

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 Seafood Processing Standard.</i>					
Procedural Transparency					
Civil Society stakeholder representation in standard development (e.g. St. Comm, round tables, working groups, etc)	1			The Standards Oversight Committee (SOC): one-third conservation, one-third academia, and one-third industry. 4 reps from regional industry associations from around the world; 4 conservation or social justice NGO; 4 academia, regulatory or policy groups.	
Public standard development process document for new standards	1			Available at: https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Documents-Issue-2.1-28-April-2017.pdf	
Public Terms of Reference and outline of process			1	The public consultation blog outlines the process, dates with links to draft standard and feedback form https://bapcertification.org/blog/public-comment-sought-on-new-bap-farm-standard/ However, no public Terms of Reference could be found or provided that details the following: standard scope, geographic application, standard justification, objectives/outcomes the standard revision sets to achieve (ISEAL/GSSI requirements for ToR).	Expand the Terms of Reference to include standard scope, geographic application, standard justification, objectives/outcomes of the new standard.
Public comment period(s)	1			1 public comment period for 60 days	
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)			1	Announcement page has a summary, but no detailed consultation documentation is provided. Further information is available if requested directly from BAP. Example for farmed standard was provided.	Provide further consultation documentation including rationale, relevant data and studies.
Outcome Transparency					
Public standard	1			The farm standard is still being finalized. However, all other BAP standards are public. Available at: https://www.bapcertification.org/Standards	
Public documentation of received comments	1			Comments and responses are posted at: https://www.bapcertification.org/Standards For example, the Seafood Processing Standard public comments: https://www.bapcertification.org/Downloadables/pdf/standards/GAA%20Public%20Comment%20Response_14August2019.pdf	
Public documentation of the response to comments received, or of the consideration given to comments received	1			Responses provide by the committee, for example: https://www.bapcertification.org/Downloadables/pdf/standards/GAA%20Public%20Comment%20Response_14August2019.pdf	
1.2 Standard revisions <i>NB: To ensure this review reflects the recent efforts of the standard-holder, the most recently completed salmon farm standard issue 2 revision was used.</i>					
Procedural Transparency					
Civil society stakeholder representation in revision development (e.g. St. Comm, round tables, working groups, etc)	1			The Technical Committee is 4 industry; 4 conservation/social justice and 4 academia	
Public information on how revisions are triggered (e.g. scheduled vs responsive).	1			The TC works with SOC to review the BAP standards on an annual basis with revisions scheduled at least every 4 years. Available at: https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Documents-Issue-2.1-28-April-2017.pdf	
Public timeline of current and upcoming revisions	1			Available at: https://bapcertification.org/Standards/StandardsDevelopment https://bapcertification.org/Downloadables/pdf/standards/Standards%20work%20schedule%20July%202020.pdf	
Public Terms of Reference inc. timeline; the revision goals; outline of stakeholder opportunities; the decision making process.			1	The public consultation blog outlines the process, dates with links to draft standard and feedback form https://bapcertification.org/blog/public-comment-sought-on-new-bap-farm-standard/ However, no public Terms of Reference could be found or provided that details the following: standard scope, geographic application, standard justification, objectives/outcomes the standard revision sets to achieve (ISEAL/GSSI requirements for ToR).	Incorporate a Terms of Reference that includes standard scope, geographic application, standard justification, objectives/outcomes of the new standard.

