

Certification Components	PRESENT	SOMEWHAT PRESENT	ABSENT	Evidence	Recommendations
Prospective Accountability					
1. Development (Standard-setting)					
1.1 Standard creation <i>NB: To ensure this review reflects the recent efforts of the standard-holder, the most recently completed standard created was used - the Feed Standard (we also note that the ASC requested the Feed Standard to be used).</i>					
Procedural Transparency					
Civil Society stakeholder representation in standard development (e.g. St. Comm, round tables, working groups, etc)	1			Steering Committee - Feed Standard development. 10 industry and 4 non-industry. See: https://www.asc-aqua.org/what-we-do/about-us/governance/	
Public standard development process document for new standards	1			ASC Standard Setting Procedure: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf	
Public Terms of Reference and outline of process	1			Outline of process available at: https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/new-feed/ ToR available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ToR-Feed_v.1.1_website.pdf	
Public comment period(s)	1			30-60 days. Feed standard had 2 rounds of public consultations, which lasted at least 60 days in 2015 and 2017.	
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)	1			Meeting minutes, white papers, general stakeholder consultation document.	
Outcome Transparency					
Public standard	TBD			TBD (n.b. TBD as this process is yet to occur or the outcome is yet to be published, but expected) The standard is still being finalised https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/new-farm-standards/	
Public documentation of received comments	1			1st consultation: https://www.asc-aqua.org/wp-content/uploads/2017/07/Feedback-Form_Public-Consultation-1_FINAL-.xlsx 2nd consultation: https://www.asc-aqua.org/wp-content/uploads/2017/06/Feedback_Public-Consultation_2_Final.xlsx	
Public documentation of the response to comments received, or of the consideration given to comments received			1	No ASC responses given. Note that another new standard, flatfish, ASC did provide responses. Inconsistent.	Ensure stakeholders comments are made public with a response. Stakeholders should be able to see how consideration was given, or not, to comments submitted. This enables a transparent decision-making process with rationale for how input influenced the outcome.
1.2 Standard revisions <i>NB: To ensure this review reflects the recent efforts of the standard-holder, the most recently completed salmon standard revision was used - Parasiticide Treatment Index (PTI) revision.</i>					
Procedural Transparency					
Civil society stakeholder representation in revision development (e.g. St. Comm, round tables, working groups, etc)	1			PTI Technical Working Group: 3 industry; 2 academia; and 2 civil society. Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/Salmon-2-PTI-Operational-Review-Consultation-Paper-19-Sept-17.pdf	
Public information on how revisions are triggered (e.g. scheduled vs responsive).	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Standard-Setting-Procedure_v.1.0_including-forms.pdf 8.1.9 details when early revisions may occur.	
Public timeline of current and upcoming revisions	1			Available at: https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/ and https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/timelines/	
Public Terms of Reference inc. timeline; the revision goals; outline of stakeholder opportunities; the decision making process.	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/TOR-Operational-Review_June2016.pdf	
Public comment period(s)	1			30-45 days (PTI) https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/review-salmon-pti/	
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)	1			Consultation documents available at: https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/timelines/ For example: https://www.asc-aqua.org/wp-content/uploads/2017/07/Salmon-2-PTI-Operational-Review-Consultation-Paper-19-Sept-17.pdf	

Outcome Transparency				
Public revised standard	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2019/12/ASC-Salmon-Standard_v1.3_Final.pdf
Public documentation of received comments	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2017/11/Combined-feedback-PTI-consultation-2017.pdf
Public documentation of the response to comments received, or of the consideration given to comments received			1	No ASC responses given. Responses were provided in other projects such as the Alignment Standard. Inconsistent whether responses are given across the program.
Ensure stakeholders comments are made public with a response. Stakeholders should be able to see how consideration was given, or not, to comments submitted. This enables a transparent decision-making process with rationale for how input influenced the outcome.				
