of Indonesia No 45/MEN/2011 about Estimation of Fisheries resource in Indonesia

**The Auditor must take into consideration only the most up-to-date official studies on the stock status. These studies can be provided by the company to be audited, by Friend of the Sea, by other interested parties and by the auditor. Most updated stock assessments for tuna resources are carried out by the tuna RFMOs (IOTC, IATTC, CIAT, WCPFC). The Auditor must provide evidence on the conclusion regarding the status of the stock including clear reference to documents and websites.**

1.2	Requirement 1.1 and sub do not apply to Fisheries or fleets which comply with all other requirements and which are not responsible for stock over-exploitation and do not catch more than 10% in weight of total fish in the stock under consideration.	Essential	Weight of catches by fishery with same fishing method as the one under audit, same capacity and targeting same stock is not over 10% of total catches from the same stock.	N/A	
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**The Auditor must fill-in these fields ONLY in case of negative answer to the 1.1 requirement**

## **2. ECOSYSTEM IMPACT**

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
2.1	The fishery or fleet complies with Marine Protected Areas regulation.		Verify compliance also by use of VMS and plotters tracking and World database www.mpaglobal.net	Y	The Malacca strait or FMA 571 based on Decision Ministry of Marine Affairs and Fisheries Republic of Indonesia No 45/MEN/2011 is not protected area for catches squid.  <a href="http://kkji.kp3k.kkp.go.id/index.php/en/marine-protected-area-data/details/7/65">http://kkji.kp3k.kkp.go.id/index.php/en/marine-protected-area-data/details/7/65</a>

**The Auditor, through random sampling, using the Satellite Control System on the vessels or valid alternative evidence, must verify that the fishing activity is not carried out in infringement of Marine Protected Areas (MPA). Alternatively an official declaration from local Control Authorities must be produced. The Auditor must provide a list of Protected Marine Areas in the area (refer to www.mpaglobal.org).**

2.2	The fishery or fleet must use fishing gears that do not affect the seabed unless proven that such impact is negligible.		The seabed and benthic marine wildlife must revert to their original conditions within a maximum of 30 days from the impact of the fishing gear on the seabed.	Y	The fishing gear used is traditional handline that will not affect the seabed. 
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**The Auditor must collect conformity evidence.**

2.3	The ecosystem impact of the fishery or fleet is taken into consideration by the RFMOs.  (Cfr. Art. 31.2 of FAO guidelines 2009)	Recommendation	The RFMO must carry out studies which consider the impact of the fleet or fishery on the ecosystem and it must take this into account when producing management advices.	N	Management is not yet carry out studies which consider the impact of the fleet or fishery on the ecosystem.
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**The Auditor must provide evidence referring to all available studies.**

### **3- SELECTIVITY**

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
3.1	<p>Accidental catches must not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk.</p> <p>The IUCN assessment must have been carried out no more than 10 years before and it must have not been outdated by a more recent stock assessment for the given species / stock.</p>	Important	<p>Bycatch studies must have been carried out by the relevant bodies (FAO or RFMOs or National Authorities or Universities) and they must provide information regarding level of bycatch and bycaught species</p> <p>These studies must not indicate the presence of species vulnerable or worse among the regularly (over 0.25% of total weight) species according to <a href="http://www.redlist.org">www.redlist.org</a>.</p>	Y	<p>No accidental catches. During onsite audit not found any other catches only squid (<i>Loligo chinensis</i>).</p> 
<p>The Auditor must obtain a list of the species that are generally caught accidentally. Such list must be provided by the audited organisation with the available studies. The information included in the list must be compared with the accidental catches actually occurred on site at the time of unloading. The list must also be compared with the <i>database of the IUCN red list</i> <a href="http://www.redlist.org">www.redlist.org</a>. The Auditor must 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 (in weight) must not be over 8% of total catch.		Discards are bycaught species which are not used for human consumption not for fish meal or fishoil production.	Y	No by catches product.
3.3.1	<p>THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA).</p> <p>FADs (Fish Aggregating Devices)</p> <p>The fleet or fishery must provide a census of number of FADs deployed in the previous 12 months per vessel and its must report on a yearly basis to Friend of the Sea regarding FADs deployment per vessel.</p>	Important	Auditor must collect the data provided by the Fleet or fishery and attach it to the Audit Report	N/A	The fleet is only catches squid
3.3.2	<p>THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA).</p> <p>FADs (Fish Aggregating Devices)</p> <p>The fleet must use non entangling FADs only, to avoid entanglement of sharks and turtles.</p>	Important	Audit must collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance.	N/A	The fleet is only catches squid

