

# Friend of the Sea Standard

## **FOS - Wild - Generic Sustainable fishing Requirements**

| REV | DATE       | REASON      | VALIDATION | APPROVAL |
|-----|------------|-------------|------------|----------|
| 1   | 18/01/2013 | First issue |            |          |

# Table of contents

|   |           |
|---|-----------|
| <b>Introduction.....</b>  | <b>4</b>  |
| <b>Friend of the Sea criteria and their compliance with Minimum</b> |           |
| <b>Substantive Criteria (FAO) .....</b>                             | <b>6</b>  |
| <b>Description of the Organisation .....</b>                        | <b>7</b>  |
| <br>  |           |
| <b>1 – Stock Status .....</b>                                       | <b>10</b> |
| <b>2 – Ecosystem Impact .....</b>                                   | <b>10</b> |
| <b>3 - Selectivity .....</b>  | <b>11</b> |
| <b>4 - Legal compliance.....</b>                                    | <b>12</b> |
| <b>5 - Management.....</b>  | <b>15</b> |
| <b>6 – Waste Management .....</b>                                   | <b>16</b> |
| <b>7 – Energy Management .....</b>                                  | <b>16</b> |
| <b>8 - Social Accountability .....</b>                              | <b>17</b> |

# 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 months 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 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.

| <b>a) NAME OF THE ORGANISATION TO BE AUDITED</b><br><br><b>LLP RYBPROM</b>   |                     |               |                |               |                         |                                 |
|--|---------------------|---------------|----------------|---------------|-------------------------|---------------------------------|
| <b>b) NAME OF THE ORGANISATION REQUESTING THE AUDIT</b><br><br><b>LLP RYBPROM</b>  |                     |               |                |               |                         |                                 |
| <b>c) IS THE ORGANISATION TO BE AUDITED PART OF A GROUP? IF SO, PLEASE SPECIFY THE NAME OF THE GROUP</b>   |                     |               |                |               |                         |                                 |
| <b>c) ADDRESS OF THE ORGANISATION TO BE AUDITED</b><br><br><b>Legal address: office 74, 35 Titov st., Otegen Batyr city, Ili district, Almaty province, Kazakhstan</b><br><b>Bussines address: 22 Baytursinova st., Almaty, Kazakhstan</b> |                     |               |                |               |                         |                                 |
| <b>d) NAME AND CONTACTS OF THE PERSON WITHIN THE ORGANISATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR</b><br><br><b>Sarjanova Alma</b>   |                     |               |                |               |                         |                                 |
| <b>f) FLEET TO BE AUDITED:</b>   |                     |               |                |               |                         |                                 |
| Name of the fishing vessel   | Registration number | Vessel's flag | Fishing method | Capacity (MT) | Unloading harbor        | Ship owner if different from a) |
| <b>Reservoir Kapchagay</b>   |                     |               |                |               |                         |                                 |
| Motorboat «Progress»   | КАЛ 1902            | -             | Fishing net    | Yamaha CV 40  | Near the city Kapchagay | Neyfeld Vladimir                |
| Motorboat «Progress 2M»  | КАЛ 3493            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress 2»   | КАЛ 3282            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress 4»   | КАЛ 3500            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress 4»   | КАЛ 3690            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress»   | АЛМ 0055            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress 4»   | КАЛ 3231            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «MKM»  | КАЛ 3501            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress 2M»  | КАЛ 3691            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |
| Motorboat «Progress 2M»  | АЛМ 0312            | -             | Fishing net    | Yamaha CV 40  |                         | Neyfeld Vladimir                |

