

Friend of the Sea Standard

FOS - Wild – Freezer Vessels Sustainable fishing Requirements

REV	DATE	REASON	VALIDATION	APPROVAL
0	18/01/2013	First issue	OK	OK
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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 stocks⁴ (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"⁵ 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.⁷ 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 fishery⁸ 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: TRANSMARINA C.A.						
b) NAME OF THE ORGANISATION REQUESTING THE AUDIT:						
b) 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: MONTECRISTI – KM 9.5 VÍA CIRCUNVALACIÓN, TRAMO 2						
e) NAME AND CONTACTS OF THE PERSON WITHIN THE ORGANISATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR: Ana Herrera, Hugo Saldarriaga, Pablo Delgado						
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>
B/P ALTAR 6	P-04-00827	ECUADOR	LONG LINE VESSELS	490 M3	MANTA	TUNAFLEET
B/P ALTAR 8	P-04-00811	ECUADOR	LONG LINE VESSELS	490 M3	MANTA	TUNAFLEET
B/P ALTAR 10	P-04-00826	ECUADOR	LONG LINE VESSELS	494 M3	MANTA	TUNAFLEET
B/P ALESSIA	P-04-00747	ECUADOR	PURSE SEINE VESSELS	399 M3	MANTA	ATUNES DEL PACÍFICO
B/P ALESHKA	P-04-00853	ECUADOR	PURSE SEINE VESSELS	458 M3	MANTA	ATUNES DEL PACÍFICO
B/P ALTAR 11	P-04-00822	ECUADOR	LONG LINE VESSELS	460 M3	MANTA	--
B/P ALTAR 21	P-04-00796	ECUADOR	LONG LINE VESSELS	416 M3	MANTA	--
B/P ALINA	P-04-00575	ECUADOR	PURSE SEINE VESSELS	542 M3	MANTA	--
B/P DAIICHI MARU 25	P-04-00788	ECUADOR	PURSE SEINE VESSELS	218 M3	MANTA	--

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
B/P ALINA	P-04-00575	Manta
B/P ALESSIA	P-04-00747	Manta
B/P ALTAR 6	P-04-00827	Manta
B/P ALTAR 8	P-04-00811	Manta
B/P ALTAR 10	P-04-00826	Manta
B/P ALESHKA	P-04-00853	Manta
B/P ALTAR 11	P-04-00822	Manta
B/P ALTAR 21	P-04-00796	Manta
B/P DAIICHI MARU 25	P-04-00788	Manta

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 87

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

Common Name	Scientific Name
YELLOWFIN TUNA	THUNNUS ALBACARES
BIGEYE TUNA	THUNNUS OBESUS
SKIPJACK TUNA	KATSUWONUS PELAMIS
MAHI MAHI	CORYPHAENA HIPPURUS
WAHOO	ACANTHOCYBIUM SOLANDRI
OPAH	LAMPRIS GUTTATUS
SWORDFISH	XIPHIAS GLADIUS
ALBACORE TUNA	THUNNUS ALALUNGA
ESCOLAR	LEPIDOCYBIUM FLAVOBRUNNEUM
BLUE SHARK	PRIONACE GLAUCA

j) TOTAL NUMBER OF EMPLOYEES:

28 personas en el viaje (B/P ALINA)
 26 personas en el viaje (B/P ALESSIA)
 300 personas (TRANSMARINA)
 150 personas (PLANTA)

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS

B/P ALINA

Certificado internacional de prevención de la contaminación por hidrocarburos, MTOP-IOPP-0002-2015

Certificado de seguridad y prevención de la contaminación, MTOP-CSPC-17409-2016

B/P ALESSIA

Certificado internacional de prevención de la contaminación por hidrocarburos, MTOP-IOPP-3214-2016

Certificado de seguridad y prevención de la contaminación, MTOP-CSPC-17420-2016

I) ADDITIONAL INFORMATION:

NO

☒ **The Friend of the Sea project was introduced** *(If not the Auditor must provide a short description)*

Certificado # 67-2014-A (LONG LINE VESSELS – YELLOWFIN TUNA, BIGEYE TUNA, SKIPJACK TUNA, MAHI MAHI, WAHOO, OPAH, SWORDFISH, ALBACORE TUNA, ESCOLAR, BLUE SHARK)

Certificado # 67-2014-A (PURSE SEINE VESSELS – YELLOWFIN TUNA, BIGEYE TUNA, SKIPJACK TUNA, MAHI MAHI, WAHOO)

☒ **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**

☒ **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)