Public comment period(s)				The BAP Standards Development document (2017) states that for new standards and revisions a public comment period for 60 days is conducted. Prior to this document, no public comment period was conducted for the Salmon Farm Standard Issue 2 revision (2016).	Ensure all revisions are subjected to a public consultation.
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)				Announcement page has a summary, but no detailed consultation documentation is provided. Further information is available if requested directly from BAP. 1 Example for farmed standard was provided.	Provide further consultation documentation including rationale, relevant data and studies.
Outcome Transparency					
Public revised standard		1		Available at: https://www.bapcertification.org/Standards_Salmon_Farm_Standard : https://www.bapcertification.org/Downloadables/pdf/standards/PI%20-%20Standard%20-%20Salmon%20Farms%20-%20Issue%202.3%20-%202013-October-2016.pdf	
Public documentation of received comments				Public comments are available for the initial (2011) BAP Salmon Farm Standard: https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf However, no public consultation on the Salmon Farm Standard revisions have occurred. No revision comments.	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.
Public documentation of the response to comments received, or of the consideration given to comments received				Public comments are available for the initial (2011) BAP Salmon Farm Standard: https://www.bapcertification.org/Downloadables/pdf/bap-salmonf-com.pdf However, no public consultation on the Salmon Farm Standard revisions have occurred. No revision comments.	
1.3 Interpretations / variances					
Procedural Transparency					
Civil society stakeholder representation in interpretation development (e.g. St. Comm, round tables, working groups, etc)				NA. No evidence that the program has such practice could be found. BAP states they do not implement amendments, vaiances or interpretations that alter standard or program rule criteria.	
Public outline of process					
Public comment period(s)					
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)					
Outcome Transparency					
Public interpretations / variances					
Public documentation of received comments					
Public documentation of the response to comments received, or of the consideration given to comments received					
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		Revisions approved by SOC. SOC: 4 industry; 4 conservation or social justice NGO; 4 academia, regulatory or policy groups.	
Public outline of process				1 Not for public comment, revisions are done internally.	Make program rules / auditing guidelines available for public consultation.
Public comment period(s)				1 Not for public comment, revisions are done internally. However, stakeholders could submit comments via the "General Comments" form.	
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)				1 Not for public comment, revisions are done internally.	
Outcome Transparency					
Public program rules		1		Available at: https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20BAP%20CB%20Requirements%20Document%20-%20Issue%2014.7%20-%2028-February-2020.pdf	
Public documentation of received comments				1 Not for public comment, revisions are done internally.	
Public documentation of the response to comments received, or of the consideration given to comments received				1 Not for public comment, revisions are done internally.	
2. Governance (Decision-making)					
2.1 Governance structure					
Procedural Transparency					
Public information on structure		1		Available at: https://www.aquaculturealliance.org/wp-content/uploads/2020/02/GAA-2019-Annual-Report.pdf	

Public outline of nomination and selection process.	1		Standards Oversight Committee recruitment process available in the process document: https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Documents/Issue-2.1-28-April-2017.pdf Invitation on the website for membership vacancies and where to send nominations: https://www.bapcertification.org/Standards	
Published conflict of interest policy; published annual report on application of conflict of interest policy			1 Yes, but not public. Available on request.	
Public outline of decision-making protocols	1		Available at: https://www.bapcertification.org/Downloadables/pdf/BAP-Process-Documents/Issue-2.1-28-April-2017.pdf	
Publicly available contact information for unsolicited input	1		SOC members and affiliations are listed: https://www.bapcertification.org/Standards . The page states: Outside of defined public comment periods, interested parties may submit comments to any member of the Standards Oversight Committee for consideration. Contact of Standards Coordinator is listed on the webpage.	
Outcome Transparency				
Inclusive NGO/Civil society representation	1		SOC: 4 industry;4 conservation or social justice NGO; 4 academia, regulatory or policy groups.	
Publicly available meeting notes			1 SOC minutes are not published. Summaries are available on request.	Publish meeting notes / summaries.
Publicly available performance review of governance body			1 The BAP program conducts an internal audit which includes SOC-related matters. These are not made public, but are made available to benchmarking bodies (GFSI and GSSI)	
3. Verification (Auditing)				
3.1 Farm audits				
Procedural Transparency				
Public information on auditing process	1		Available at: https://www.bapcertification.org/WhatWeDo	
Stakeholder notification and invitation to consult on audits			1 Not a requirement. Auditor discretion within 1 criterion. "During facility inspection, the auditor shall verify compliance with this standard through examination of... And interviews with local people and farm workers. The auditor shall select the individuals for interview".	Include stakeholder consultation in the auditing process, including make audits available. Civil society stakeholders are given the opportunity to provide local expertise and knowledge. Publishing audit reports with conformance results will provide assurance to stakeholders.
Public reporting of upcoming audits	1		The list of producers webpage has the following filter options : "Renewals in Process" and "New in Process" Available at: https://www.bapcertification.org/Producers	
Publicly available draft audit reports			1 Draft audits are not made public.	Include stakeholder consultation in the auditing process, including make audits available. Civil society stakeholders are given the opportunity to provide local expertise and knowledge. Publishing audit reports with conformance results will provide assurance to stakeholders.
Public comment period(s)			1 There are no comment periods.	
Public draft audits provide conformance evidence			1 Draft audits are not made public.	
Publicly available contact information of certifying body			1 A stakeholder would need to obtain the certificate from BAP or the certified facility in order to get the certifying body's contact details (i.e., the certificate is not publicly posted).	Publish the certifying body contact details alongside the certified facility / BAP number / certificate.
Outcome Transparency				
Public list of certified farms	1		Available at: https://www.bapcertification.org/Producers	
Public list of suspended, withdrawn farms			1 Suspended or withdrawn farms are not publicly listed. BAP will contact endorses as necessary where a critical issues arises.	Publish suspensions and withdrawals as necessary.
Public list of farms in assessment	1		The list of producers webpage has the following filter options : "Renewals in Process" and "New in Process" Available at: https://www.bapcertification.org/Producers	
Publicly available certificates			1 Certificates are not made public. Websites lists 'BAP no'. The certificate can be requested from the facility, CB or BAP.	Make certificates available, alongside the certifying body details.
Publicly available finalized audits			1 Audit reports are not published. The producer permission is required for the full report to be shared on request. Without the producer's permission a CB can share a summary report (not the full report) on request.	Include stakeholder consultation in the auditing process, including make audits available. Civil society stakeholders are given the opportunity to provide local expertise and knowledge. Publishing audit reports with conformance results will provide assurance to stakeholders.
Public final audits provide conformance evidence			1 Audit reports are not published.	