|                            |          |   |             |                 |                   |                     |
|----------------------------|----------|---|-------------|-----------------|-------------------|---------------------|
| Motorboat<br>«Progress 4»  | АЛМ 0295 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Kazanka 5M2» | АЛМ 0303 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«OBY»         | КАЛ 2947 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«OBY»         | КАЛ 2106 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress 2»  | АЛМ 0138 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress 2M» | АЛМ 0290 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Ujanka 2»    | КАЛ 3414 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Ujanka 2»    | АЛМ 0137 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| <b>Reservoir Balkhash</b>  |          |   |             |                 |                   |                     |
| Motorboat<br>«Progress»    | КАЛ 2211 | - | Fishing net | Yamaha<br>CV 40 | Kuigan<br>village | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 2145 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 3561 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 2452 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 1894 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 3229 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 3517 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Motorboat<br>«Progress»    | КАЛ 0302 | - | Fishing net | Yamaha<br>CV 40 |                   | Neyfeld<br>Vladimir |
| Small vessel<br>«SMB 40»   | КАЛ 1879 | - | Seine net   | CV 100          | Kuigan<br>village | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1877 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1874 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | АЛМ 0063 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1849 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1878 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1850 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1851 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1875 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |
| Motorboat<br>«SMB 40»      | КАЛ 1876 | - | Seine net   | CV 100          |                   | LLP<br>RYBPROM      |



|  |          |   |                                |        |  |                |
|--|----------|---|--------------------------------|--------|--|----------------|
| Receiving vessel<br>«Kolchenko I.P.»     | И 145    |   | receiving<br>vessel            | CV 230 |  | LLP<br>RYBPROM |
| Receiving vessel<br>«Targyn<br>Nurganov» | И - 83   | - | receiving<br>vessel            | CV 150 |  | LLP<br>RYBPROM |
| Receiving vessel<br>«Berkyt»             | И - 85   | - | receiving<br>vessel            | CV 150 |  | LLP<br>RYBPROM |
| Dumb vessel<br>«Nevodnik»                | Г - 2145 | - | For<br>transportation<br>seine |        |  | LLP<br>RYBPROM |
| Dumb vessel<br>«Laminariy»               | Г - 2159 | - | For<br>transportation<br>seine |        |  | LLP<br>RYBPROM |
| Dumb vessel<br>«Laminariy»               | Г - 2160 | - | For<br>transportation<br>seine |        |  | LLP<br>RYBPROM |
| Dumb vessel<br>«Laminariy»               | Г - 2161 | - | For<br>transportation<br>seine |        |  | LLP<br>RYBPROM |
| Dumb vessel<br>«Laminariy»               | Г - 2162 | - | For<br>transportation<br>seine |        |  | LLP<br>RYBPROM |

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

| Name of the fishing vessel        | Registration number | Unloading harbor        |
|-----------------------------------|---------------------|-------------------------|
| Motorboat «Progress»              | КАЛ 1902            | Near the city Kapchagay |
| Motorboat «Progress 4»            | КАЛ 3500            |                         |
| Motorboat «Progress 4»            | КАЛ 3690            |                         |
| Motorboat «Progress»              | АЛМ 0055            |                         |
| Motorboat «SMB 40»                | КАЛ 1879            | Kuigan village          |
| Motorboat «SMB 40»                | КАЛ 1877            |                         |
| Motorboat «SMB 40»                | КАЛ 1874            |                         |
| Motorboat «SMB 40»                | АЛМ 0063            |                         |
| Receiving vessel «Kolchenko I.P.» | И 145               |                         |

**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)

FAO 04

internal reservoirs of Kazakhstan - Balkhash lake, Kapchagay reservoir

Map attached

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

| Common Name | Scientific Name           |
|-------------|---------------------------|
| Bream       | <i>Abramis brama</i>      |
| Pikeperch   | <i>Sander lucioperca</i>  |
| Carp        | <i>Cyprinus carpio</i> ,  |
| Roach       | <i>Rutilus caspicus</i> , |
| Asp         | <i>Aspius aspius</i>      |
| Catfish     | <i>Silurus glanis</i> ,   |
| Snakehead   | <i>Channa argus</i> .     |

**j) TOTAL NUMBER OF EMPLOYEES:**

200

**k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS**

No

**l) ADDITIONAL INFORMATION:**

☐ **The Friend of the Sea project was introduced**

Yes

☐ **The Organisation and the shipowners were informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products**

Yes

☐ **The Organisation has a document qualifying and confirming the roles of the staff carrying out the audit**

Yes

☐ **The duration of the Audit was agreed**

Yes

☐ **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)

