



**ACAP AES Standards**  
**Practical Guidelines for Certification**  
**ACAP AES Sustainability Aquaculture**  
**Catfish**



**ACAP AES Aquaculture**  
**African Catfish**  
**Sustainability and eco-labelling**  
**Requirements (2014)**

**Practical Guidelines for Certification**

**Part I**

**Certification Process: how it Works**



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## Certification objectives

To promote the sustainable use of natural resources and sustainable production.

- To provide threshold criteria for other private and regulatory standards systems in the farmed fish production in Africa

- promote sustainable production and highlight the products of fish farmers who produce in a more sustainable manner to the consumers.

- To act as a market tool which gives buyers and consumers the choice to differentiate and select products that are ecologically friendly produced from products that are conventionally



African catfish (*Clarius gariepinus*)



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**Purpose**

The purpose of the AEM African catfish criteria is to provide a means to measurably improve the environmental and social performance of African catfish aquaculture development and operations.

The standard addresses the economic, environmental and socio-economic impacts of aquaculture, which primarily originate from the production systems and the immediate inputs to production.

Additional considerations: Social impacts related to on-farm and community relations

**Scope**

The AEM African catfish Standard established principles, criteria, indicators and standards to address the negative social issues related to the African catfish aquaculture

**Aquaculture Impacts:**

Environmental contamination, invasive species, change of wild fish biodiversity, genetic pollution, extinction of wild species, habitat alteration and loss

**Application of the standard**

<b>Planning</b>	<b>Development</b>	<b>Operation</b>
<ul style="list-style-type: none"><li>• Site selection</li><li>• Resource use/extraction</li><li>• Asses of environmental, social and cumulative impacts</li></ul>	<ul style="list-style-type: none"><li>• Construction</li><li>• Habitat alteration</li><li>• Access to public areas by other resource users</li></ul>	<ul style="list-style-type: none"><li>• Effluent discharge</li><li>• Working conditions</li><li>• Use of antibiotics and other chemicals</li><li>• Feed composition/use</li></ul>



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## What part of my production process is included in certification?

The AEM African catfish Standard applies to the production of: ***Clarias gariepinus*** and ***Clarias anguillaris***.

*Clarias* can be farmed with Pangasius and Tilapia without problem with **good stocking density**

The certification applies to all productions systems such as cages, ponds and pens

## Operation components

**Aquaculture Inputs:** Feed, Seed, Chemicals, Water, medicines

**Production systems:** ponds, pens and cages

**Processing:** Handling, harvesting, gutting, scaling, filleting, packaging

**Chain of custody:** from production, through processing, export, import, distribution and retail

## What units are available for certification?

⇒ **A specific aquaculture operation**

**A specific aquaculture operation** to be assessed and monitored for compliance with the Standard.

- focus of this Standard is **on production and the immediate inputs to production**- single farm or some other, yet to be defined entity.





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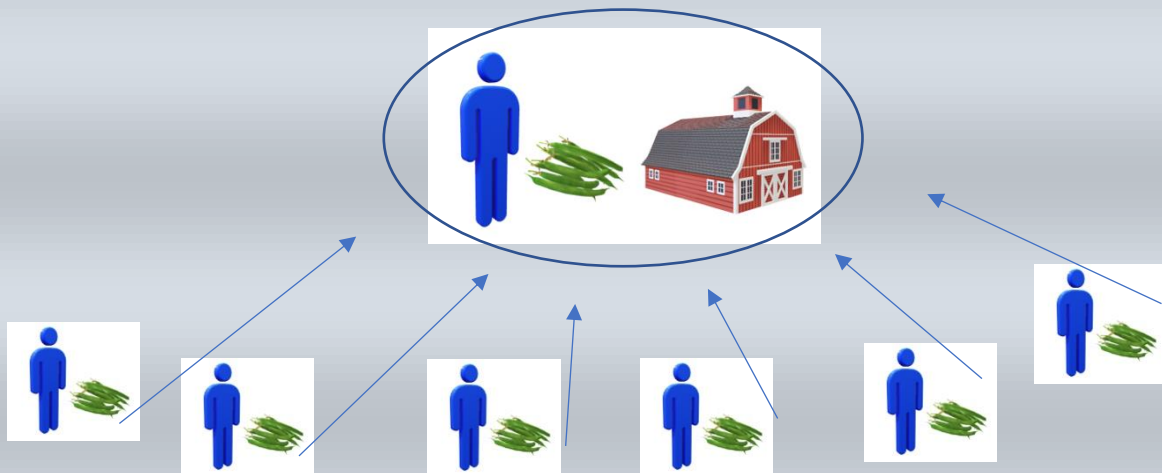