Public documentation of received comments				1	There are no comment periods.	
Public documentation of the response to comments received, or of the consideration given to comments received				1	There are no comment periods.	
Retrospective Accountability						
4. Monitoring (M&E)						
4.1 Monitoring and Evaluation						
Procedural Transparency						
Public Theory of Change available				1	ToC not found. BAP does have a broad objective.	Develop a Monitoring and Evaluation program. Define the Theory of Change. The M&E process should include stakeholder consultation. Results should help demonstrate to stakeholders the certification's impacts and effectiveness against the ToC.
Public Terms of Reference and outline of process				1	No M&E has been conducted to date.	
Public comment period(s)				1	No M&E has been conducted to date.	
Publicly available consultation documentation (e.g. rationale for proposed, relevant data, studies and information)				1	No M&E has been conducted to date.	
Outcome Transparency						
Public M&E results				1	Impact report expected soon	
Public documentation of received comments				1	No M&E has been conducted to date.	
Public documentation of the response to comments received, or of the consideration given to comments received				1	No M&E has been conducted to date.	
4.2 Program Assurance						
Procedural Transparency						
Public outline of auditor accreditation process		1			Available at: https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20New%20Certification%20Body%20Approval%20Procedure%20-%20Issue%203.4%20-%202013-August-2019.pdf	
Public rules for label use		1			Available at: https://www.bapcertification.org/Downloadables/pdf/BAP%20-%20Policy%20-%20BAP%20Logo%20Use%20Requirements%20-%20Issue%202.3%20-%202010-January-2020.pdf	
Outcome Transparency						
Public list of approved auditors		1			Available at: https://www.bapcertification.org/WhatWeDo/ProgramIntegrity	
Public accreditation reports of auditors				1	Accreditation status is made public, but not the reports.	
Public list of breaches of label use				1	Not made public.	Publish any breaches of label misuse.
5. Dispute Settlement						
5.1 Certification process disputes						
Procedural Transparency						
Public outline of certification objection procedure		1			A Type 2 complaints shall be directed in writing to the CB and within the time frames and format stipulated by the CB. Available at: https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20Complaints%20Appeals%20and%20Disputes%20-%20Issue%202.3%20-%202017-September-2018.pdf	
Publicly available contact for objections to certifications				1	As per the Complaints, Appeals & Disputes document, a Type 2 complaint must be submitted to the CB. However as detailed under 3.1, CB contact details are not publicly available and require a stakeholder to contact either the facility or BAP for the certificate (which then has the CB contact details).	Adopt a 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.
Outcome Transparency						
Procedurally fair independent third-party dispute resolution mechanism				1	Not third-party. Complaint to follow CB complaint process. A full investigation shall be conducted, and a written response by CB independent of the auditor and cert decision maker. Submit investigation report to GAA BAP on completion of investigation. GAA may take action such as suspension, etc. Complaint justified, info given to accreditation body.	
Public reporting of complaints investigation and resolution				1	Are not made public.	
Public evidence of corrective actions (e.g. auditor NCs, withdrawing cert.)				1	Are not made public.	
5.2 Standard holder disputes						

Procedural Transparency					
Public outline of complaint procedure	1			A Type 1 complaint should be submitted in writing to the BAP Program Integrity Manager. Available at: https://www.bapcertification.org/Downloadables/pdf/PI%20-%20Policy%20-%20Complaints%20Appeals%20and%20Disputes%20-%20Issue%202.3%20-%2017September-2018.pdf	Adopt a 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.
Publicly available contact for complaints regarding standard holder	1			BAP address and email provided within the complaint procedure document.	
Outcome Transparency					
Procedurally fair independent third-party dispute resolution mechanism			1	Not third-party. BAP Program Integrity Manager or their designee will be responsible for seeking and managing resolution of the complaint	
Public reporting of complaints investigation and resolution			1	Are not made public.	
Public evidence of corrective actions (e.g. auditor NCs, withdrawing cert.)			1	Are not made public.	