1.3 Interpretations / variances				
Procedural Transparency				
Civil society stakeholder representation in interpretation development (e.g. St. Comm, round tables, working groups, etc)	1			The VR committee: Standards Director, Chair of Technical Advisory Group, Chair of Supervisory Board and ASC CEO
Public outline of process	1			Within the CAR: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_track-changes.pdf
Public comment period(s)	1			From December 15 2020, local stakeholders will be consulted on variances that change standard requirements: https://www.asc-aqua.org/news/latest-news/new-variance-request-process-increasing-stakeholder-input-goes-live/
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)	1			Certification bodies submit rationale and relevant data, etc on behalf of the client. Example: https://asc-portal.force.com/interpret/s/article/VR389-Salmon-V1-3-2-5-1
Outcome Transparency				
Public interpretations / variances	1			Available at: https://www.asc-aqua.org/what-you-can-do/get-certified/variance-request-interpretation-platform/
Public documentation of received comments	TBD			(n.b. TBD as this process is yet to occur or the outcome is yet to be published, but expected)
Public documentation of the response to comments received, or of the consideration given to comments received	TBD			(n.b. TBD as this process is yet to occur or the outcome is yet to be published, but expected)
Ensure stakeholders comments are made public with a response. Stakeholders should be able to see how consideration was given, or not, to comments submitted. This enables a transparent decision-making process with rationale for how input influenced the outcome.				
1.4 Program rules (e.g. auditing, non-compliance, suspension, etc.)				
Procedural Transparency				
Civil society stakeholder representation in program rules development (e.g. St. Comm, round tables, working groups, etc)	1			TAG and SB see 2.1
Public outline of process	1			Available at: https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/car-review/
Public comment period(s)	1			60 days https://www.asc-aqua.org/what-we-do/our-standards/new-standards-and-reviews/op-reviews/car-review/
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2019/03/Draft-ASC-Social-Auditing-Methodology-Narrative-Draft-2019.pdf
Outcome Transparency				
Public program rules	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Certification-and-Accreditation-Requirements-v.2.1_including-multi-site_track-changes.pdf
Public documentation of received comments	1			Yes, but not attributed: https://www.asc-aqua.org/wp-content/uploads/2020/08/SAM-public-consultation-and-feedback-overview-August-2020-merged-2.pdf
Public documentation of the response to comments received, or of the consideration given to comments received			1	No response to comments received found. ASC states that the summary will be updated with how feedback was taken into account once governance processes have been actioned.
Ensure stakeholders comments are made public with a response. Stakeholders should be able to see how consideration was given, or not, to comments submitted. This enables a transparent decision-making process with rationale for how input influenced the outcome.				
2. Governance (Decision-making)				

2.1 Governance structure				
Procedural Transparency				
Public information on structure	1			Supervisory Board (SB): 4 industry; 4 non-industry Technical Advisory Group (TAG): 2 industry; 2 non-industry; 8 academia Available at: https://www.asc-aqua.org/about-us/governance/
Public outline of nomination and selection process.	1			Available at: https://www.asc-aqua.org/wp-content/uploads/2017/06/var_www_asc2010_upload_20110421_Regulations_SB_posted_on_website.pdf Also: https://www.asc-aqua.org/wp-content/uploads/2017/06/var_www_asc2010_upload_20110421_Regulations_EB_posted_on_website.pdf
Published conflict of interest policy; published annual report on application of conflict of interest policy		1		ASC states a conflict of interest policy for the TAG has been recently approved, but as of yet has not been published. ASC plans to develop a conflict of interest procedure for the SB; a COI protocol for the board exists within the deed and regulations. Annual reports are published. Example of 2017 annual report: https://www.asc-aqua.org/wp-content/uploads/2019/12/ASC-Combined-Accounts-31.12.2017-1.pdf
Public outline of decision-making protocols	1			Absolute majority. Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/100407-Deed-Stichting-ASC-Foundation-English-translation.pdf
Publicly available contact information for unsolicited input		1		No contact information, however, their names and affiliations are public on ASC website: https://www.asc-aqua.org/what-we-do/about-us/governance/
Outcome Transparency				
Inclusive NGO/Civil society representation	1			SB: 4 industry; 4 non-industry TAG: 2 industry; 2 non-industry; 8 academia
Publicly available meeting notes		1		EB Regulations states "SB meeting agendas and summary of decisions" to be posted on ASC website. However, this have not been posted. TAG meetings available from 2010-2016 only. Summaries are being prepared for post 2016 but are yet to be uploaded to the ASC website. ASC states they have been carrying out a legal restructure for the past three years and are expecting to rewrite of the Executive Board regulations during 2021 which may or may not change wheter meeting notes are made public.
Publicly available performance review of governance body		1		The SB Regulations state: "Once a year a Supervisory Board meeting will be held which will evaluate the functioning of the Supervisory Board and the Executive Board and the relationship between the Supervisory Board and the Executive Board.The Supervisory Board will also prepare its own annual report setting out how the Supervisory Board has discharged its supervisory responsibilities. This report will be posted on the ASC web site. (See Article 11)". ASC states they meet this regulation via their Combined Accounts reports, in particular under Achievement and Performance of the report. This section discuss the program's achievements and performance overall - not the governance body.