Yes

|  |  |   |
|--|--|---|
| <b>CERTIFICATION BODY:</b><br><br>"SGS Kazakhstan Ltd" | <b>AUDIT TEAM:</b><br><br>Shestakova Galina  | <b>AUDIT START AND END DATE:</b><br><br>10/13/2015 – 10/16/2015 |
| <b>SIGNATURE OF AUDITOR:</b>                           | <b>NAME OF THE PERSON IN CHARGE FROM THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT:</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: |           |   | Yes | All catch quotas are issued by the State Authority based on research data provided by KAZRIF (Kazakhstan Research Institute of Fishery). Also, we have KAZRIF reports on areas where the condition of commercial species is described and catch recommendations are provided. The Report of the Research Institute of Fishery is Appendix 2.1.2 Balkhash, 2.1.2 Kapchagay  |
| 1.1.1 | Data deficient   | Essential |   | Yes | All information has been submitted within a short time. All documents are available at work places.  |
| 1.1.2 | Over-exploited ( $F > F_{msy}$ )   | Essential | $F < F_{msy}$ within probability range of available stock assessments | Yes | Stock status is controlled by the State on the basis of scientific research of Kazakh Research Institute of Fishery (KazRIF). KazRIF gives recommendations to the State  |
| 1.1.3 | Over-Fished ( $B < B_{msy}$ )  | Essential | $B > B_{msy}$ within probability range of available stock assessments | Yes | Authorities about the possible number of catching for each water body and type of fish. On the basis of these recommendations, the State Authority allocates quotas (limits) for catching between the users of natural resources for 1 year. Users of natural resources provide a report to the fishing inspection on the number of recovered fish. Confirmation that stocks are normal is the allocation of quotas for fish capture. If stocks are reduced, the State prohibits the fish capture or imposes restrictions on time of fish capture. Currently, according to the Order of Acting Chairman of the Committee of Forestry and Animality of the Ministry of Agriculture of the Republic of Kazakhstan from July 24, 2015 № 190, there are some restrictions for fish capture during the spawning season on Balkhash Lake from April 15 to June 1; On Kapshagay reservoir and all rivers and streams flowing into it - from April 5 to May 20.<br>Rybprom also participates in the monitoring of research facilities of its fishing and economic areas. The research is carried out by the KazRIF under order of Rybprom. |

**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% 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 |  |
|-----|---|-----------|--|-----|--|

**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 <a href="http://www.mpaglobal.org">www.mpaglobal.org</a> | Yes | <p>Fishing activity is carried out on areas reserved to the Company. List of areas: Kapchagay reservoir - No.10, No.13, No.21, Balkhash lake - No.26, 29.2, 35.2, 30.1, 36.1, 37.2, 38.3, 39.1, 39.2, 42.1, 42.2</p> <p>Pursuant to the letter of the competent authority "Almaty Regional Territorial Inspection of Forestry and Fauna of the Ministry of Agriculture of the RoK" (Photo 2.1) there is a year-round catch prohibition applicable to the whole Ili river estuary (Photo 2.1.1., dark region on the right side of the map). There are no prohibitions at the Balkhash lake.</p> <p>Areas of the Company don't share borders with the prohibited area.</p> <p>Catch is carried out within boundaries of fixed areas; this order is controlled by State Inspectors of the Almaty Regional Territorial Inspection of Forestry and Fauna of the Ministry of Agriculture of the RoK. Cases of border violations have not been revealed.</p> |

**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](http://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. | Yes | Two fishing crews No.2 and No.5 have taken part in the audit in the area No.36.1 ( <i>Balkhash lake, Kuigan settlement</i> ):<br>Crew No.2, vessels KAJI 1877 and KAJI 1874 – length of seine is 800m, height of seine is 6m<br>Crew No.5, vessels KAJI 1879 and AJIM 0063 – length of seine is 1200m, height of seine is 6m<br>Seine is reserved to each crew. Each seine is provided with a label specifying company name, crew name, and seine dimensions.<br>Since the depth of the Balkhash lake is from 7 to 15 meters and the seine height is only 6 meters, it prevents the contact of seine with the lake bed. The seine is not trawled, but gathered. When the water level of the Ili river drops (water supply is shut off by China), the level in the Balkhash lake also drops and the risk of overgrowing rises at some areas. In such case, special works on clearing the lake bed are carried out together with the Fishery Inspection. <i>Kapchagay</i> . Catch is carried out with capron nets manufactured in Russia. Mesh size is 10cm. Net dimensions: length is 100m, height is 5m. An average depth at the areas is from 10 to 20 meters; therefore, a contact of nets with the reservoir bed is excluded. |
|-----|---|--|--|-----|--|