⇒ **A group of operations (Group of Farmers)**

- **a group of operations that**, logically, should be considered collectively, especially in the case of small-scale farms producing the same species and using similar management regimes.

**Conditions**

- close proximity to each other,
- share resources or infrastructure (e.g., water sources or effluent discharge systems),
- share a landscape unit (e.g., a watershed),
- and/or be under the same management.



**Certification criterion for environmental integrity**

- ✓ It should identify, manage and mitigate catfish impacts on the environment to an acceptable level.
- ✓ Risk analysis should be taken into account, including reference points and remedial actions if reference points are approached.



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✓ Consider 'Polluter pays' principle as prescribed by national and international laws.

Should encourage restoration of habitats and sites damaged by



application of the "precautionary approach



Abandoned fish ponds in Kenya



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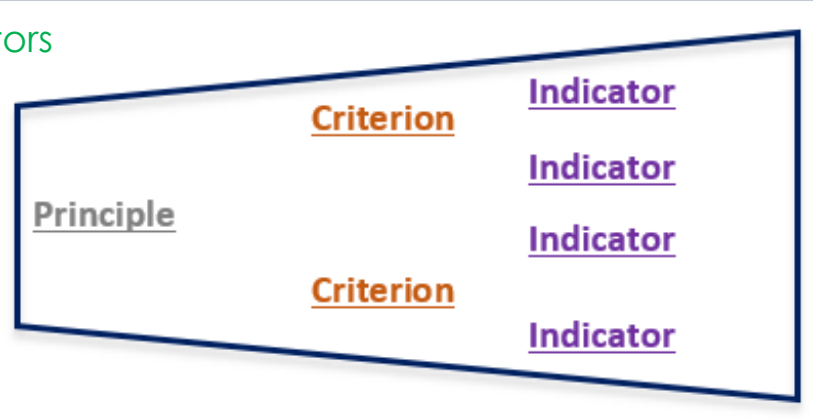


**What are the processes and requirements for developing the Sustainable Aquaculture Standard?**

There are 7 principle for *Clarias Gariepinus* and *Clarias Angularis* as well as the other farmed species that were developed under the same line to prepare standards for the African scenario.

- Principle 1:** Legal compliance
- Principle 2:** Land and water use
- Principle 3:** Water pollution and waste management
- Principle 4:** Genetics
- Principle 5:** Feed management
- Principle 6:** Health management, veterinary medicines and chemicals
- Principle 7:** Social responsibility and user conflict

The Standard Zooms in detail of specific  
 Criteria and Indicators





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### What areas related to the Farm's production and activities are involved?

- ⇒ Areas destined for aquaculture production of products intended to be certified.
- ⇒ Areas involving human activity and other infrastructure within the farm limits, including administrative infrastructure, collection points, processing and packing units and storage facilities. Leased areas inside the operation.
- ⇒ High Conservation Value (HCV) areas, forests and other natural ecosystems, as well as fallow land.
- ⇒ Personnel, including all contracted and subcontracted workers, supervisory and administrative staff, and management and owner representatives.
- ⇒ People who live temporarily or permanently on the Farm's site.
- ⇒ All documentation relating to social, agronomic and environmental management and considered relevant to determining compliance with the Standard.
- ⇒ Documentation related to trading of the certified and non-certified product handled by the farm.
- ⇒ Surrounding communities that may be directly affected by the farm's activities.