CERTIFICATION BODY: SGS DEL ECUADOR	AUDIT TEAM: GLENDA NARANJO M.	AUDIT START AND END DATE: 29.07.2016 30.07.2016
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SIGNATURE OF AUDITOR:	NAME OF THE PERSON IN CHARGE FROM THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: ANA HERRERA HUGO SALDARRIAGA	AUDIT CODE:
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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:				
1.1.1	Data deficient	Essential		Y	The statuses of opah, wahoo, escolar are unknown in the Eastern Central Pacific Ocean

1.1.2	Over-exploited ($F > F_{msy}$)	Essential	$F < F_{msy}$ within probability range of available stock assessments	Y	<p>According to the IATTC, the fishing mortality rate for skipjack and bigeye stock is below FMSY. For the yellowfin tuna, the fishing effort is estimated to be below the level that would support the MSY.</p> <p>IATTC, Stock Assessment Report 16 (https://www.iattc.org/StockAssessmentReports/StockAssessmentReport16ENG.htm)</p> <p>According to the 2014 updated assessment, the fishing mortality rate of blue shark estimated in 2011 was around 34% of that needed to produce the maximum sustainable yield (F) (ISC 2014b). Therefore overfishing is not occurring.</p> <p>Fishing mortality rates for mahi mahi in the Eastern Pacific Ocean (EPO) are not known, but the IATTC is in the beginning stages of assessing them. IUCN does not consider there to be any major threats to mahi mahi from commercial fishing (College et al. 2011e). Preliminary analysis for the planned assessment of mahi mahi in the EPO shows variable but somewhat steady catch per unit effort trends in abundance (IATTC 2013e). Swordfish stocks are healthy in the northeastern Pacific and southeastern Pacific, as the stocks are not overfished and overfishing is not occurring and biomass is greater than the biomass at which maximum sustainable yield (MSY) is produced.</p> <p>According to the most recent stock assessment (2012), the fishing mortality reference point for albacore tuna in the South Pacific, $F_{current}/F_{MSY}$, had a median estimate of 0.21 (0.04–1.08) and there is a low risk that overfishing is occurring.</p>
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1.1.3	Over-Fished ($B < B_{msy}$)	Essential	$B > B_{msy}$ within probability range of available stock assessments	Y	<p>According to the IATTC, skipjack and bigeye biomasses are above BMSY. There is uncertainty about recent levels of recruitment and biomass of yellowfin tuna, although it is estimated that, if fishing effort is maintained at the present levels, both spawning biomass and catches are predicted to increase.</p> <p>IATTC, Stock Assessment Report 16 (https://www.iattc.org/StockAssessmentReports/StockAssessmentReport16ENG.htm)</p> <p>An assessment of blue shark in the North Pacific completed during 2014 indicated that the population of blue shark is not overfished ($B/B = 1.65$ and $SSB/SSB = 1.621$) and that the population will remain above the level necessary to maintain the maximum sustainable yield (B) in the future (ISC 2014b).</p> <p>No population assessments of mahi mahi in the Pacific Ocean have been conducted; however, the IATTC is in the beginning stages of developing a plan for assessing mahi mahi. IUCN considers dolphinfish a species of Least Concern with a stable population trend (Collette et al. 2011e).</p> <p>The swordfish stock in the southern EPO is in good condition, with spawning biomass at levels ($SBR \sim 1.45$) well above those expected to yield catch at the level of MSY ($\sim 25,000$ t). IATTC SCIENTIFIC ADVISORY COMMITTEE 2ND MEETING La Jolla, California (USA) 9-12 May 2011 Michael G. Hinton and Mark N. Maunder</p> <p>Albacore tuna in the South Pacific were last assessed in 2012 and the results were quite similar to previous assessments (2009 and 2011). According to the assessment, the total biomass of albacore tuna has been reduced to around 82% (62%–93%) of unfished levels, while the spawning biomass (mature females) has been reduced to 63% (35%–80%) of unfished levels. Both of these are considered moderate levels of depletion. The ratios of the current total biomass and spawning biomass to that needed to produce the maximum sustainable yield ($B_{current}/BMSY = 1.6$ (1.4–1.9) and $SB_{current}/SBMSY = 2.6$ (1.5–5.2)) are both above 1.</p>
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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.		
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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	<p>Existe evidencia de que la pesca fue realizada en las zonas aprobadas, FAO 87.</p> <p>La pesca realizada fue:</p> <p>ALTAR 10 BIG EYE: 5537kg YF = 727kg GACHO = 933kg ESPADA = 2381kg MANDAI = 36.574kg SAWARA = 113kg SUGUIYAMA = 28kg UVA = 4.076kg DORADO = 54kg OTROS (AGUADO/TINTO) = 5099kg</p> <p>ALESSIA:</p> <p>HG YFT = 16.291kg HG BE = 5.166kg ATUN ENTERO = 59.214kg BONITO = 22.995kg DORADO = 2.118kg WAHOO = 17.739kg OTROS (TIBURÓN) = 508kg</p> <p>ALTAR 21 BIG EYE: 1404kg YF = 48kg ESPADA = 290kg MANDAI = 2997kg UVA = 1333kg DORADO = 54kg OTROS (AGUADO/TINTO) = 529kg</p> <p>aplica el mapa de las coordenadas que</p>
<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).</p>					
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	<p>Hay evidencia de que la red no cuenta con ganchos que dañan el lecho marino. Gráfico adjunto hace referencia que si el impacto a los ecosistemas están siendo considerados por la administración de las organizaciones regionales (RFMOs) que para el caso la nuestra es la IATTC o CIAT en español la comisión interamericana del Atún Tropical por lo que la respuesta que colocaste no hace relación.</p> <p>debes colocar que Y y que nos acogemos a las normativas y lineamientos de la CIAT y de los entes de regulación locales (INP; SRP)</p> <p>la red que no tiene ganchos y que las profundidades de la pesca no permiten dañar los lechos marinos</p> <p>De la misma manera para el caso de los barcos de arte de pesca long line, que los anzuelos únicamente no pasan de los 35 metros de profundidad a los cuales se realiza la pesca y que tampoco dañamos lechos marinos</p>
<p>The Auditor must collect conformity evidence.</p>					

