

Friend of the Sea Standard

FOS – Aqua – Tuna Criteria and indicators for the Certification for tuna purse seine and longline fleets

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Preface

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 preservation projects.

The certification diagram of Friend of the Sea assesses according to sustainability criteria and indicators fishing and aquaculture projects. The certification, granted by Independent Certification Bodies following an audit, ensures that a product complies with sustainability requirements.

The Friend of the Sea fishing certification diagram guarantees that **the "GUIDELINES FOR THE ECOLABELLING OF FISH AND FISHERY PRODUCTS FROM MARINE CAPTURE FISHERIES (FAO)"** are observed. Therefore, all indicators refer to compliant criteria and conform with "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).

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

28. 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:

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

28.2 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.

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

28.4 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

29. 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:

29.1 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.

29.2 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.

29.3 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.

29.4 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

30. 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)

Following the reference Friend of the Sea Criteria used during the audit. For each criterion the respective Minimum Substantive Criterion observed is mentioned in brackets.

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

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

Essential Indicators: for essential requirements a 100% conformity is required in order to allow the Certification Body to recommend the Company for Certification. Each deficiency towards these requirements is considered as a Major non-conformity and it is required to undertake appropriate corrective measures, to be implemented within three months from when the non-conformity was found. The Company shall provide satisfactory evidence on the correction of all major non-conformities to the Certification Body. Exclusively for requirements 2.1 and 2.2, considering the complexity of possible missing data to be retrieved, the time interval allowed for the correction of non-conformities is extended to 6 months.

Important Indicators: for important requirements a 100% conformity is required in order to allow the Certification Body to recommend the Company for Certification. Each deficiency towards these requirements is considered as a Minor non-conformity and it is required to propose appropriate corrective measures (declaration of intents and implementation plan), to be submitted to the Certification Body within three months from when the non-conformity was found. This proposal must also include a chronogram concerning the implementation of each correction measure. Each corrective action must be fully implemented within a year.

Recommended Indicators: the compliance with these requirements is not strictly required in order to obtain the certification. However, during the inspection all the aspects concerning these requirements will be checked and each deficiency will be highlighted in the Auditing Report as a recommendation. The Company shall evaluate the possible necessity of implementing corrective measures and, within the following inspection, shall inform the Certification Body regarding the decisions taken and the corrective measures implemented.

If a requirement is not applicable for the audited Organisation, it should be marked with N.A.

Description of the organisation

This document shall only be filled-in by the Certification Body and the Auditor in charge of the inspection. It must be filled in the native tongue or in English only if spoken fluently.

| |
|---|
| a) NAME OF THE ORGANISATION TO BE AUDITED: VS Seafood (Pvt) Ltd |
| b) NAME OF THE ORGANISATION THAT REQUESTED THE AUDIT: VS Seafood (Pvt) Ltd |
| c) IS THE ORGANISATION TO BE AUDITED PART OF A GROUP? No. |
| d) ADDRESS OF THE ORGANISATION TO BE AUDITED: No: 423, Wennappuwa, NW Province, Sri Lanka |
| e) NAME AND CONTACTS OF THE PERSON RESPONSIBLE FOR THE ORGANISATION TO BE AUDITED: Ms. Mayami Shamolika E-mail: info@vsseafood.com T.P: 0094312257234, 0094775218700 |

f) FLEET TO BE AUDITED:

| <i>Name of the fishing boat</i> | <i>Registration number</i> | <i>Country flag</i> | <i>Fishing method</i> | <i>Load metric tons</i> | <i>Unloadin g dock</i> | <i>Ship owner (if different from a)</i> |
|---|--------------------------------|-------------------------|---------------------------|---------------------------------|----------------------------|---|
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Please find attached vessel list.

g) BOATS AUDITED ON SITE: (the auditor must list the audited boats that represent the fleet)

| Name of the fishing boat | Registration number | Unloading dock |
|--------------------------|---------------------|----------------|
| --- | IMJL -A-0612 CHW | Dikowita |
| --- | IMJL -A-0102 CBO | Dikowita |
| | | |
| | | |
| | | |

h) FISHING ZONE (E.g.: coordinates, FAO area, ZEE, CIEM area, etc... if available also include a map)

