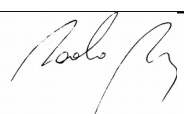

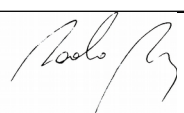
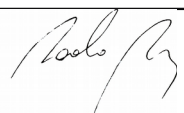


Friend of the Sea Standard

FOS - Wild Sustainable Fishing Requirements

Friend of the Sea
www.friendofthesea.org

REV	DATE	REASON	VALIDATION	APPROVAL
1	18/01/2013	First issue	Paolo Bray	
2	01/07/2015	Update	Paolo Bray	
3	30/09/2016	Standards update	Paolo Bray	
3.1	18/10/2017	Definitions and guidance to standards	Paolo Bray	

Foreword

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

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

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

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

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

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

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

Description of the Organisation

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

<p>a) NAME OF THE ORGANISATION TO BE AUDITED: TROPIC FISHERY (PVT) LTD</p>						
<p>b) NAME OF THE ORGANISATION REQUESTING THE AUDIT: TROPIC FISHERY (PVT) LTD</p>						
<p>c) IS THE ORGANISATION TO BE AUDITED PART OF A GROUP? IF SO, PLEASE SPECIFY THE NAME OF THE GROUP AND LIST ALL MEMBERS: NO</p>						
<p>d) ADDRESS OF THE ORGANISATION TO BE AUDITED: 16/1, THAMMITA ROAD, NEGOMBO, SRI LANKA</p>						
<p>e) NAME AND CONTACTS OF THE PERSON WITHIN THE ORGANISATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR: APEKSHA GOMIS QUALITY ASSURANCE MANAGER 0094759354301</p>						
Name of the fishing vessel	Registration number	Vessel's flag	Fishing method	Capacity (MT)	Unloading harbour	Ship owner, if different from a)
Not mentioned	Registration no. Li-IMUL-A-0036CBO	Srilanka (EEZ)	Long Line	4	Dikovita, Nigambo	W.N.M.R Fernando
Not mentioned	Registration no. Li-IMUL-A-0046MTR	Srilanka (EEZ)	Long Line	4	Kudawella	Thennuwara Hanndige Sagara Chaminda Kumara
Not mentioned	Registration no. Li-IMUL-A-0068TCO	Srilanka (EEZ)	Long Line	4	Kudawella	Thennuwara Hanndige Sagara Chaminda Kumara
Not mentioned	Registration no. Li-IMUL-A-0098MTR	Srilanka (EEZ)	Long Line	4	Nigambo	A.I.D Nishshanka

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

Reason for remote audit: as the vessels couldn't come to landing center due to adverse weather during the days of the audit, remote audit was conducted for all 4 nos. of sampled Vessels.

Documents and records were verified remotely (remote audit done) with full access to all relevant documents and records and the audit was complete and effective.

Name of the fishing vessel	Registration number	Unloading harbour
Not mentioned	Registration no. Li-IMUL-A-0036CBO	Dikovita, Nigambo
Not mentioned	Registration no. Li-IMUL-A-0046MTR	Kudawella
Not mentioned	Registration no. Li-IMUL-A-0068TCO	Kudawella
Not mentioned	Registration no. Li-IMUL-A-0098MTR	Nigambo

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

FAO 057, INDIAN OCEAN

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

Common Name	Scientific Name
YELLOW FIN TUNA	<i>Thunnus albacores</i>
BIG EYE TUNA	<i>Thunnus obesus</i>
SWORD FISH	<i>Xiphias gladius</i>

j) TOTAL NUMBER OF EMPLOYEES:

100

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS

ENVIRONMENTAL PROTECTION LISENCE FROM THE CENTRAL ENVIRONMENTAL AUTHORITY, SRI LANKA

l) STAKEHOLDERS ENGAGEMENT:

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

- i). the competent fishery management organisation (e.g. RFMO, national fishery management authority, etc.). Ms.Sepalika Wickramasinghe
Deputy Director-Quality Control-DFAR, Department of Fisheries & Aquatic Resources (DFAR),Ministry of Fisheries,www.fisheriesdept.gov.lk, +94112472192,
- ii). fishing industry associations (e.g. shipowners or fishermren representatives, national or state seafood industry association); Sea Food Exporters Assocoation, www.seas.lk,Mr.Dilan Fernando, +94777580371
- iii). local NGOs with a focus on ocean conservation.”: No such organization in this region.