**The Auditor must collect conformity evidence.**

|     |   |                |   |     |   |
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| 2.3 | The ecosystem impact of the fishery or fleet is taken into consideration by the RFMOs.<br><br>(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 managements advices. | Yes | R&D (Research and Development) with respect to a study of fishing areas condition is formalized in legislation. Reports of KAZRIF provide recommendations for fishery management: catch methods, amelioration works, and stocking with fish. Upon completion of the recommended works, the Company submits reports to the competent authority "Almaty Regional Territorial Inspection of Forestry and Fauna of the Ministry of Agriculture of the RoK".<br>All necessary reports have been submitted. |
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**The Auditor must provide evidence referring to all available studies.**

### **3- SELECTIVITY**

| No. | Requirement | Level | Quantitative parameters | Y/N | Comments |
|-----|-------------|-------|-------------------------|-----|----------|
|-----|-------------|-------|-------------------------|-----|----------|

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| 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> | Yes | <p>There were no exotic and endangered species of fish in the by-catch. Presence of prohibited species has not been also revealed in the KAZRIF reports.</p> <p>There are only species authorized to by-catch in the by-catch. A discard (in size) has been immediately thrown overboard in the course of unloading from seine. At that, fish was alive. All fish thrown aboard has survived.</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 *database of the IUCN red list [www.redlist.org](http://www.redlist.org)*. The Auditor must provide a final document that shows if any of the accidentally caught species is included in the IUCN list.

|       |   |           |  |     |  |
|-------|---|-----------|--|-----|--|
| 3.2   | The level of discard (in weight) must not be over 8% of total catch.  |           | Discards are bycaught species which are not used for human consumption not for fish meal or fishoil production.              | Yes | <p>There was only species authorized to by-catch in the by-catch. A discard (in size) has been immediately thrown overboard in the course of unloading from seine. At that, fish was alive. There was only 2 emerged fish when the total catch was about 400kg.</p> <p>Quantity of discard (by weight) is impossible to account, as such discard is immediately thrown aboard for higher survival, but visually the discard quantity does not exceed 8%.</p> |
| 3.3.1 | <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 | Such devices are not used  |
| 3.3.2 | <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 | Such devices are not used  |

## **4 - LEGAL CONFORMITY**

| N°  | Requirement  | Level     | Quantitative parameters | Y/N | Comments   |
|-----|--|-----------|-------------------------|-----|--|
| 4.1 | All fishing vessels must be officially registered. | Essential | Vessel registration     | Yes | All vessels are provided with state registration. Photos 4.1.1 and 4.1.2 |