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 managements advices.	Y	La organización se fija en rigor a la IATTC, en base a eso la empresa cuenta con un link de acceso a la página oficial donde tienen acceso a la información. La empresa cuenta con una pre-evaluación de MSC, y se encuentran levantando el plan de acción para cierre de GAP's.
The Auditor must provide evidence referring to all available studies.					

3- SELECTIVITY

No.	Requirement	Level	Quantitative parameters	Y/N	Comments
3.1	Accidental catches must not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk. 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.	Important	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 These studies must not indicate the presence of species vulnerable or worse among the regularly (over 0.25% of total weight) species according to www.redlist.org .	Y	Existe evidencia de que la pesca fue realziada en las zonas aprobadas, FAO 87. La pesca realizada fue: ALTAR 10 BIG EYE: 5537kg YF = 727kg GACHO = 933kg ESPADA = 2381kg MANDAI = 36.574kg SAWARA = 113kg SUGUIYAMA = 28kg UVA = 4.076kg DORADO = 54kg OTROS (AGUADO/TINTO) = 5099kg ALESSIA: HG YFT = 16.291kg HG BE = 5.166kg ATUN ENTERO = 59.214kg BONITO = 22.995kg DORADO = 2.118kg WAHOO = 17.739kg OTROS (TIBURÓN) = 508kg ALTAR 21 BIG EYE: 1404kg YF = 48kg ESPADA = 290kg MANDAI = 2997kg UVA = 1333kg DORADO = 54kg OTROS (AGUADO/TINTO) = 529kg

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. 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.	Y	Porcentajes de descartes del 6%
3.3.1	THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA). FADs (Fish Aggregating Devices) 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.	Important	Auditor must collect the data provided by the Fleet or fishery and attach it to the Audit Report	Y	Para los barcos cerqueros con los que actualmente cuenta la compañía así como los plantados en el agua por barco: Aleshka: 51 plantados Alessia: 66 plantados Alina: Alina 41 plantados Daiichi Maru # 25: 46 plantados
3.3.2	THIS REQUIREMENT IS TO BE COMPLIED WITH ONLY BY TUNA FLEETS/FISHERIES. FOR ALL OTHER FLEETS/FISHERIES, IT IS NOT APPLICABLE (NA). FADs (Fish Aggregating Devices) The fleet must use non entangling FADs only, to avoid entanglement of sharks and turtles.	Important	Audit must collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance.	Y	En promedio se han autorizando la entrega de 6 a 8 boyas por barco y hay de 5 a 6 viajes por año; es decir, aproximadamente entre 40 y 45 plantados botan por año por barco. El plantado es biodegradable y se usa malla no enmallante, Esta información fue enviada a la Autoridad correspondiente el 20 de diciembre por el Sr. Santiago Saldarreaga.