m) ADDITIONAL INFORMATION: Total 4 nos. of vessels were audited so a total of 16 vessels will be in the scope of certifications as per the attached List:The organization is the first registered seafood processing plant of Srilanka established in the eyar 1984 and presently the largest sea foods exporters from Srilanka. They have a dedicated fishing research vessel dedicated for data collection on sustainable fishing. The have good experience in the Long line fishing operation in Sri Lanka. They have conducting training programs and awareness to fisherman advocating, Long line fishing over other indiscriminate fishing methods. Tropic works also works with the DFAR, MFARD, NARA, NAQDA, FAO, EDB, SEASL and Fisherman organizations to promote Long line fishing and sustainable fishing practices as a pioneering venture involved in fisheries development and welfare.

And

√**The Friend of the Sea project was introduced** (*If not, the auditor shall provide a short description*)

√**The organisation and the ship owners were informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products**

√**The organisation has a document qualifying and confirming the roles of the staff carrying out the audit**

√**The duration of the audit was agreed upon**

√**The information included in the Preliminary Information Form (PIF) has been confirmed** (in case of changes to the PIF, an updated version has to be promptly provided)

CERTIFICATION BODY: DNVGL Business Assurance India Pvt. Ltd.	AUDIT TEAM: Roy Puspendra Prasad	AUDIT START AND END DATE: 15th and 16th May'2018
SIGNATURE OF AUDITOR: Roy Puspendra Prasad	NAME OF THE PERSON IN CHARGE OF THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT: Apeksha Gomis Quality control Manager	AUDIT CODE: PRJC-575373-2017-PRC-LKA

NOTES TO THE AUDITOR

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

1 STOCK STATUS

No.	Requirement	Level	Parameters and	Y / N	Comments
1.1	The state of the stock under consideration shall be assessed by the fisheries management organisation.	Essential	The fishery shall demonstrate to collect data in accordance with applicable international standards (e.g. Coordinating Working Party on Fishery Statistics, the FAO Guidelines for the routine collection of capture fishery	Y	The stock of the three species under the scope of certifications: Yellow Fin Tuna (<i>Thunnus albacores</i>), Big Eye Tuna (<i>Thunnus obesus</i>) & Sword Fish (<i>Xiphias gladius</i>) are managed by i). IOTC Stock Assessment, web site address: www.iotc.org ii). Department of Fisheries and Aquatic Resources, DFARSri Lanka. www.fisheriesdept.gov.lk Ministry of Fisheries and Aquatic Resources Development, Sri Lanka MFARD. www.fisheries.gov.lk & National Aquatic Resources Research and Development Agency (NARA) The Fishing area is FAO Zone 057. The latest stock assessment was conducted in 2016 and was updated in December 2017, e.g. a). Executive summary-yellow fin Tuna, b). Executive summary for Big Eye Tuna and c). Executive Summary-Sword Fish with supporting information.
<p>The fisheries management organisation is an institution responsible for fisheries management, including the formulation of rules governing fishing activities. The fishery management organisation may also be responsible for collection of information, its analysis stock assessment, monitoring, control and surveillance.</p>					
1.1.1	The stock under consideration shall NOT be data deficient	Essential		N	<p><small>Data managed by the organizations IOTC, DFAR and MFARD are readily available from their website and the organization keeps track of all relevant data as soon as it is published. The organization also conducts research and data analysis for Yellow Fin Tuna in Sri Lanka. Although the organization reviews the websites of the Fisheries management organizations for all three species from time to time and updates are kept aware within the management, however a systematic documentations of all the reviews were not found documented. YFT. Also FIP projects have been taken up for the YFT by Seafood exporters Association of Sri Lanka. Although the organization reviews the websites of the Fisheries management organizations for all three species from time to time and updates are kept aware within the management, however a systematic documentations of all the reviews were not found documented. Clause-1.1.1 Major NC.</small></p>