FAO area 57 (Indian ocean, eastern)

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

| Common name | Scientific name |
|-----------------|-------------------|
| Yellow fin tuna | Thunnus albacores |
| Big eye tuna | Thunnus obesus |
| Sword fish | Xiphias gladius |

j) TOTAL NUMBER OF EMPLOYEES:

61

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS

Environmental protection licence has been obtained from central environment authority.

r) ADDITIONAL INFORMATION:

BRC certified

ISO 22000:2005 certified


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

☐ **The Organisation was informed of the possibility, in case of approval, of using the Friend of the Sea logo on the certified products**

☐ **The Organisation has a document certifying the roles of the staff carrying out the audit**

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

☐ **The information included in the Preliminary Information have been confirmed:**
(in case of changes send an update promptly)

| | | |
|---|--|---|
| NAME OF THE CERTIFYING BODY: SGS Lanka (Pvt) Ltd | AUDIT TEAM: Mr. Gamunu Wickramasekara Mr. Rohitha Gomis Mr. Buddhika Tissera | START AND END DATE OF THE AUDIT: 23/12/2015 |
| SIGNATURE OF THE AUDITOR:  | NAME OF THE PERSON IN CHARGE OF THE AUDIT ORGANISATION THAT ACCOMPANIES THE AUDITOR DURING THE INSPECTION : Ms. Mayami Shamolika (Director) | AUDIT CODE: Friend of the sea |

NOTES FOR THE AUDITOR

- 1) The auditor must fill-in all the fields in the checklist
- 2) The directions to fill-in the checklist are written in the blue fields
- 3) The Auditor must explain when the qualification requirements are not applicable

- 4) The Auditor must write YES when the Organisation complies with a requirement and NO when it doesn't
- 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 | Reference quantity parameters | Y/N | Comments |
|-------|---|-----------|-------------------------------|-----|--|
| 1.1 | Up-to-date data and/or information on the stock status have been collected from one of the following bodies: FAO, Regional Organisation for Fishing Management, Marine Research National Authority. These data determine that the stock is NOT: | | | | |
| 1.1.1 | Low on data | Essential | | Y | Data available with IOTC for Yellowfin tuna, Bigeye tuna & Sword fish. |
| 1.1.2 | Over-exploited ($F > F_{msy}$) | Essential | $F < F_{msy}$ | Y | <p>Based on the last scientific data available with IOTC, <i>T. obesus</i> is not overexploited.</p> <p>F2012/FMSY (range): 0.42 (0.21–0.80)</p> <p>Further to available data, IOTC stated that “If catch remains below the estimated MSY levels, then immediate management measures are not required. However, continued monitoring and improvement in data collection, reporting and analysis is required to reduce the uncertainty in assessments.</p> <p>Reference: http://www.iotc.org/science/status-summary-species-tuna-and-tuna-species-under-iotc-mandate-well-other-species-impacted-iotc</p> <p>Referring to the scientific data available with IOTC at the time of application, the YFT (<i>T. albacares</i>) stock in the Indian Ocean was considered overexploited.</p> <p>F2014/FMSY (80% CI): 1.34 (1.02–1.67)</p> <p>More over IOTC states that “if the commission wishes to recover the Stock to levels above the interim target reference points with 50% probability by 2024, the Scientific Committee recommends that catches be reduced by 20% of current (2014) levels.</p> <p>Considering the IOTC 2015 Stock Status assessment concluding that Yellowfin tuna stock is overexploited, FOS certification of YF from the Indian Ocean will be valid only for products fished until 31st of December 2016.</p> <p>YF caught after the 31st of December 2016 will be certified FOS only in case the IOTC will confirm full compliance of the Indian Ocean fishery (or single fleets covered by FOS certification) with its advice (20% reduction of 2014 catch levels) and / or Biomass returning within Bmsy</p> <p>Reference: http://www.iotc.org/science/status-summary-species-tuna-and-tuna-species-under-iotc-mandate-well-other-species-impacted-iotc</p> <p>(From the month of July to Nov 2015, the total export for <i>T. albacares</i> is 79,884 Kg. Since the exported quantity is very less, the effect on stock status is not significant by VS Seafood.)</p> |