4 - LEGAL CONFORMITY

N°	Requirement	Level	Quantitative parameters	Y/N	Comments
4.1	All fishing vessels must be officially registered.	Essential	Vessel registration and fishing license inspection.	Y	B/P ALINA P-04-00575 B/P ALESSIA P-04-00747 B/P ALTAR 6 P-04-00827 B/P ALTAR 8 P-04-00811 B/P ALTAR 10 P-04-00826 B/P ALESHKA P-04-00853 B/P ALTAR 11 P-04-00822 B/P ALTAR 21 P-04-00796 B/P DAIICHI MARU 25 P-04-00788
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 (http://www.itfseafarers.org/foc-registries.cfm).	Y	Todas las embarcaciones tienen bandera ecuatoriana y zarpan desde el Puerto de Manta
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 http://eur-lex.europa.eu	Y	www.lattc.org en esta página hay evidencia de que el barco no es incluido en la IUU

			/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF		
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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 Institute.	Essential	The organisation must be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphinsafetuna.org	N.A.	
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The Auditor must verify the conformity on the list www.dolphinsafetuna.org or else the company must sign the EII DS Policy and a copy must be included in the audit report

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 http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.		
4.5.1	TAC (Total catching allowed)	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	Registro de inspección SRP (SUB-SECRETARIO DE RECURSOS PESQUEROS)
4.5.2	Use of a logbook	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	Hay evidencia de que el zarpe se realizó en Junio 28 de 2016, Se registran tres lances por día. Se evidencia fin de pesca el 24 de julio de 2016.
4.5.3	Mesh size	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	2 1/4

4.5.4	Net size	Essential	Countries fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	785 FATHOMS STRETCHED
4.5.5	Minimum size	essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	659 ARMED FATHOMS
4.5.6	Distance from the shore	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators	Y	Después de 200millas
4.5.7	Measures for the reduction of accidental catches	Essential	Countries fisheries laws available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators.	Y	Es un proceso selectivo y unitario. Por lo tanto no hay descarte.
4.5.8	No fishing in protected habitats	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators	Y	FAO 87, no hay áreas Marinas Protegidas
4.5.9	Use of forbidden gears, chemical substances and explosives	Essential	Countries' laws are available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators	Y	Se evidenció ausencia de sustancia química o explosivos que pueden ser utilizados para la pesca. Comprobación en sitio

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	Se evidencian permisos de pesca actualizados. requisito no hace referencia a los permisos que tienen las embarcaciones sino a la administración legal de la compañía, dice procedimiento el cual se refiere y al diagrama de flujo ese si existe y se coloca al jefe de flota de reporte directo a la gerencia general
The Auditor must verify and describe briefly the legal and administrative structure in force.					
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	Se evalúa el fishing BAN se evidencia que todas las embarcaciones se encuentran registradas: WEBSITE IATTC.ORG a SRP aplica cuotas anuales de captura por barco, pero esto esta determinado para barcos tipo cerco, las mismas que si cumplimos, ya que al ser nuestros barcos de pesca selectiva no llegamos a cumplir la cuota anual.