|   |  |           |  |     |  |
|---|--|-----------|--|-----|--|
|   |  |           | and fishing license inspection.  |     |  |
| <b>The Auditor must request a list of all the fishing boats and the respective registration number. The Auditor must collect on site all the documents concerning the registration of at least 10% of the audited boats (copies of photos of the documents)</b> |  |           |  |     |  |
| 4.2   | The fleet does not include boats with a flag of convenience.   | Essential | The auditor must verify that the boat is not registered to another Nation identified as Flag of Convenience ( <a href="http://www.itfseafarers.org/foc-registries.cfm">http://www.itfseafarers.org/foc-registries.cfm</a> ).         | N/A | The flag is not used.  |
| <b>The Auditor must verify according to the website <a href="http://www.itfseafarers.org/foc-registries.cfm">http://www.itfseafarers.org/foc-registries.cfm</a>.</b>  |  |           |  |     |  |
| 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>      | Yes | There are no unregistered vessels in the fleet of Rybprom LLP. Also, the Company does not make agreements with any fishers or fishing companies with unregistered vessels. Official documents of local state executive power are provided.   |
| <b>The Auditor must verify according to the list on the website <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></b>     |  |           |  |     |  |
| 4.4   | The fleet must be "Dolphin Safe" approved by the Earth Island Institute.   | Essential | The organisation must be included in the Dolphin-Safe list of the Earth Island Institute: <a href="http://www.dolphinsafetuna.org">www.dolphinsafetuna.org</a>   | N/A |  |
| <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.<br><br>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. | Yes | Rybprom operates in accordance with the fundamental fishing laws applicable in the territory of the Republic of Kazakhstan: <ul style="list-style-type: none"> <li>• Law of the Republic of Kazakhstan No.593 dated July 9, 2004 "On Protection, Reproduction, and Use of Wildlife"</li> <li>• Order of the Minister of Agriculture of the RoK No.18-04/148 dated 27.02.2015 "On Establishment of Fishing Regulations";</li> <li>• Order of the Minister of Agriculture of the RoK No.18-04/323 dated 08.04.2015 "On Imposition of Limitations and Prohibitions for the Use of Fauna or Parts and Derivatives Thereof; Establishment of Places and Time for Use Thereof";</li> <li>• Decree of the Government of the RoK No.1034 dated 31.10.2006 "on Establishment of Lists of Threatened and Endangered Species of Flora and Fauna".</li> </ul> All national regulations are based on principles of the FAO Code of Conduct for Responsible Fisheries when developed. Rybprom LLP is also a member of the Association of Legal Entities "Kazakhrybkhaz" and actively participates in the development of regulatory acts together with state authorities. |

|       |                              |           |   |     |  |
|-------|------------------------------|-----------|---|-----|--|
| 4.5.1 | TAC (Total catching allowed) | Essential | Countries's 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. | Yes | <p>Pursuant to the Decree of Government of the RoK No.570 dated 14.06.2010 "On Approval of Regulations for Distribution of Quotas for Taking of Fauna" in order to obtain the quota for catching the fish resources the following is required:</p> <ol style="list-style-type: none"> <li>1. Winning a government tender to obtain a right for catching on a certain area</li> <li>2. Conducting a research to analyze hydrological and hydrochemical regimes of the reservoir and condition of fish food reserves and study a species composition of commercial fish fauna at the certain area. The research should be conducted together with the Kazakhstan Research Institute of Fishery under the Ministry of Agriculture of the Republic of Kazakhstan. Based on the mentioned research, recommendations for fishing regulations and amelioration of water bodies for fish culture to be provided (See Appendices 2.1.2 Balkhash lake, 2.1.2 Kapchagay reservoir);</li> <li>3. Obtaining a Sanitary and Epidemiological Report for this area (See Appendix 2.1.3.);</li> <li>4. Obtaining a conclusion of the State Environmental Expert Review from the State Authority "Natural Resources and Environmental Management" that specifies amelioration measures to be conducted (See Appendix 2.1.4.);</li> <li>5. Signing the contract with a fishery inspection of a region, in which the area is located (See Appendices 2.1.5.1 - 2.1.5.2);</li> <li>6. Filing an application for the allocation of commercial fishing scopes provided on a competitive basis by a created committee under the Natural Resources and Environmental Management. At first, a general permitted annual scope is provided per each water reservoir. Then, the mentioned general scope is divided according to fish species.</li> <li>7. Filing an individual request for catch per area according to fish species and per crew with the reserves vessel (See Appendices 2.1.7.1 - 2.1.7.2).</li> </ol> <p>The Company has the following documents per each area:</p> <p>A) Decree of the Akimat "On Assigning Waters for Fishing";</p> <p>B) Permit to use fauna of the RoK provided by the Committee for the Fishing Industry (See Appendix 2.1.A);</p> <p>C) Certificate of Fishery Waters provided by the Committee for the Fishing Industry (See Appendix 2.1.B).</p> |
|-------|------------------------------|-----------|---|-----|--|