| | | | | | |
|-------|-------------------------------|-----------|---------------|---|--|
| | | | | N | <p>As per the last scientific data available for <i>X. gladius</i>, can be concluded that has not been overexploited.</p> <p>F2013/FMSY (80% CI): 0.34 (0.28–0.40)</p> <p>Further to given current stock, IOTC states that “if catch remains below the estimated MSY levels, then immediate management measures to reduce catch are not required. However, continued monitoring and improvement in data collection and reporting are required to reduce the uncertainty in assessments.”</p> <p>Reference: http://www.iotc.org/science/status-summary-species-tuna-and-tuna-species-under-iotc-mandate-well-other-species-impacted-iotc</p> |
| 1.1.3 | Over-Fished ($B < B_{msy}$) | Essential | $B > B_{msy}$ | Y | <p>Referring to IOTC data available <i>T. obesus</i> is not over-fished.</p> <p>SB2012/SBMSY (range): 1.44 (0.87–2.22)</p> <p>Further to available data, IOCT stated that “If catch then immediate management measures are not required. However, continued monitoring and improvement in data collection, reporting and analysis is required to reduce the uncertainty in assessments.”</p> <p>Reference: http://www.iotc.org/science/status-summary-species-tuna-and-tuna-species-under-iotc-mandate-well-other-species-impacted-iotc</p> <p>Referring to the scientific data available with IOTC at the time of application, the YFT (<i>T. albacares</i>) stock in the Indian Ocean was not considered over-fished.</p> <p>SB2014/SBMSY (80% CI): 0.66 (0.58–0.74)</p> <p>More over IOTC states that “if the commission wishes to recover the Stock to levels above the interim target reference points with 50% probability by 2024, the Scientific Committee recommends that catches be reduced by 20% of current (2014) levels.</p> <p>Reference: http://www.iotc.org/science/status-summary-species-tuna-and-tuna-species-under-iotc-mandate-well-other-species-impacted-iotc</p> <p>(From the month of July to Nov 2015, the total export for <i>T. albacares</i> is 79,884 Kg. Since the exported quantity is very less, the effect on stock status is not significant by VS Seafood.)</p> |

| | | | | | |
|--|--|--|--|--|---|
| | | | | | <p>As per the last scientific data available for <i>X. gladius</i>, can be concluded that has not been overfished.</p> <p>SB2013/SBMSY (80% CI): 3.10 (2.44–3.75)</p> <p>Further to given current stock, IOTC states that “if catch remains below the estimated MSY levels, then immediate management measures to reduce catch are not required. However, continued monitoring and improvement in data collection and reporting are required to reduce the uncertainty in assessments.”</p> <p>Reference: http://www.iotc.org/science/status-summary-species-tuna-and-tuna-species-under-iotc-mandate-well-other-species-impacted-iotc</p> |
|--|--|--|--|--|---|

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. The Auditor must provide proof on the conclusion regarding the status of the stock including clear references to documents and websites.

2 – ECOSYSTEM IMPACT CRITERIA

| No. | Requirement | Level | Reference quantity parameters | Y/N | Comments |
|-----|--|-----------|---|-----|--|
| 2.1 | The fleet does not operate in protected areas. | Essential | Verify according to VMS and plotters tracking the observance of the Marine Protected Areas as per World database www.mpaglobal.net | Y | Observed vessels were equipped with VMS and monitored by government authorities. |

The Auditor, through random sampling, using the Satellite Control System on the boats or valid alternative evidence, must be able to verify that the fishing does not occur in Protected Marine Areas (PMA). Alternatively an official declaration that the fishing is not carried out in Protected Marine Areas must be provided by the Control Authorities. The Auditor must provide a list of Protected Marine Areas (refer to www.mpaglobal.org)

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| 2.2 | The role of the stock in the food chain was taken into account. (Cfr. Art. 31.2 of FAO guidelines 2009) | Recommendation | The following Fundamental parameters must be known: - Biology of the species - Nutrition and predators Such parameters must be taken into account when evaluating the status of the stock. | Y | Organization use updated scientific records by National aquatic resources agency. |
|-----|--|----------------|---|---|---|

The Auditor must collect all the studies available and must ask the organisation if correlated studies have been carried out. If no study has been carried out yet, the Auditor must suggest starting on within 12 months in their report.