## **4 - LEGAL CONFORMITY**

<b>N°</b>	<b>Requirement</b>	<b>Level</b>	<b>Quantitative parameters</b>	<b>Y/N</b>	<b>Comments</b>
4.1	All fishing vessels must be officially registered.	Essential	Vessel registration and fishing license inspection.	N	<p>Fishing vessels is officially registered. During onsite inspection found different information between vessel registered letter and actual. Machine brand on vessel KM rejeki Mandiri XXIII Reg. 0245/Distanla is "PAUS" but actual is "Daito".</p> <p>Actual machine:</p>  <p>Registered letter :</p> 

**The Auditor must request a list of all the fishing boats and the respective registration number. The Auditor must collect on site all the documents concerning the registration of at least 10% of the audited boats (copies of photos of the documents)**

4.2	The fleet does not include boats with a flag of convenience.	Essential	The auditor must verify that the boat is not registered to another Nation identified as Flag of Convenience ( <a href="http://www.itfseafarers.org/foc-registries.cfm">http://www.itfseafarers.org/foc-registries.cfm</a> ).	Y	None of the vessels is not registered to another nation identified as flag of convenience
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**The Auditor must verify according to the website <http://www.itfseafarers.org/foc-registries.cfm>.**

4.3	The fleet does not include IUU (illegal, unreported, unregulated) fishing vessels.	Essential	The boat cannot be included in the list <a href="http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF">http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF</a>	Y	Fishing was done with small traditional fishing boat, these does not included IUU fishing vessels. None of the vessels is included in the IUU vessels list or the green peace IUU vessels list
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**The Auditor must verify according to the list on the website <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF>**

4.4	THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA). The fleet must be "Dolphin Safe" approved by the Earth Island	Essential	The organisation must be included in the Dolphin-Safe list of the Earth Island Institute:	N/A	The Fleet is only catches Squid
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	Institute.		www.dolphinsa fetuna.org		
<b>The Auditor must verify the conformity on the list <a href="http://www.dolphinsafetuna.org">www.dolphinsafetuna.org</a> or else the company must sign the EII DS Policy and a copy must be included in the audit report</b>					
4.5	The fishing company complies with national and international regulations.  Compliance with the following regulations in particular has to be confirmed and verified:	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	Y	The fishing company complies with national and international regulations Company is aware of Indonesia country law related to fishery and environmental impact. All fleet are registered and using fishing gear that not allowed by government. Only hand line is used as fishing gear.  <a href="http://infohukum.kkp.go.id/index.php/hukum?type_id=1&amp;produk_id=3">http://infohukum.kkp.go.id/index.php/hukum?type_id=1&amp;produk_id=3</a>  <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a>
4.5.1	TAC (Total catching allowed)	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.		Based on Decision Ministry of Marine Affairs and Fisheries Republic of Indonesia No 45/MEN/2011 about Estimation of Fisheries resource in Indonesia, Squid in Malacca strait is allowed.
4.5.2	Use of a logbook	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.		Logbook is maintained at every landing by company staff, boat wise details were available.  Logbook is used by fishing company to record catches data and vessel during unloading. Processing company staff will record on the data incoming.
4.5.3	Mesh size	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	N/A	Not Applicable. Net is not used ,the fleet using handline fishing gear
4.5.4	Net size	Essential	Countries fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	N/A	Not Applicable. Net is not used, the fleet using handline fishing gear
4.5.5	Minimum size	essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	N/A	No specific regulation related minimum size allowed.  <a href="http://kkp.go.id/index.php/pers/kebijakan-tata-kelola-perikanan-berkelanjutan-mulai-diberlakukan/?print=print">http://kkp.go.id/index.php/pers/kebijakan-tata-kelola-perikanan-berkelanjutan-mulai-diberlakukan/?print=print</a>  <a href="http://agriculture.vic.gov.au/fisheries/recreational-fishing/recreational-fishing-guide/catch-limits-and-closed-seasons/molluscs-and-other-invertebrates/squid-octopus-cuttlefish">http://agriculture.vic.gov.au/fisheries/recreational-fishing/recreational-fishing-guide/catch-limits-and-closed-seasons/molluscs-and-other-invertebrates/squid-octopus-cuttlefish</a>

4.5.6	Distance from the shore	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators	Y	Approx. 5 – 10 miles from shore.
4.5.7	Measures for the reduction of accidental catches	Essential	Countries fisheries laws available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators.	N/A	Not applicable, no accidental catches if using handline fishing gear.
4.5.8	No fishing in protected habitats	Essential	Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators	Y	Fishing is not done at protected habitat. Marine protected area are notified by local government, as per local regulation.
4.5.9	Use of forbidden gears, chemical substances and explosives	Essential	Countries' laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators	Y	During audit, fishing boats were verified onsite, no banned fishing gears or explosive was noticed