1.1.2	The stock under consideration shall NOT be over-exploited.	Essential	$F \leq F_{msy}$ within probability range of available stock assessments or at least $F \leq F_{lim}$ (limit reference point – or its proxy) If overfishing of a stock	N/A	As per the IOTC Executive summary-Yellow Fin Tuna dt. December 2017, the main fleet average catch from Sri Lanka is 9%. Also Sri Lanka most of the Fishing vessels are artisanal <24m and the organization buys 100% of their YFT, Sword Fish and BET fish purchase from small Fishing vessels. The YFT, BET and Sword fishes are caught by mostly artisanal Fishing vessels <24m. The sword fishes catch from main fleet Sri Lanka is 13% and it is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-Sword Fish dt DECEMBER 2017. The BET catches Sri Lanka is in the main fleet and is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-BET Fish dt DECEMBER 2017.
1.1.3	The stock under consideration shall NOT be over-fished.	Essential	$B \geq B_{msy}$ within probability range of available stock assessments or at least $B > B_{lim}$ (limit reference point – or its proxy). If the stock under consideration	NA	As per the IOTC Executive summary-Yellow Fin Tuna dt. December 2017, the main fleet average catch from Sri Lanka is 9%. Also Sri Lanka most of the Fishing vessels are artisanal <24m and the organization buys 100% of their YFT, Sword Fish and BET fish purchase from small Fishing vessels. The YFT, BET and Sword fishes are caught by mostly artisanal Fishing vessels <24m. The sword fishes catch from main fleet Sri Lanka is 13% and it is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-Sword Fish dt DECEMBER 2017. The BET catches Sri Lanka is in the main fleet and is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-BET Fish dt DECEMBER 2017.

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

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

1.1.4	The methodology of assessment of the status and trends of the stock under consideration shall be made publicly available in a timely manner.	Essential	Documental evidence	Y	See para 1.1.1.
1.2	<u>Only applicable to small-scale and artisanal fisheries (i.e. it is not applicable to large-scale fisheries and fleets)</u> If the organisation complies with all the requirements of the standard in the present document and does not catch more than 10% of the total catch (weight) of the stock under consideration, requirements 1.1.2., 1.1.3. do not apply.	Essential	Weight of catches by fishery with same fishing method as the one under assessment is not over 10% of total catch from the same stock.	Y	The YFT, BET and Sword fishes are caught by mostly artisanal Fishing vessels <24m. The sword fishes catch from main fleet Sri Lanka is 13% and it is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-Sword Fish dt DECEMBER 2017. The BET catches Sri Lanka is in the main fleet and is not overfished and not subject to overfishing as per the IOTC executive summary-stock assessment-BET Fish dt DECEMBER 2017.

The auditor shall fill-in requirement 1.2 ONLY in case of negative answer to the requirement 1.1. The aim of this requirement is to allow certification of small-scale artisanal and/or traditional fisheries targeting stocks which might have been overfished by bigger scale vessels and fisheries.

Small-scale fisheries are here intended as those using fishing crafts with size < 24 m and/or engine <375 kW.

Large-scale fisheries are intended as those using fishing crafts with size ≥ 24 m, engine ≥375 kW, vessels with freezing facilities and/or factory vessels (i.e. ocean-going vessels with on-board facilities for processing and freezing).

2 ECOSYSTEM and HABITAT IMPACT

No.	Requirement	Level	Parameters and Information	Y/N	Comments
2.1	Current data and/or other information are collected and updated about the effects of the fishery under assessment on the ecosystem structure and habitats vulnerable to damage by fishing gear, also considering the role of the stock in the food web (e.g. key prey or predator species).	Important	<p>Data collection shall be in accordance with international standards (e.g. CWP and DSF in the High Seas, FAO Programme).</p> <p>The data and analysis may include local, traditional or indigenous knowledge and research, providing its validity can be objectively verified.</p> <p>The methodology and results of the analysis of the most probable adverse impacts of the unit of certification on the ecosystem are made publicly available in a timely manner, respecting confidentiality where appropriate.</p>	Y	<p>Fishing gear used is Deep set long line which reduces the percentage of bycatch. No juvenile catch since this gear is set in deep set where the adult Tuna most of the population prevails. The depth of the longline rope and the distance between the hooks are also mentioned on the fisheries license. This is available at the Boat license. Spot verification or surprise checks by the Fisheries officer for is also conducted from time to time.</p> <p>Minimal by-catch (only targeted incidental catch, no turtles and sharks caught due to deep set nature of line)</p> <p>Viable/live release</p> <p>No degradation of sea bed.</p>