3– SELECTIVITY

| No. | Requirement | Level | Reference quantity parameters | Y/N | Comments |
|-----|-------------|-------|-------------------------------|-----|----------|
|-----|-------------|-------|-------------------------------|-----|----------|

| | | | | | |
|-----|--|-----------|--|---|--|
| 3.1 | Accidental catches shouldn't be included in the IUCN red list of the endangered species (assessment carried out not more than 10 years before and classified in the category Vulnerable or High Risk). | Important | Studies of the relevant bodies on accidental catches must be available. These studies should not include the presence of dying out species in the list www.redlist.org classified as Vulnerable or worse. Relevant presence means over 0.25% of total catches. | Y | Interviewed skipper informed that accidental catches have been released to the sea at the time of the catch. Caught accidental catches are not classified under red-list. |
|-----|--|-----------|--|---|--|

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.

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| 3.2 | In case the accidental catch (young individuals or undesired species) is over 8% in weight, the fleet must be withdrawn from the fishing zone. | Essential | Verify the existence of relative procedure. Verify the logbook and evidence of on board observers. Verify during unload operation a maximum of 8% of young individuals and undesired species. | Y | As per the interviewed skipper said that fishing site will be withdrawn in case the discard is higher than 8%. Also mentioning on the log book about the site. |
|-----|--|-----------|---|---|--|

The Auditor must obtain a copy of the relevant procedure. The document must include reference to size and maturity of the targeted species in the fishing zone and, if any, minimum dimensions required by law. The on-board inspector must provide evidence of the conformity with these provisions.

4 – LEGALE CONFORMITY

| No. | Requirement | Level | Reference quantity parameters | Y/N | Comments |
|-----|--|-----------|---|-----|---|
| 4.1 | All fishing boats must be officially registered. | Essential | Boat registration and fishing license inspection. | Y | License and registration form witnessed from the audited vessels. |

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)

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|------------|--|-----------|--|---|---|
| 4.2 | The fleet does not include boats with a flag of convenience. | Essential | Verify that the boat is not registered to another Nation identified as Flag of Convenience (http://www.itfseafarers.org/foc-registries.cfm) In case it is registered to another FOC Nation the Organisation still must comply with the Social Accountability requirements of Friend of the Sea (8) | Y | Observed vessels are registered under Sri Lankan government. |
|------------|--|-----------|--|---|---|

The Auditor must verify according to the website <http://www.itfseafarers.org/foc-registries.cfm>.

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|------------|---|-----------|---|---|--|
| 4.3 | The fleet does not include INN (illegal, non-declared, non-regulated) fishing boats and does not operate in areas where regulations and management programs are seriously eluded. | Essential | The boat cannot be included in the list http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:350:0038:0043:EN:PDF | Y | Approved vessel list is updating by fisheries department and available. |
|------------|---|-----------|---|---|--|

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>

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| 4.4 | The fleet must be "Dolphin Safe" approved by the Earth Island Institute. | Essential | The organisation must be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphinsafetuna.org | Y | Organization has approved by the Earth Island Institute. |
|------------|--|-----------|--|---|---|

The Auditor must verify the conformity on the list www.dolphinsafetuna.org

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|--------------|---|-----------|---|---|--|
| 4.5 | The fishing company complies with national and international regulations, especially those concerning the reduction of the environmental footprint of fishing, such as, but not only: | Essential | The national regulation is available on the website http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators. | Y | Organization complies with national regulation stated in the act, therefore organization has the license and registration. |
| 4.5.1 | TCA (Total catching allowed) | Essential | The national regulation is available on the website http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify | Y | TCA regulated by fisheries department by allowing licensing. There is a quota system for providing license to vessels. |