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| 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. | Yes | Fishing logs per area, in which a date, No. of fishing crew, and quantity of caught fish are specified, are maintained. (See Photo 4.5.2.5). Then, all information on catch, obtained from each area, is combined into a consolidated log. In the end of each month, the consolidated log is submitted to a regional inspection of forestry and fauna together with the catch report (See Photo 4.5.2.1-4.5.2.3).        |
| 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. | Yes | Mesh size of nets (Kapchagay reservoir) is 10cm.<br>Balkhash lake – seine. Mesh size of seine is not regulated by the legislation of the Republic of Kazakhstan. The seine has three sections and various mesh size depending on its functions: purse – 40mm, shoulder – 40-45mm, leads – 50mm. See Photos 2.2.1, 2.2.2., 4.5.3.1, and 4.5.3.2.  |
| 4.5.4 | Net size   | Essential | Countries' fisheries laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The Auditor must specify applicable indicators. | Yes | Kapchagay reservoir – net length is 100m, net height is 5m.<br>Balkhash lake – seine length is 800 and 1200m, seine height is 6m.  |
| 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. | Yes | The minimum size of the fish is specified by the Order of the Minister of Agriculture of RK as of 27.02.2015 No18-04/148 «On approval of fishery regulations».<br>The Balkhash Lake: carp - 40 cm, bream - 19 cm, asp - 37 cm, pike perch - 37 cm.<br>Kapchagai water reservoir: bream - 26 cm, carp - 40 cm, catfish - 80 cm, pike perch - 38 cm, asp - 37 cm.<br><br>All dimensions were corresponding in the harvest. |
| 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. | Yes | Fishing is prohibited and cannot be carried out in coastal areas, backwater and nursery grounds. This measure is stated both in the law and in the company's policy to reduce harvesting. Fishing takes place away from the shore at a distance of 500-1000 meters.  |
| 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.     | Yes | The company has implemented a policy to reduce by-catch (catch of small fish, excessive catch).<br>Catch of young and small fish is prevented due to the size of cells that allows this fish to escape the fish net before it is raised to the board.<br>In case such a fish is caught by the fish net in its live form, it should be immediately thrown into water.   |
| 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. | Yes | All areas assigned to the Rybprom company are not located in conservation areas and fishing has been authorized by the competent public authorities. (See Paragraph of Checklist 2.1)  |
| 4.5.9 | Use of forbidden gears, chemical substances and explosives | Essential | Countries' laws are available on the website FAO <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a> . The   | Yes | No hazardous substances and explosives are used while fishing.   |

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|  |  |  | Auditor must specify applicable indicators |  |  |
| <p><b>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 <a href="http://www.fao.org/fishery/countryprofiles/search/en">http://www.fao.org/fishery/countryprofiles/search/en</a></b></p> |  |  |  |  |  |