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.					
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	Cuentan con archivos electrónicos, así mismo cuentan con un procedimiento de control de documentos y registros, en el mismo se describe el almacenamiento, control y recuperación de los registros y documentos. Se evidencia que cuentan una rápida recuperación de los mismos y correcto mantenimiento.
The Auditor must describe briefly the monitoring, surveillance, control, and application methods.					
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	Diario de a bordo, hay evidencias de informe de puerto
5.5	The fleet or fishery must record discards.	Essential	Procedure and evidence of conformity	Y	Todos los descartes se registran en el registro de gestión residuos
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	La red está dentro de las herramientas aplicarse para prevenir la captura incidental de especies pequeñas. Cuentan con un procedimiento de revisión e inspección de la misma, previo a cada zarpe para garantizar que las condiciones sean las adecuadas, se evidencia registro de inspección y autorización de uso.
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	Permiso de pesca emitido por dirección general de pesca Registro de inspección de la SRP (SUB-SECRETARÍA DE RECURSOS PESQUEROS). No se evidencia especies pequeñas, así mismo cuentan con un dispositivo que impide la captura de especies menores a 1.8kg. Se evidencia reporte de tarja de puerto. Se anexan fotografías.
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	Cuentan con un inventario de herramientas de pesca, se evidencia que se ha revisado en la salida y llegada de buque en el puerto.
The Auditor must obtain a copy of the aforementioned procedure.					
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.	Y	Se evidencia que en todos los zarpes analizados existe un observador FOS en los buques. Se anexa evidencia de las solicitudes de zarpe y rol de la tripulación.
The Auditor must verify the presence of the inspector and obtain their CV and contacts.					
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	Y	La empresa se encuentra registrada en la IATTC; se evidencia el uso de los reportes de la IATTC para la determinación de los límites. Se evidencia el respeto de los 62 días de veda.
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	Y/N	Comments
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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	BARCO, PLANTA) Cuentan con un plan de basura y un registro de descarga de basuras en donde se evidencia el nombre de buque y el número así mismo se registra los volúmenes de descargas permitidas en alta mar, y en puerto, se evidencia registro del desalojo de las cabezas, clasificación de los desechos operacionales
6.2	The fishing company implements measures to prevent dispersion of waste in the sea (including fuels and lubricants and plastic matter)	Essential	Procedure and evidence of conformity.	Y	Plan de basura y libro de registro de hidrocarburos, se evidencia registro de la cantidad de combustible (60mil galones) más los lubricantes utilizados en el proceso, se evidencia que se lleva registro de las actividades de separación de combustible así mismo se evidencia certificado de entrega de materiales de desecho, la capacidad de tanque de reservorio de desechos 360gal.
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 and evidence of conformity.	Y	Los productos biodegradables se utilizan para la limpieza de ropa y otras superficies.
6.4	The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.	Essential	Procedure and evidence of conformity.	Y	FREON 22, FREON 404, verificación en sitio
The Auditor must provide procedures complete with photographic evidence.					

Z- 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 at least yearly frequency of the energy consumption records must be included in the procedure.</p> <p>The register must state at least the following parameters:</p> <ol style="list-style-type: none"> incoming energy sources (renewable or not) energy consumption per process line (fishing, processing, transport) 	Y	La organización cuenta con un registro de la uso diesel. esto dice esa clausula a la que hace referencia en el requisito leyendo eso nosotros si tenemos marco legal en temas de pesca por un lado esta el INP que es el que regula la parte técnica y la SRP que regula de la pesca en cantidades de manera de asegurar el cumplimiento de lo que manda el INP en asuntos de VEDAS y restricciones de capturas de peces y especies que se encuentren de stock en alerta o en peligro de extincion

7.2	The Organisation should calculate its Carbon Footprint per product unit and engage to reduce it every year.	Recommendation		N	A la fecha no cuenta con los registros
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: http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang-en/index.htm	Y	Reglamento interno de seguridad y salud en el trabajo en el título ii prevención de riesgos a adolescentes, artículo 23; así como las matrículas de marinero del personal de barco. Se evidencia carpeta personal.
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	Pertenecen al sector pesquero, su pago es por tonelaje. Se evidencia en el rol de pago.
8.1.3	grant employees access to healthcare	Essential		Y	Existe un departamento médico para toda la organización, se recibe en cada llegada el stock de medicina. Así mismo cuentan con una bitácora por barco con el stock de medicina y con las instrucciones de uso y para que sintomatología es. Cada 6 meses se chequea al personal que no presenta problemas, en el caso de algún personal con incidentes a bordo o alguna enfermedad persistente debe presentarse al departamento médico. Se evidencia registro del personal.
8.1.4	apply safety measures required by the law	Essential		Y	Se realiza la entrevista a los encargados de seguridad física e industrial y se pudo evidenciar que no tienen conocimiento sobre requisitos legales aplicados a seguridad física. Para el caso de los barcos capitania impone las normas de seguridad industrial. Seguridad se está levantando información: control de accesos, video vigilancia (en proceso de identificación de los lugares más adecuados y momentos más adecuados para el control). Seguridad industrial, se encuentran registros de dotación de implementos de seguridad. Se evidencia en la carpeta del barco los certificados de balsas salvavidas, inspecciones del sistema fijo de extinción de incendios, certificados de carga de los extintores portátiles, inspección del equipo autónomo de respiración, certificado de inspección anual de paquete de emergencias, certificado de inspección anual de escape rápido certificado de inspección anual
8.2	The organisation should be SA8000 certified.	Recommendation		N	Constan en la página de sedex, se evidencia compromiso de transmarina para un negocio responsable, se evidencia registro de recepción de los proveedores

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

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

List Minor non conformities

RECOMMENDATIONS (to be communicated within the next inspection)

List recommendation:

7.2, A la fecha no cuenta con los registros

8.2, No cuentan con SA 8000, constan en la página de SEDEX, se evidencia compromiso de transmarina para un negocio responsable, se evidencia registro de recepción de los proveedores.