**The Auditor must verify, according to national and international regulations, that the aforementioned legal requirements are met and provide an exhaustive report with reference to the law. Where possible, the Auditor shall provide documents and photographs. A detailed description of the fishing regulation concerning each Country is available on FAO's website <http://www.fao.org/fishery/countryprofiles/search/en>**

## 5 – MANAGEMENT

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
5.1	The fishing company has a legal and administrative structure, locally, nationally or regionally, as appropriate (Code of conduct for responsible fishing, article 7.7.1).	Essential	Procedure and organisational chart.	Y	The regulatory and competent authority is <b>"Ministry of Marine Affairs and Fisheries Republic Indonesia"</b>  <b>Website:</b> <a href="http://www.kkp.go.id/index.php">http://www.kkp.go.id/index.php</a>  <b>Relevant regulation could be found in link below:</b> <a href="http://infokukum.kkp.go.id/tampil1_uu.php">http://infokukum.kkp.go.id/tampil1_uu.php</a>  The company was registered as fish processing unit by Ministry of Marine Affairs and Fisheries Republic Indonesia no 3745/12/SKP/BK/XII/2015  However during audit found that fishing ground is area 5.7.1 and based on Indonesian regulation is allowed to catch Squid.
<b>The Auditor must verify and describe briefly the legal and administrative structure in force.</b>					
5.2	According to the Code of conduct (art 7.5) a precautionary approach is undertaken to protect the target stock and safeguard the marine environment.	Important	Procedure and evidence of conformity.	Y	Document no QMS – 0001 Q.A Department, Rev 00 issue date on 01 may 2016. Briefing and updating Indonesia regulation related with catch area allowed and what kind of fish that cannot catches.
<b>The Auditor must verify if the Country the flag of the fishing company refers to has ratified the FAO Code of conduct. Otherwise the Organisation must include a precautionary approach in their procedures.</b>					
5.3	The compliance with points 5.1 and 5.2 is achieved through monitoring, surveillance, control and application. (Code of conduct for responsible fishing, article 7.7.1)	Essential	Procedure and evidence of monitoring and control.	Y	Supplier audit conducted by company every 6 month with scope including FOS standard.
<b>The Auditor must describe briefly the monitoring, surveillance, control, and application methods.</b>					

5.4	The fleet or fishery must record bycatches per each fishing trip	Essential	Procedure and evidence of recording during at least one fishing trip.	Y	Fishing gear used is handline. No by catches and discards.
5.5	The fleet or fishery must record discards.	Essential	Procedure and evidence of conformity	Y	Fishing gear used is handline. No by catches and discards.

**The Auditor must provide evidence (photos or copies) of the report on accidental catches and discarded fish.**

5.6	A management system to prevent possible accidental catching of endangered species must be in place.	Essential	Procedure and evidence of conformity.	Y	Fishing gear used is handline no accidental catches. . Onsite inspection is also continually conducted by local competent authority.  All catching shall be reported to the local competent authority.
5.7	The fleet implements a management program that guarantees that any live animals that may be accidentally caught are immediately released in the water under conditions that guarantee high chances of survival.	Essential	Procedure and evidence of conformity.	Y	No evidence system is in place to report live animal caught, however fishing operation is with HandLine. Possibility of accidentally caught is very low.
5.8	The fleet is equipped with measures which guarantee a quick retrieval of lost fishing device to avoid "ghost fishing".	Essential	Procedure and evidence of conformity.	Y	Fishing operation is using HandLine. Boat owner will control the device to avoid "ghost fishing".

**The Auditor must obtain a copy of the aforementioned procedure.**

5.9	The fishing company implements "Threshold Reference Limits" or "Precaution Limits" for both, biomass and quantity of fish caught.	Important	Evidence of the values implemented	Y	Assessment for Available biomass in Indonesian Sea is done by Research and Development Ministry of Marine Affairs and Fisheries Republic Indonesia and publish by "Kepmen no 45/MEN/2011". Organization on periodically report to Marine and Fisheries Department region Belawan.
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**The Auditor must verify if the "Reference Points" and the "Precaution Limits" are set by the Regional Bodies and must verify they are complied with.**

## **6 – WASTE MANAGEMENT**

No.	Requirement	Level	Quantitative parameters	YN	Comments
6.1	The fishing company recycles, re-uses or re-processes all materials used during fishing, conservation and transport of the fish up to the selling point, including packaging.	Essential	Procedure and evidence of conformity.	Y	Management is committed for reduction of waste generation and maximum utilization of waste. Insulated box, used for collecting catches on the fleet and reused. Also reused waste of drum for collecting squid and ice from the fleet.