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| | | | applicable indicators. | | |
| 4.5.2 | use of a logbook | Essential | The national regulation is available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators. | Y | National regulation in places for the use of log book and factory strict on log book records when receiving the fish to the factory. |
| 4.5.3 | size of mesh | Essential | The national regulation is available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators. | N/A | |
| 4.5.4 | size of the net | Essential | The national is available on the website | N/A | |
| 4.5.5 | Minimum size | Essential | The national legislation is available on the FAO website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators. | Y | Yellow fin tuna- 25 kg Big eye Tuna – 25 kg Sword fish – 20 kg |
| 4.5.6 | Distance from the coast | Essential | The national regulation is available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators. | Y | Approximatly 400 km to 450 km from the Sri Lanka coast line. |
| 4.5.7 | Measures for the reduction of accidental catching | Essential | The national regulation is available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators. | Y | Uses long line with deep around 20 meters and specific baits to reduction of accidental catches and limit to specific catch. |
| 4.5.8 | no fishing in protected habitats | Essential | The national regulation is available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must | Y | Skippers were instructed to fish in allowed areas and given traning for avoiding protected habitats. |

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|-------|---|-----------|--|---|--|
| | | | specify applicable indicators. | | |
| 4.5.9 | inspection of the on-board equipment and absence of forbidden devices and fishing methods, chemical substances and explosives | Essential | The national regulation is available on the website FAO http://www.fao.org/fishery/countryprofiles/search/en . The Auditor must specify applicable indicators | Y | At the time of the boat inspection forbidden devices and banned fishing materials not found in the boat. Fish factory carries out random boat inspections annually. |

The Auditor must verify, according to national and international regulations, if 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 | Reference quantity 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 | Fishing company and their vessels are registered under department of fisheries & aquatic resources. License re-new annually. |
| 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 "stock in question" and safeguard the marine environment. | Important | Procedure and evidence of conformity. | Y | NARA and Department of fisheries and aquatic resources looking into those matters and taking necessary approaches. |
| The Auditor must verify if the Country the flag of the fishing company refers to has ratified the 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 | The processing facility and exporting organization have obtained the license under department of fisheries & aquatic resources. So NARA has full authority to monitor, surveillance, control and enforcement. |
| The Auditor must describe briefly the monitoring, surveillance, control, and application methods.. | | | | | |
| 5.4 | The fishing company must adopt a responsible recording method of accidental catching. | Essential | Procedure and evidence of recording during at least one fishing trip. | Y | In fishery by-catch is recorded in a log book. A copy of the log book is taking while fish receiving to the factory. |
| 5.5 | The fishing company must adopt a responsible recording method of discarded fish (young individuals or undesired species). | Essential | Procedure and evidence of conformity | Y | There is discard reporting system. |
| 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 implemented. | Essential | Procedure and evidence of conformity.. | Y | Training and instructions given to fishermen in order to prevent incidental by-catch of endangered species. |
| 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 | As per the instruction and training given to the fishermen, endangered species are not taking in to the boat. |
| 5.8 | The fleet is equipped with measures to minimize losses and guarantees a quick | Essential | Procedure and evidence of | Y | No evidence of such loss of the fishing gear at the sea and boat |

| | | | | | |
|---|--|-----------|---|-----|---|
| | retrieval, where possible, of the fishing device to avoid "ghost fishing". | | conformity. | | owners have been given necessary actions. (They can find the lost fishing gear by the system in boat) |
| 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 reports the compliance with the Friend of the Sea criteria, upon request of the latter. | Important | Documental evidence of employment. At least one monthly report of the on-board inspector. | N/A | |
| 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 | Company is respecting the quota or indication given by the local authority. |
| 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 | Reference quantity parameters | Y/N | Comments |
|---|---|------------------|---------------------------------------|-----|--|
| 6.1 | The fishing company recycles, re-uses or re-processes all materials used during fishing, conservation and transport of the fish up to the selling point, including packaging. | Essential | Procedure and evidence of conformity. | Y | Company re-uses materials using during the fishing and recycles materials which could not be re-used. |
| 6.2 | The fishing company implements measures to prevent dispersion of waste in the sea (including fuels and lubricants and plastic matter). | Essential | Procedure evidence of conformity. | Y | Fishing vessels remove waste to the waste collection centre at harbor. Factory hand over solid waste to municipal council and liquid wastes are treated before disposing. |
| 6.3 | The fishing company utilises all the chemical non-toxic alternatives available in order to reduce the use of toxic, persistent or bio-accumulating substances. | Essential | Procedure evidence of conformity. | Y | Fishery is using only food grade and non – toxic chemicals. |
| 6.4 | The company does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion. | Essential | Procedure evidence of conformity. | Y | Fishing vessels use only ice for cooling. At processing facility uses R-22A for cooling machines. |
| The Auditor must provide procedures complete with photographic evidence. | | | | | |