3. Verification (Auditing)				
3.1 Farm audits				
Procedural Transparency				
Public information on auditing process	1			Available at: https://www.asc-aqua.org/what-you-can-do/get-certified/farms/ and the Certification Accreditation Requirements (CAR): https://www.asc-aqua.org/wp-content/uploads/2019/04/ASC-CAR-v.2.2_including-Group-Certification-April-2019.pdf
Stakeholder notification and invitation to consult on audits	1			Stakeholder notification is a requirement within the CAR. Audit announcements, public draft reports are made public on the ASC website by: https://www.asc-aqua.org/find-a-farm/ ASC is working on sign up function on their website where stakeholders will be able to be automatically notified of audits. In the meantime, stakeholders can request to be manually added to this notification system.

Public reporting of upcoming audits	1		Upcoming initial, surveillance, recertification audit announcements are made public at: https://www.asc-aqua.org/find-a-farm/ See example: https://myasc.asc-aqua.org/netapp/FileHandler.ashx?id=8867BA94-0232-4879-B46F-16FF6FEE0FB8
Publicly available draft audit reports	1		Draft initial and recertification audit reports are made public at: https://www.asc-aqua.org/find-a-farm/ See example: https://myasc.asc-aqua.org/netapp/FileHandler.ashx?id=3D4DA874-B061-497B-8C5D-7CC1BB101444
Public comment period(s)	1		15 working days
Public draft audits provide conformance evidence	1		ASC provides certifying bodies with an audit report template which includes requirement to provide conformance evidence. See example: https://myasc.asc-aqua.org/netapp/FileHandler.ashx?id=3D4DA874-B061-497B-8C5D-7CC1BB101444
Publicly available contact information of certifying body	1		Within audit reports, ASC farm page and listed on the farm's certificate.
Outcome Transparency			
Public list of certified farms	1		Available at: https://www.asc-aqua.org/find-a-farm/
Public list of suspended, withdrawn farms	1		Searchable via "certification status" at: https://www.asc-aqua.org/find-a-farm/ and https://www.asc-aqua.org/what-we-do/programme-assurance/suspended-certificates-and-logo-licensees/
Public list of farms in assessment	1		Available at: https://www.asc-aqua.org/find-a-farm/
Publicly available certificates	1		Available at: https://www.asc-aqua.org/find-a-farm/ For example: https://myasc.asc-aqua.org/netapp/FileHandler.ashx?id=DCA22C38-51A8-4C6A-83D4-BE80BC903939
Publicly available finalized audits	1		Available at: https://www.asc-aqua.org/find-a-farm/ For example: https://myasc.asc-aqua.org/netapp/FileHandler.ashx?id=3D4DA874-B061-497B-8C5D-7CC1BB101444
Public final audits provide conformance evidence	1		ASC provides certifying bodies with an audit report template which includes requirement to provide conformance evidence. See example: https://myasc.asc-aqua.org/netapp/FileHandler.ashx?id=3D4DA874-B061-497B-8C5D-7CC1BB101444
Public documentation of received comments	1		Audit template section 8.5 states "stakeholder submissions, including written or other documented information and CAB written response to each submission at different stages of the certification process".
Public documentation of the response to comments received, or of the consideration given to comments received	1		Audit template section 8.5 states "stakeholder submissions, including written or other documented information and CAB written response to each submission at different stages of the certification process".
Retrospective Accountability			
4. Monitoring (M&E)			
4.1 Monitoring and Evaluation			
Procedural Transparency			
Public Theory of Change available	1		Available at: https://www.asc-aqua.org/what-we-do/how-we-make-a-difference/theory-of-change/
Public Terms of Reference and outline of process	1		Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-ME-programme-01Oct2017.pdf
Public comment period(s)	1		30 days
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)	1		Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-ME-programme-01Oct2017.pdf
Outcome Transparency			
Public M&E results	1		M&E landing page: https://www.asc-aqua.org/what-we-do/how-we-make-a-difference/monitoring-and-evaluation/ M&E report available at: https://www.asc-aqua.org/wp-content/uploads/2020/08/ASC0006-ME-Report-9th-July.pdf

Public documentation of received comments	1		A summary of feedback is available here: https://www.asc-aqua.org/wp-content/uploads/2020/08/Summary-of-ME-Survey-2017.pdf	
Public documentation of the response to comments received, or of the consideration given to comments received		1	The summary provides some insights into how comments were taken into account. Available here: https://www.asc-aqua.org/wp-content/uploads/2020/08/Summary-of-ME-Survey-2017.pdf	Ensure stakeholders comments are made public with a response. Stakeholders should be able to see how consideration was given, or not, to comments submitted. This enables a transparent decision-making process with rationale for how input influenced the outcome.