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## When is the right time to receive an audit for certification?

- The best practice is to plan the audit when the higher quantity of information and documents is available with regard to the latest production cycle
- All the products must be present on-site and at least one product representing a “family”

### 1. Initial Verification Certification - FISH:

- Production cycle is completed and harvest is in place the day of verification.
- Harvest can be assessed on at least one fish product representative of the following products: **Whole fish, fish value added products, fish by-products, fingerlings, broodstock.**
- If post-harvest activity is included in the scope of certification, it must be in place the day of verification.

### 2. Initial Verification Certification: PROCESSING

- Life/ production cycle is completed. The final steps of production are completed (*ex: scaling, gutting, filleting, egg stripping for catfish etc....*)
- Complete cycle can be assessed on at least one specie representative of a similar group of species.





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**What is the cycle for Auditing and Certification?**

The ACAP/ AES Certificate and ECO Mark License has a life cycle of 3 years.

During the 3 years compliance must be confirmed by mean of Surveillance Activities

- During the duration of the cycle the certificate Tier can be improved according to audit results.
- It is not possible to move back to a lower Tier
- One surveillance audit is carried out every year within 12 months from the date of the initial certification audit





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## The Continuous Improvement Program

### ⇒ Continuous improvement criteria

ACAP AEM Standards contain a continuous improvement system that requires to gradually increase compliance over **4 performance levels. (Tiers)**

#### ▪ **Maturity Model of ACAP AEM certification scheme**

The Performance Tiers provide a framework for producers to improve their compliance levels in line with the continual improvement principles.

#### ▪ **Categorization of Requirements (Indicators)**

Each indicator has been categorized in relation to its relevance for the Standard and also in consideration to the different tier in focus.

#### ▪ **Compliance to different maturity levels (Tiers)**

According to the different categorization of the indicators, compliance can be achieved:

- ⇒ **Before the Audit:** Pre-requirements assessed during preliminary document review
- ⇒ **The day of the audit:** Critical Requirements
- ⇒ **After the end of the audit:** Required, General, Optional, upon completion and verification of corrective actions with a Follow-up audit and according to established timeframe.
- ⇒ **Tolerances:** the defined tolerances do not need to be addressed with corrective actions till next audit (ref. to the following table)



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Requirement	Description	% Bronze Tier	% Silver Tier	% Gold Tier	% Platinum Tier
Pre- Required	Mainly related to compliance of legal requirements. Compliance is required to enter the certification process	100% Before the Audit	100% Before the Audit	100% Before the Audit	100% Before the Audit
Critical	Cover the highest-priority and highest-risk environmental, social and labour issues. Failing to comply the day of audit results in the denial or the immediate cancellation of the certificate	100 % The day of audit	100 % The day of audit	100 % The day of audit	100 % The day of audit
Required	Critical for compliance and achievement of the certificate". Failing to comply at Follow up results in the denial or the immediate suspension of the certificate.	100% at FU audit	100% at FU audit	100% at FU audit	100% at FU audit
General	Tolerance on indicators applicable for the scope is accepted for certification	80% at FU audit	80% at FU audit	80% at FU audit	80% at FU audit



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Optional	Tolerance on indicators applicable for the scope is accepted for certification	20% at FU audit	20% at FU audit	20% at FU audit	20% at FU audit
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### Where do we find detail for Categorization and Tiers?