## 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.               | Yes | The company has a state registration No1731-1907-04-LTD as of 04.02.2000. There are veterinary account numbers. There are an organizational structure and staffing presented.  |
| <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.             | Yes | <p>The requirements on mandatory reclamation works and reproduction of fish resources have been established by the Order of the Minister of Agriculture of RK dated 02.27.2015 No18-04 / 148 "On Approval of the Rules of Fisheries". Drainage works are performed in cooperation with the Fisheries Inspectorate (pond aeration is conducted in winter and in the summer the bottom and the ducts are cleaned).</p> <p>Research works were ordered in KazNIIRH concerning "Planting of fish in fishing grounds of Rybprom LLP". According to the report of KazNIIRH, survival of the juvenile fish up to 25-40 grams is 10-15%. The report made recommendations on methods and juvenile fish release sites. Planting of young fish is performed annually in the fishing grounds. According to the act dated 10.8.2015 on planting of fish in the Balkhash lake, 83125 units of young fish were produced; one fish weighed 25 grams. (the act has been submitted, picture 5.2).</p> <p>The environmental programs and reproduction works are included in the budget on an annual basis.</p> <p>Also, every 5 years "The Report on the works performed" is sent to the Territorial Inspection of the Forestry and Wildlife.</p> |
| <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. | Yes | The fisheries management plan is drawn and approved by the Governmental body on an annual basis. At the end of the year a report on the works performed and on fish planting and the amount of fish caught is submitted. (Photo 5.3, 4.5.2.1)  |
| <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.                     | Yes | All data on the catch after each fishing shall be entered into the logbook and the catch ashore acceptance register. The catch contains all the species, allowed for fishing. The by-catch of the fish, which did not satisfy the size requirements, was immediately thrown overboard right after unloading from the dragnet. At that moment the fish was alive. There were 2 pieces of fish that rose to the surface and the total was about 400 kg of catch. Number of by-catch of small fish was difficult to take into account, as it was immediately thrown overboard for greater survival. But visually this number did not exceed 8%. Registration of by-catch of small fish is not performed. |
| 5.5   | The fleet or fishery must record discards.  | Essential | Procedure and evidence of conformity  |     | The data on dropped fish is not collected. There is also a procedure on throwing of the catch overboard. (Photo 5.5.1 – 5.5.2)  |
| <b>The Auditor must provide evidence (photos or copies) of the report on accidental catches and discarded fish.</b> |   |           |   |     |   |
| 5.6   | A management system to prevent possible accidental catching of endangered species must be in place.   | Essential | Procedure and evidence of conformity.   | Yes | There is a by-catch reduction procedure, which also specifies the requirements for the endangered species. The endangered species are subject to registration and release back to the water if alive, or they should be passed to state authorities, if they are already dead. In fact, there is no rare and endangered species in the catch.   |
| 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.   | Yes | There are no other species besides the fish in these water reservoirs.  |
| 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.   | Yes | The nets and dragnets have floats, which do not allow them to sink down. The present method of dragnetting eliminates the loss of the dragnets. (Photo 4.5.3.1, 4.5.3.2). Besides, the fishermen of Rybprom company carry out destruction of captured illegal fishing nets of other unscrupulous fishermen, and then an Act of destruction by incineration is drawn up. (photo 5.8)   |
| <b>The Auditor must obtain a copy of the aforementioned procedure.</b>  |   |           |   |     |   |
| 5.9   | The fleet has a full-time on-board inspector, approved by Friend of the Sea, who can reports compliance with Friend of the Sea requirements.  | Important | Documental evidence of employment. At least one monthly report of the on-board inspector. | Yes | According to the legislation of the RK, a state inspector carries out daily inspection of industrial sites and inspects the vessels and the catches.  |
| <b>The Auditor must verify the presence of the inspector and obtain their CV and contacts.</b>                      |   |           |   |     |   |

|      |   |           |                                    |     |  |
|------|---|-----------|------------------------------------|-----|--|
| 5.10 | The fishing company implements "Threshold Reference Limits" or "Precaution Limits" for both, biomass and quantity of fish caught. | Important | Evidence of the values implemented | Yes | The limits for catches are defined by the Rules of fisheries. There are also restrictions on fishing time in the spawning period (Order of the Minister of Agriculture of Kazakhstan as of 04.08.2015 No18-04/323 "On introduction of restrictions and prohibitions for the use of fauna, its parts and derivatives, establishment of places and terms of use"). These requirements are strictly controlled by the state inspectors. The company complies with the rules listed. |
|------|---|-----------|------------------------------------|-----|--|

**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. | Yes | Plastic reusable containers are used for transportation of fish on vessels and motor vehicles.<br>The fish waste is directed to the production of fish meal while processing at the production. Plastic bags and corrugated boxes used for packaging of the final product, shall be sent for recycling in case of defective goods.  |
| 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.     | Yes | Oil is only used on ships of KMB-40 brand. There are no residues and discharges of waste oil, because the vessel has the specific engine of type 204 Jaz, which completely burns the oil when working. The rest of the ships use diesel fuel for their engines. Filling of the vessels takes place on the shore.<br>There is a gasoline and oil reservoir on the territory of the port. This reservoir is installed on a concrete hill. The territory is fenced and located at a distance of 350 meters from the shoreline. There is a complete kit for emergency firefighting within the fenced area.<br>An annual plan is developed and implemented for the inspection and repair of boats and engines. |
| 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.     | Yes | Alkaline base is used for sanitization of the ships; it is approved for use in the food industry. The sanitation means, which contain salts of heavy metals and radiological elements, are not used.  |
| 6.4 | The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.   | Essential | Procedure evidence of conformity.     | Yes | The company uses Freon R-404F refrigerant for functioning of ice machines; a safety data sheet and technical data are available at the site. (photo 6.4.1 – 6.4.2)  |