6.2	The fishing company implements measures to prevent dispersion of waste in the sea (including fuels and lubricants and plastic matter)	Essential	Procedure evidence of conformity.	Y	During audit was observed that waste of fuel and lubricant collected on designated drum and bring to the land before reused.  Garbage bin is available on the fleet to collect personal garbage.  Daily checked to ensure that machine in good condition
6.3	The fishing company utilises all the chemical non-toxic alternatives available in order to reduce the use of toxic, persistent or bio-accumulating substances.	Essential	Procedure evidence of conformity.	NA	Not Applicable, no toxic chemical used
6.4	The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.	Essential	Procedure evidence of conformity.	N	The processing company using R-22 (Freon is included CFC) for Cold Storage warehouse.



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

## **7- ENERGY MANAGEMENT**

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
7.1	The Organisation must keep a register of the energy sources and use, updated at least once a year.	Essential	The <b>at least yearly frequency</b> of the energy consumption records must be included in the procedure.  The register must state at least the following <b>parameters</b> : 1. incoming energy sources (renewable or not) 2. energy consumption per process line (fishing, processing, transport)	Y	Consumption of energy (e.g. diesel, gasoline, electricity, etc) is monthly recorded including energy that used for fishing activity.
7.2	The Organisation should calculate its Carbon Footprint per product unit and engage to reduce it every year.	Recommendation		Y	Although organization has started calculating the fuel consumption, however Carbon Footprint per unit of product has not yet calculated and objective is not established ( <b>Observation</b> )

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

## **8- SOCIAL ACCOUNTABILITY**

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
8.1	The Organisation must respect human rights, complying with the following requirements:				After interviewing with top management (company's representative) it was understood that management is committed to fulfill national labor law and respect human rights. During audit some of on the employees were interviewed and found satisfactory.  Company is following minimum wages requirement as per Indonesian Ministry of Manpower guideline. (Keputusan Sumatera Utara no : 188.44/641/kpts/2015)
8.1.1	compliance with national regulations and ILO on child labour	Essential	Refer to ILO: <a href="http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm">http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang -- en/index.htm</a>	Y	Company follows labor law as per Indonesian Ministry of Manpower. Minimum age of recruitment is 18 years. During onsite visit no child labor was observed.
8.1.2	pay the employees adequate salaries compliant at least with minimum legal wages	Essential	Minimum wages vary depending on the country. The Auditor must verify the Organisation knows about it.	Y	Company is following minimum wages requirement as per Indonesian Ministry of Manpower guideline. Annually 'Ministry of Manpower' verified company's salary statement.  During audit some of on the employees were interviewed and found satisfactory.  During interview with employee, auditor verify payment slip and found satisfactory.
8.1.3	grant employees access to healthcare	Essential		Y	Proper arrangement is made to provide medical facility. (i.e. first aid kit were available on site)  All employee is registered with Health insurance (BPJS) covering wife / husband and 3 child.  
8.1.4	apply safety measures required by the law	Essential		Y	Required safety measures were taken, Proper PPE is provided.
8.2	The organisation should be SA8000 certified.	Recommendation		Y	The organization is not presently certified for SA8000 ( <b>Observation</b> )

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

Further comments:

## **CONCLUSIONS:**

The Auditor must fill-in 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)**

*List major non conformities*

1. Non conformities clause 4.1 :  
During on site audit found that different information (machine brand) on registration letter and actual. e.g. fleet KM. Rejeki Bersama XXIII reg. 0245/DISLANTA on the document noted machine brand PAUS but on actual the fleet used machine with brand DAITO
2. Non conformities clause 6.4 :  
The processing company using R-22 (Freon is included CFC) for Cold Storage warehouse.
3. Non conformities clause FR-TR 1.2 :  
Traceability procedure was not update. e.g. production code 13 used on the monitoring or coding system but was not yet included on the procedure.

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

*List Minor non conformities*

1. Non conformities clause FR – TR 1.4 :  
No evidence that organization has carries out a training course or an update for the employee involved in maintenance of chain of custody. only QC and production personel who trained traceability

### **RECOMMENDATIONS (to be communicated within the next inspection)**

*List recommendation*

1. Recommendation clause 2.3 :  
Management is not yet carry out studies which consider the impact of the fleet or fishery on the ecosystem.
2. Recommendation clause 7.2 :  
Although organization has started calculating the fuel consumption, however Carbon Footprint per unit of product has not yet calculated and objective is not established
3. Recommendation clause 8.2 :  
The organization is not presently certified for SA8000