- Detail is found in the ACAP AES Aquaculture Check-list.
- Each Tier will account the same total number of Indicators, but different number of indicators allocated in different categories

## Total Number of Requirements and distribution in different Tiers

TIER LEVEL	BRONZE				SILVER				GOLD				PLATINUM			
	YES	NO	NA	%	YES	NO	NA	%	YES	NO	NA	%	YES	NO	NA	%
PRE-REQUIRED	3	1	1	66.7	3	1	1	66.7	3	1	1	66.7	3	1	1	66.7
CRITICAL	1	0	0	100	1	0	0	100	1	0	0	100	82	0	0	100
REQUIRED	151	0	0	100	157	0	0	100	157	0	0	100	156	0	0	100
GENERAL	140	0	0	100	141	0	0	100	131	0	0	100	130	0	0	100
OPTIONAL	3	0	0	100												

GENERAL TOPIC	PRINCIPLE/ REQUIREMENT	CRITERION	CLAUSE	INDICATOR	Bronze	Silver	Gold	Platinum
6.2 Economic sustainability	Principle: To produce process and trade agricultural products in an economically and financially viable way.							
	6.2.1 Fair business practices	Criterion: The operator shall follow fair business practices and thereby not engage in any fraudulent, deceptive, or dishonest consumer or commercial business practice that is prohibited by statute or regulation.	6.2.1.1	Number of final, binding and unappealable decisions of an applicable judicial authority against the operator for unfair business practices that remain unresolved.	PRE-REQ.	PRE-REQ.	PRE-REQ.	PRE-REQ.
			6.2.1.2	The operator has programs for monitoring and enforcement in regard to fair business practices.	GENERAL	GENERAL	REQUIRED	REQUIRED
	6.2.2 Financial risk management	Criterion: The operator shall manage financial risk.	6.2.1.3	There is evidence that the operator has identified any significant financial risks.	GENERAL	GENERAL	REQUIRED	REQUIRED
			6.2.1.4	There is evidence that the operator has strategies in place to manage significant financial risks.	GENERAL	GENERAL	REQUIRED	REQUIRED



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- **Suspension:** When the causes of a Warning are not resolved within given time. Can be applied for maximum 6 months.
  
- **Withdrawal and Cancellation:** The ECO ARSO Certificate and the Mark license can be withdrawn by the CB in case:
  - ⇒ The causes of a Suspension are not removed on time
  - ⇒ The Producer is not able to manage the Certification anymore
  - ⇒ Serious infringement of integrity
  - ⇒ Bankruptcy
  - ⇒ Destruction of natural ecosystems (minor exceptions to be evaluated for compensation)
  
- **Child labor remediations:** Producers shall provide evidence of remedial actions for child laborers and his or her family following their removal from farm employment



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# **SUSTAINABLE Aquaculture**

## **Practical Guidelines for Certification**

### **Part II**

#### **Principles, Criteria & Indicators**

#### **Focus and Compliance**



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## Principle 1: Legal compliance

Aquaculture farms shall be located and operated within established legal frameworks and traditional laws (where applicable)

### Objectives:

- I. Respect applicable laws and regulations
- II. To demonstrate full knowledge of relevant legal framework
- III. To comply to traditional, local and national legislation
- IV. Local legislation

### Indicators:

- licenses, permits required by law for the production under certification
- working conditions, contracts and wages for workers
- rules on conservation areas
- use of water and land