**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      | <p>The <b>at least yearly frequency</b> of the energy consumption records must be included in the procedure.</p> <p>The register must state at least the following <b>parameters</b>:</p> <ol style="list-style-type: none"> <li>incoming energy sources (renewable or not)</li> <li>energy consumption per process line (fishing, processing, transport)</li> </ol> | Yes | <p>The company carries out calculation of electric energy and diesel fuel. The works are underway to reduce consumption of electricity by way of putting into operation such devices as energy-saving lamps (10.20 W) or fluorescent lamps (36 watts) and helium water heater (water shower).</p> <p>All the ice machines work only at night. In order to reduce voltage in the grid during the day, a three-tariff electricity meter has been installed, which leads to reduction in the cost of electrical energy. For careful use of refrigerating chambers, the remainder is moved to another chamber, where there's enough space, in order to de-energize the first chamber; the starting control panels of the refrigerators are equipped with compensators; (photo 7.1.1 – 7.1.2)</p> <p>Also, the electricity is saved by way of using the seasonal techniques of fish drying in natural conditions (it is performed in a specially equipped room, photos 7.1.3 - 7.1.4) and preparations of ice in the winter time - there is a deep hole in the harbor (10x12 m in width and length and 1,5 m in depth). During the winter the hole is gradually filled with water interleaved with layers of cane, and in the summer the ice is used to store the fish. This method of ice harvesting significantly reduces the active hours of the ice making machines. (photo 7.1.5).</p> |
| 7.2 | The Organisation should calculate its Carbon Footprint per product unit and engage to reduce it every year. | Recommendation |  | Yes | <p>According to the Project of maximum permissible emissions into the environment, developed by the Scientific and Production Center "Ecology" in 2014, the limit of gross emission of dichlorofluoromethane into the atmosphere has been defined at the level of 0.0473 tons per year. The source of dichlorofluoromethane is Freon-22. In order to reduce emissions of dichlorofluoromethane into the air, the company decided to switch to Freon-404. Influence of this type of refrigerant to the ozone layer is equal to zero.</p>  |

*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: |       |                         |     |          |

|       |   |                |  |     |  |
|-------|---|----------------|--|-----|--|
| 8.1.1 | compliance with national regulations and ILO on child labour                    | Essential      | Refer to ILO:<br><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> | Yes | The company recruits employees according to the Labor Code of the Republic of Kazakhstan. The working conditions are routinely inspected for compliance with the legislation by the competent authority. No violations have been identified.   |
| 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.  | Yes | Salaries of all employees are several times higher than the minimum income level for survival. There is banking data on charges of remuneration, as well as the pension and tax deductions.  |
| 8.1.3 | grant employees access to healthcare  | Essential      |  | Yes | There is no health insurance for the personnel. The management plans to introduce health insurance since 2016. However, the staff undergoes annual medical examination at the expense of the company. The examination is carried out in a health center under the contract. In case of illness of the employee the days of disability shall be paid according to provisions of the Labor Code of the Republic of Kazakhstan. In addition, there is life insurance procedure for all employees. |
| 8.1.4 | apply safety measures required by the law                                       | Essential      |  | Yes | According to the legislation of the Republic of Kazakhstan, all employees must be trained for safety, health and fire protection when applying for the job. Then the training is repeated every six months. These requirements are fulfilled. The workers and fishermen have special protective clothing and safety means.   |
| 8.2   | The organisation should be SA8000 certified.                                    | Recommendation |  | No  | The employees work under the Labor Code of Kazakhstan, which met all the basic requirements of the SA 8000 on:<br>Child Labor;<br>Forced labor;<br>Health and Safety;<br>Freedom of trade unions and the right to carry out negotiations between the employer and trade unions on collective bargaining;<br>Discrimination;<br>Disciplinary sanctions;<br>Working time;<br>Compensation;<br>Control systems.   |

*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**

YES

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

The Auditor found the following non-conformities:

#### **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)**

*Recommended certified according to the SA 8000*