7 – ENERGY MANAGEMENT

| No | Requirement | Level | Reference quantity parameters | Y/N | Comments |
|------------|--|------------------|--|-----|---|
| 7.1 | The Organisation must keep a register of the energy consumption, updated at least once a year. | Essential | The at least yearly frequency of the energy consumption records must be included in the procedure. The register must state at | Y | Fuel generated electricity is using for production process. Fuel and energy consumption record has been maintained. |

| | | | | | |
|--|--|-----------------------|---|----------|---|
| | | | least the following parameters: 1.incoming energy sources 2.energy consumption values and 3. consumption per production phase and 4.per product unit. | | |
| 7.2 | The Organisation should calculate its Carbon Footprint per product unit and undertake to reduce it every year. | Recommendation | | N | Carbon footprint per unit has not been calculated. |
| The Auditor must request copies of the registers. | | | | | |

8 – SOCIAL ACCOUNTABILITY

| No. | Requirement | Level | Reference quantity parameters | Y/N | Comments |
|-------|--|------------------|---|----------|---|
| 8.1 | The Organisation must respect human rights, complying with the following requirements: | | | | |
| 8.1.1 | comply with national regulations and ILO on child labour | Essential | Refer to ILO: http://www.ilo.org/global/standards/introduction-to-international-labour-standards/language--en/index.htm | Y | Factory complies with national regulations and Child labor wasn't observed in the time of the audit. |

| | | | | | |
|-------|---|------------------|---|----------|---|
| 8.1.2 | pay the workers 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 | Salaries higher than the minimum legal limits. |
| 8.1.3 | grant their workers access to healthcare | Essential | | Y | First aid boxes and medical supplies are properly placed. Medical room is well maintained and a doctor is assigned for treatments. |

| | | | | | |
|---|---|----------------|--|---|---|
| 8.1.4 | apply the safety measures required by the law | Essential | | Y | Safety measures at the processing facility have been taken according to legal requirements. |
| 8.2 | The organisation should be SA8000 certified. | Recommendation | | N | Organization follows the rules of social accountability, but not yet certified for SA 8000. |
| The Auditor must verify the compliance with the requirements through documental evidence (work-contract samples) and on-site observation. | | | | | |

Further comments:

At time of application the YF stock in the Indian Ocean was NOT considered overexploited.

Considering the IOTC 2015 Stock Status assessment concluding that Yellowfin tuna stock is overexploited, FOS certification of YF from the Indian Ocean will be valid only for products fished until 31st of December 2016.

YF caught after the 31st of December 2016 will be certified FOS only in case the IOTC will confirm full compliance of the Indian Ocean fishery (or single fleets covered by FOS certification) with its advice (20% reduction of 2014 catch levels) and / or Biomass returning within Bmsy.

CONCLUSION:

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**

The Auditor found the following non-conformities:

MAJOR NON-CONFORMITIES (to be conformed within 3 months)

N/A

MINOR NON-CONFORMITIES (to be reported within 3 weeks and confirmed within 1 year)

N/A

RECOMMENDATIONS (to be communicated within the next inspection)

7.2 The Organisation should calculate its Carbon Footprint per product unit and undertake to reduce it every year.

8.2 The organisation should be SA8000-certified.



Vessel Audit at Dikowita Harbor



Vessels registration number



Fish unloading



Fish unloading



Weight check



Weight check



Weight check



Vessels registration number



Fish unloading



Fish unloading



Weight check



Weight check

End of the report.