4.2 Program Assurance				
Procedural Transparency				
Public outline of auditor accreditation process	1		Available at: https://www.asc-aqua.org/what-you-can-do/get-certified/certifier-accreditation/	
Public rules for label use	1		Available at: https://www.asc-aqua.org/wp-content/uploads/2019/12/ASC-Logo-User-Guide_Oct2019_251019_reduced.pdf	
Outcome Transparency				
Public list of approved auditors	1		Available at: https://www.asi-assurance.org/s/find-a-cab	
Public accreditation reports of auditors	1		Assurance Services International (ASI) provides a summary of accreditation details including when a CAB suspended, etc. For example: https://www.asi-assurance.org/s/cab/a101H000005ej4bUAA/scs-asc-20192024	
Public list of breaches of label use	1		Available at: https://www.asc-aqua.org/what-we-do/programme-assurance/suspended-certificates-and-logo-licensees/	
5. Dispute Settlement				
5.1 Certification process disputes				
Procedural Transparency				
Public outline of certification objection procedure	1		Available at: https://www.asc-aqua.org/what-you-can-do/participate/provide-input/	
Publicly available contact for objections to certifications	1		Available at: https://www.asi-assurance.org/s/disputes	
Outcome Transparency				
Procedurally fair independent third-party dispute resolution mechanism	1		ASI addresses disputes regarding certificate holders and certifying bodies: https://www.asi-assurance.org/s/complaints	
Public reporting of complaints investigation and resolution	1		Complaint investigation summary reports made public via the ASI website. For example: https://www.asi-assurance.org/sfc/servlet.shepherd/version/download/0681H000003kcjdQAA	
Public evidence of corrective actions (e.g. auditor NCs, withdrawing cert.)	1		Complaint investigation summary reports include an necessary corrective actions against the certifying body.	
5.2 Standard holder disputes				
Procedural Transparency				
Public outline of complaint procedure	1		Available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Complaints-Procedure_V1.0-1.pdf The ASC has also a Whistle Blowing Policy (referred to in the Complaints Procedure) available at: https://www.asc-aqua.org/wp-content/uploads/2017/07/ASC-Whistle-blower-Policy_v1.0_FINAL_20120927.pdf	
Publicly available contact for complaints regarding standard holder	1		Available at: https://www.asc-aqua.org/what-you-can-do/participate/provide-input/	
Outcome Transparency				

Procedurally fair independent third-party dispute resolution mechanism		1	<p>TBD during the complaint process (n.b. TBD as this process is yet to occur or the outcome is yet to be published, but expected). The complaints procedure states the following members are involved in the complaint panel (9.2.1): "4.1.1.1 The ASC's Ombudsman as established in the ASC's Whistle Blowing Policy; 4.1.1.2 An investigator; and, 4.1.1.3 <u>Depending on the nature of the complaint</u>, such as a complaint giving rise to a conflict of interest, the Complaints Panel shall appoint a member independent of the ASC." and 7.1.2 states that the ASC will "commission a suitable (or investigators if necessary) to review and resolve the complaint. These investigators <u>may be ASC operational employees, members of the ASC's governance or associated working groups, or external experts ...</u>" [emphasis added]. Ombudsman is a supervisory board member.</p>	<p>Ensure investigator is independent and third-party (or at least a member independent from the ASC) . Adopt a fully third-party dispute settlement mechanism. Internal and external stakeholders should be able dispute and submit complaints that are investigated through a fair independent third-party mechanism to ensure conflict of interest is removed.</p>
Public reporting of complaints investigation and resolution	TBD		<p>TBD (n.b. TBD as this process is yet to occur or the outcome is yet to be published, but expected). None that could be found, however, the EB Regulations state "j.Disputes, their status, and resolution" to be posted on the ASC website. ASC states no formal complaints per the ASC complaint procedure have been received.</p>	<p>Ensure EB Regulations are being followed which requires certain documents to be made public, including publicly available disputes, status and resolution.</p>
Public evidence of corrective actions (e.g. auditor NCs, withdrawing cert.)	TBD		<p>TBD (n.b. TBD as this process is yet to occur or the outcome is yet to be published, but expected). None that could be found, however, the EB Regulations state "j.Disputes, their status, and resolution" to be posted on the ASC website. ASC states no formal complaints per the ASC complaint procedure have been received.</p>	