2.2	The fishery or fleet complies with Marine Protected Areas regulation.	Essential	Verify compliance also by use of VMS and plotters tracking and World database www.mpaglobal.n etc	Y	GPS in boat gives a latitude and Longitude which is entered in the long book for each of the long line haul. Verified fishing log book from the Govt officials for catch data in Fisheries harbor FMC-Fisheries Monitoring center is a subdivision of the fisheries ministry. Live alerts 100% of vessels in Srilanka is having VMF. If any crossing the EEZ and terming with VMF. The auto generated emails about the Ministry audit is done once in two months for compliance of rules and regulations. The marine protected areas (MPA) are checked by the department of Fishereis and Ministries of Fisheries by VMS and FMC regularly. The list of protected areas is attached herewith. This is mentioned on the website of the Ministry of website and Department of Fisheries Aquatic Resource.
The auditor, through random sampling, using the Satellite Control System on the vessels or valid alternative evidence, shall verify that the fishing activity is not carried out in infringement of Marine Protected Areas (MPA). Alternatively an official declaration from local Control Authorities shall be produced. The Auditor shall provide a list of Protected Marine Areas in the area (refer to www.mpaglobal.org).					
2.3	The fishery or fleet shall use fishing gears that do not affect the seabed unless proven that such impact is negligible.	Essential	The seabed and benthic communities shall return to their original conditions within a maximum of 30 days from the impact of the fishing gear on the seabed.	Y	Most of the fishing is now done by Longline for BET and Sword Fish. YFT is also done mostly by Long line, and the Gillnet is reducing. Now the Govt. has a subsidy scheme for purchase of Longline to encourage LL. The organization has a policy to buy only from long line vessel caught all fishes.
The auditor shall collect conformity evidence.					
2.4	The organisation has requested or conducted an assessment of the impact of its fishing activities on essential habitats for the stock under consideration and on habitats vulnerable to damage by the fishing gear.	Recommendation	Studies made available by the competent FMO can be used. These studies shall consider the impact of the fishery on the ecosystem and shall be considered when producing management advice.	Y	The published data is referred from time to time about the impact of Fishing gear-Longline on essential habitats and habitats vulnerable to damage by fishing gear. Sources form: https://www.sustainablefish.org/Publications . IOTC, NARA have done studies on these subjects and publish data on their web site from time to time. The government has taken a decision to reduce gill net fishing and encourage Long line based on the same inputs.

3 GEAR SELECTIVITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
3.1	<p>Accidental catches (bycatch) shall not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk.</p> <p>The IUCN assessment shall have been carried out no more than 10 years before.</p>	Important	<p>Bycatch studies shall have been carried out by the relevant bodies (FAO or RFMOs or National Authorities or Universities) and they shall provide information regarding level of bycatch and bycaught species</p> <p>These studies shall not indicate the presence of species vulnerable or higher risk among the regularly caught (over 0.25% of total weight) species according to www.iucnredlist.org.</p>	Y	<p>The IUCN list of endangered species as well as vulnerable or higher risk is available to all the stake holders. Now the department of fisheries has a dedicated wing for IUCN coordination with relevant govt. departments as well as updating the IUCN from time to time. The studies/monitoring and analysis is done department of Fisheries and publish data and submit to IOTC.</p> <p>The control by the DFAR and the organization is by the "Daily catch Data for a Fishing trip. Which details the ETP species, by catch data, Shark and Manta Rays. It specifies the release of by catch dead or alive. Verified records for the period 07th to 13th May'2018. are done by Use of logbooks in all vessels.</p> <p>The log book copy is attached herewith for the reference.</p> <p>Srilanka IUCN web site : www.iucn.org</p>
3.1.1	The organisation collects and maintains current data and/or other information about the effects of the fishery on endangered species, non-target catches and discards.	Essential	Traditional, fisher or community knowledge can be used as reference, provided its validity can be objectively verified	Y	The FAO, IUCN and IOTC DFAR and NARA and MFARD are referred from time to time for the latest updated and controls are taken accordingly.
<p><i>The auditor shall obtain records kept by the organisation of the species that are caught accidentally, and an assessment of the effects of the fishery on non-target stocks. The information included in the list shall be compared with the accidental catches actually occurred on site at the time of unloading. The list shall also be compared with the database of the IUCN red list www.redlist.org. The auditor shall provide a final document that shows if any of the accidentally caught species is included in the IUCN list.</i></p>					
3.2	The level of discard shall not be over 8% of total catch (in weight).	Essential	Discards are bycaught species which are not used for human consumption not for fish meal or fish oil production.	Y	All the fish caught, including accidental or bycatch are used for human consumption in the form of either fresh, processed, Fish meal, dry fish, Fish oil.

3.3.1	The fleet or fishery shall provide a census of number of all fish aggregating devices (FADs) deployed during the previous 12 months and shall report on a yearly basis to Friend of the Sea regarding FADs deployment per vessel. Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species	Important	Auditor shall collect the data provided by the fleet or fishery and attach it to the audit report	N/A	No FADs used in the long line fishery. There is legal ban on use of FADs for Longline. This information is available at the DFAR website. The Srilankan govt. regulation is also listed country-wise at FAO website with regulations including on FAD. Also this is being monitored by the srilankan coast guard. www.coastguard.gov.lk . Although the same is used for the Gill net as per the information but organization doesn't buy any fish from Gill net caught.
3.3.2	The fleet shall use non entangling FADs only, to avoid entanglement of sharks, turtles and other non-target species. Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species	Important	Audit shall collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance.	N/A	No FADs used in the long line fishery.

4 LEGAL CONFORMITY

N°	Requirement	Level	Parameters and information	Y/N	Comments
4.1	All fishing vessels shall be officially registered.	Essential	Vessel registration and fishing license inspection.	Y	Department of fisheries issues a list of IUU vessels to all processors and exporters twice a day. Website link: www.fisheries.dept.gov.lk
The Auditor shall request a list of all the fishing boats and the respective registration number. The Auditor shall collect on site all the documents concerning the registration of at least 10% of the audited boats (copies of photos of the documents)					
4.2	The fleet does not include vessels with a flag of convenience.	Essential	The auditor shall verify that each vessel is not registered to another Nation identified as Flag of Convenience (http://www.itfseafarers.org/foc-registries.cfm).	Y	The list of vessel is available at the DRAF website. The organization also maintains a list of vessels from which the fishes are purchased. With details such as Vessel ID/Registration no./approved species/fishing gear/negative for Flag of convenience. Verified all the vessels from where the fish is purchased are not present in the list as per http://www.itfseafarers.org/foc-registries.cfm .
The Auditor shall verify according to the website http://www.itfseafarers.org/foc-registries.cfm.					
4.3	The fleet does not include IUU (illegal, unreported, unregulated) fishing vessels.	Essential	The vessels cannot be included in the list http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2015.199.01.0012.01.ENG	Y	Department of fisheries issues a list of IUU vessels to all processors and exporters twice a day by email. The organization verifies the list on daily basis and accordingly the incoming vessels are verified and materials are either accepted and rejected.

The auditor shall verify that the vessels are not listed in EU IUU vessel list (http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2015.199.01.0012.01.ENG), or in the IUU vessel list made available by the competent RFMO.

4.4	The fleet shall be "Dolphin Safe" approved by the Earth Island Institute. Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species	Essential	The organisation shall be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphinsafetuna.org	N	The organization has yet to get on the Dolphine safe-list of the earth Island Institute:the erth Island Institute: However their sister concern M/s Tropic Frozen Foods Pvt. Ltd. & Tessagro Pvt. Ltd. is already on the list.However, <i>The organization has yet to get on the Dolphine safe-list of the erth Island Institute :the erth Island Institute: However their sister concern M/s Tropic Frozen Foods Pvt. Ltd. & Tessagro Pvt. Ltd. is already on the list. Clause 4.4. Major NC.</i>
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The Auditor shall verify the conformity on the list www.dolphinsafetuna.org or else the company shall sign the EII DS Policy and a copy shall be included in the audit report

4.5	The organisation complies with national and international fisheries 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/faolex/en/ The auditor shall specify applicable indicators.	Y	Yes, it is being complied. The organization also audited at bimonthly interval from ministry of fisheries & department if fisheries for compliance of Fisheries regulations. The organization also is approved by department of fisheries for license to seafood processing. The organization Executive director and CEO Mr. Roshan Fernando is associated with the following bodies: i). advisory council of ministry of fisheries and ocean resources, Gov.of Srilanka. ii). Member of working committee on oceanography and marine resources of the national science foundation. The copy of the license is attached.The organization also has BRC-Food, FSSC 22000 and ISO 22000 certification for fish processing which includes the purchase of fishes.
4.5.1	TAC (Total Allowable Catches)	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable limits.	Y	There is no total allowable catch limit for yellowfin tuna in the Indian Ocean (Hewapathirana et al. 2014)(IOTC 2014). The FMax: YFT is 0.151(0.148-0154) as per the Executive summary for YFT, Dec,2018. The FMax for BET: 0.17 (0.14-10.20), as per the Executive summary for BETS, Dec,2018. The FMax for Sword fish: 0.17(0.12-0.23), as per the Executive summary for Sword Fish Dec,2018.
4.5.2	Use of a logbook	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators.	Y	Yes it is used quite well with all the required details. The log books of the sampled vessels were verified during the audit. (Picture attached).
4.5.3	Minimum net mesh size	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators.	Y	There is no net is used as fishing gear, all are long line only.

4.5.4	Net size	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators.	Y	There is no net is used as fishing gear, all are long line only.
4.5.5	Minimum legal size of the target species	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators.	Y	There are no minimum legal size of the catch for all there species. However, there is fishing methods and gear size to regulate the Size of the fish. The same has been mentioned in the Fisheries license issued to the boat.
4.5.6	Distance from the shore	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/	Y	The distance form the shore is 12 nautical mile-terroterial and coastal fishing till the EEZ.The same has been mentioned in the Fisheries rule of the Srilanka.
4.5.7	Measures for the reduction of accidental catches	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable measures.	Y	Since the organization is taking the fishing method deep set long line and the branch long and main line and the depth is >100m and <350 meters. Picture attached. The document reference form 'sustainable Fisheries Partnership, www.sustanablefishe.org/publication.
4.5.8	No fishing in protected habitats	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators.	Y	There is no fishing in protected area as it is being controlled by VMS Vessel monitoring system and is being monitored by the FMC-Fisheries monitoring center Colombo.
4.5.9	Use of forbidden gears, chemical substances and explosives	Essential	Countries' fisheries laws are available on the website FAO http://www.fao.org/faolex/en/ The auditor shall specify applicable indicators.	Y	All these items are prohibited by DFAR. Coast guards also monitors the same.

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

5 – FISHERY MANAGEMENT

No.	Requirement	Level	Parameter
5.1.1a	A fishery management organisation, that holds a legal mandate in compliance with national and international laws, manages, by means of a Fishery Management Plan (FMP), the fishery of which the fishery or fleet under audit is a part.	Essential	The organ... copy of t... A map of... available... http://w... factshee... In additi... ministrie... consider... Managem...
5.1.1b	If the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock, a bilateral, sub regional or regional fisheries organisation or arrangement is in place. States and entities in the arrangement shall collaborate in the management of the whole stock unit and bycaught or discarded species over their entire area of distribution. The arrangement shall ensure the rights of the small-scale fishing communities are granted.	Essential	Evidence... In case t... provide j...
5.1.1c	The fishery management organisation convenes regularly to update its management advices according to the most updated data.	Essential	Evidence...

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

The fishing company or organisation may also be part of traditional or community system of management of the stock, provided their per

5.1.2	The fisheries management system (FMS) under which the fishery or fleet under audit is managed shall be both participatory and transparent, to the extent permitted by national laws and regulations.	Essential	Information available A consult seeks an informat Consulta shall be applicabl
5.1.3	Small-scale fishing communities and deep-sea fishers shall be involved in the planning and implementation of management measures affecting their livelihood, as appropriate.	Important	Evidenc commun E.g. mor fishing a
5.2.1	A precautionary approach is applied through the FMS to protect the target stock and its habitat and preserve the marine environment.	Important	Procedur conformi
5.2.2	Management measures specify the actions to be taken in the event that the status of the stock under consideration (with special consideration to deep-sea stocks) drops below a level consistent with achieving management objectives. These measures shall prompt the restoration of the stock to such levels within a reasonable timeframe.	Important	Procedur referenc
5.2.3	Efficacy of management measures and their possible interactions is kept under continuous review.	Essential	Evidenc managem provided

The auditor shall verify if the Country the flag of the fishing company refers to has ratified the FAO Code of conduct. Other assessment procedure.

5.3	The compliance with fishery regulations is achieved through monitoring, surveillance, control and enforcement.	Essential	Procedur monitori fishery m
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The Auditor shall describe briefly the monitoring, surveillance, control, and application methods and provide the evidences of the activities

5.4	The fleet or fishery shall record bycatch during every fishing trip.	Essential	Procedur during at
5.5	The fleet or fishery shall record discards.	Essential	Procedur conformi
5.5.1	Bycatch and discard data shall be made publicly available by either the FMO or the organisation.	Recommendation	Procedur conformi

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

5.6	A management system to prevent possible accidental catch and significant negative impacts of endangered species shall be in place.	Essential	Procedur and evid
5.7	The organisation implements a management program to reduce the accidental catch of non-target species, including procedures for the release of live animals under conditions that guarantee high chances of survival.	Essential	Procedur and evid

The auditor shall provide documental evidence that the organisation collects data to assess the impact of the fishing activities on non-target species consistent with achieving management objectives.

5.8	The fleet is equipped with measures that guarantee a quick retrieval of lost fishing gears to avoid 'ghost fishing'.	Essential	Proced conformi
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The auditor shall obtain a copy of the procedures.

5.9	<p>The fleet has a full-time on-board independent observer who reports compliance with Friend of the Sea requirements. In alternative a CCTVs system has been deployed and it is accessible by the auditor to verify compliance with Friend of the Sea requirements.</p> <p>Only applicable to large-scale vessels and fleets. Not applicable to small-scale artisanal fisheries.</p>	Important	Document At least on-board
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**The auditor shall verify the presence of the observer(s) and obtain their CV and contacts.
See definition for large-scale fisheries in section 1.**

5.10	<p>Outcome indicator(s), including target and limit reference points, are defined for all management objectives related to the conservation of the stock under consideration.</p> <p>Management objectives take into account the best scientific evidence available</p>	Essential	Target re eg maxi suitable that is ap Marine r fisheries productiv shall be sustaina
5.11	There are clear management objectives, outcome indicators and measures defined and periodically reviewed by means of risk assessment to avoid, minimize, or mitigate impacts on:	Essential	Procedur and outco
5.11.1	Essential habitats for the stock of consideration, and vulnerable ecosystems, including those potentially impacted by Deep-Sea fisheries		
5.11.2	Endangered species		
5.11.3	Non-target stocks		
5.11.4	Dependent predators and/or preys		
5.11.5	Ecosystem structure and processes		
5.12	A yearly reviewed Ecosystem Approach to Fisheries is in place	Recommended	Document

5.13

Fisheries management approaches, plans and strategies are an integral part of integrated coastal management, and/or ocean management for oceanic fisheries.

Recommended

Document

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

The management measures implemented by the management system of the organisation shall be based on the best available scientific evidence and shall be objectively verified by the auditor

6 WASTE MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N	Comments
6.1	The organisation recycles, re-uses or re-processes all materials used during fishing, conservation and transport of the fish up to the selling point, including packaging.	Essential	Procedure and evidence of conformity.	Y	There is a system of collecting waste by the Fisheries harbor management and the same is collected by 3rd party vendors-all the waste oil and lubricants, oil and plastic materials. All the waste generated during fishing, conservation and transport of the fish up to the selling point are considered, including packaging. The govt. rules Fine is Rs 10000/- for spillage in the sea. There are coast guard for strict monitoring of the compliance of this rule.
6.2	The organisation implements measures to prevent dispersion of waste at sea (including fuels and lubricants and plastic materials)	Essential	Procedure and evidence of conformity.	Y	There is a system of collecting waste by the Fisheries harbor management and the same is collected by 3rd party vendors-all the waste oil and lubricants, oil and plastic materials. All the waste generated during fishing, conservation and transport of the fish up to the selling point are considered, including packaging. The govt. rules Fine is Rs 10000/- for spillage in the sea. There are coast guard for strict monitoring of the compliance of this rule.
6.3	The organisation utilises all the chemical non-toxic alternatives available in order to reduce the use of toxic, persistent or bio-accumulating substances.	Essential	Procedure and evidence of conformity.	Y	The fishing vessels take only water, Ice, lubricants diesel during the trip. No specific toxic chemicals are used on board. For pest controls vessels uses traps. For sanitization, chlorine: Sodium hypochlorite. There is a monthly inspection by the Tropic Fisheries, how ever this could also include the FOS requirements..
6.4	The organisation does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion. <i>Only applicable to large-scale vessels</i>	Essential	Procedure and evidence of conformity.	N/A	As this is a small scale vessels.

**The auditor shall provide procedures complete with photographic evidence.
See definition of large-scale fisheries in section 1.**

7 ENERGY MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N	Comments
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7.1	The organisation shall keep a register of all energy sources and their use, updated at least once a year.	Essential	Energy consumption records, which shall be created at least once a year shall be included in the procedure. At minimum, the register shall include the following parameters: 1. incoming energy sources (renewable or not) 2. energy consumption per process line (fishing, processing, transport)	N	The records of the energy consumption is available for the processing plant. Trip sheet is available for the transport vehicle. However, <i>The fuel consumption records (in quantity) for the vehicles used for product transport was not found available during the audit. Further, the records for the energy consumption by the boat owners were also not available for verification during the audit. Clause-7.1 Major NC.</i>
7.2	The organisation should calculate its carbon footprint per product unit and engage to reduce it every year.	Recommendation		Y	The organization has yet to initiate the carbon foot print All the tube lights have been converted to LED in 2017. However there are positive steps taken for reduction in energy consumption: i). There is interlocked with sensors for all lights in the new production area and it gets switch off when no work is done in the particular area. ii). Transport mode is being now being planned to change to sea freight which has less carbon foot print than the airfreight per kg of products transported.
The auditor shall review copies of the registers.					

8 SOCIAL ACCOUNTABILITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
8.1	The Organisation shall respect human rights, complying with the following requirements:			Y	The organization follows the Srilankan Govt. rule for the Child labour: It also complies to the ILO rule.
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	The minimum wages rules are followed as per the Srilankan Govt. norms.
8.1.2	pay the employees adequate salaries compliant at least with minimum legal wages	Essential	Minimum wages vary depending on the country. The Auditor shall verify that the organisation knows the minimum wage.	Y	The health care of the employees are well taken for the employees. Health Safety policy: First aid training program is conducted on annual basis. Medical check is done for Govt. regulation on health check up is available and which says it must be done on annual level. Dedicated health officer is posted
8.1.3	grant employees access to healthcare	Essential		Y	All the occupational health and Safety measures are taken by the organization> Health and safety law is being followed strictly.
8.1.4	apply safety measures required by the law	Essential		Y	All the occupational health and Safety measures are taken by the organization> Health and safety law is being followed strictly.

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

Further comments:

CONCLUSIONS:

The Auditor shall fill out the following fields

! ✓ The fleet COMPLIES with Friend of the Sea requirements

! The fleet DOES NOT COMPLY with Friend of the Sea requirements

MAJOR NON CONFORMITIES (to be corrected within 3 months)

List major non conformities

Nil

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

List major non conformities

1). Requirement: Energy consumption records, which shall be created at least once a year shall be included in the procedure. At minimum, the register shall include the following parameters: 1. incoming energy sources (renewable or not) 2. energy consumption per process line (fishing, processing, transport)

Failure & Evidence: The fuel consumption records (in quantity) for the vehicles used for product transport was not found available during the audit. Further, the records for the energy consumption by the boat owners were also not available for verification during the audit. Clause-7.1

2). Requirement: The stock under consideration shall NOT be data deficient.

Failure & Evidence: Although the organization reviews the websites of the Fisheries management organizations for all three species from time to time and updates are kept aware within the management, however a systematic documentations of all the reviews were not found documented. Clause- 1.1.1

3). Requirement: The fleet is equipped with measures that guarantee a quick retrieval of lost fishing gears to avoid 'ghost fishing'.

Failure & Evidence: Although this is monitored by the DFAR-Department of Fisheries and Aquatic Resources, the documentation for reporting was not evidenced in the Fishing log book or any other documented proof. Clause-5.8

4). Requirement: The fleet shall be "Dolphin Safe" approved by the Earth Island Institute. Dolphine safe-list of the earth Island Institute: the earth Island Institute.

Failure & Evidence: The organization has yet to get on the Dolphine safe-list of the earth Island Institute :the earth Island Institute: However their sister concern M/s Tropic Frozen Foods Pvt. Ltd. & Tessagro Pvt. Ltd. is already on the list. Clause 4.4.

RECOMMENDATIONS (to be communicated within the next inspection)

List recommendations: Nil