### VERY IMPORTANT

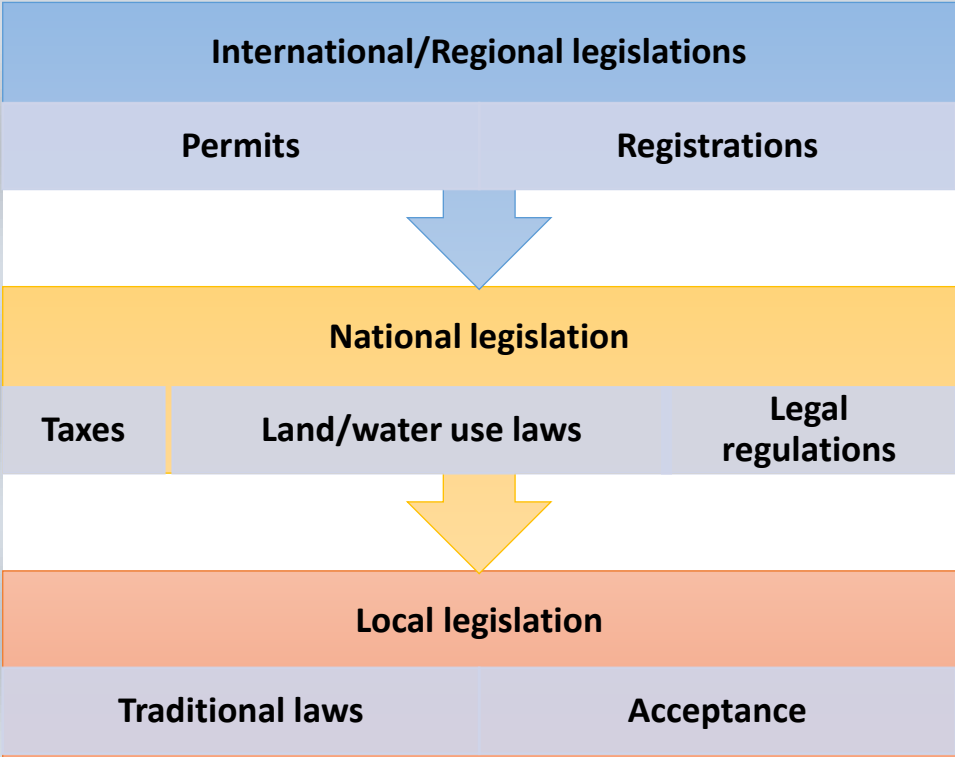
- Applicable legislation must be identified, available and documented
- A system to keep update with legislation must be in place
- No existing unresolved issues of legal non-compliance demonstrated



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**For standard It is a prerequisite for Farms to provide documents which comply and include**





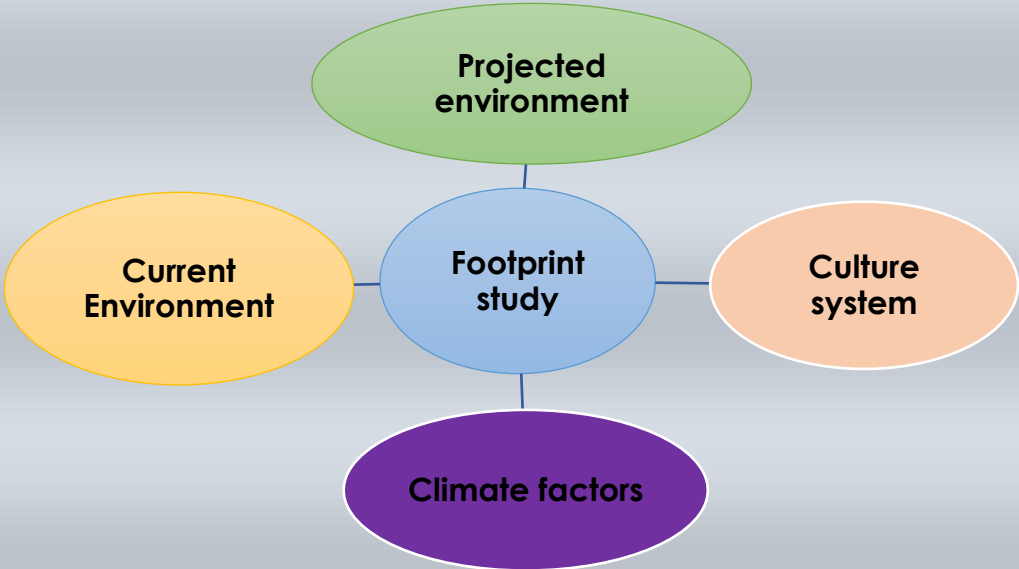
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**Examples of Legal compliance:**

- ❑ **International** – Legislation applicable for Country of export (Ex EU, USA FDA legislation)
- ❑ **Regional** – COMESA? EAC? would improve their joint annual catch potential from the current 42 per cent through increased *fish farming* and exploitation of marine resources.
- ❑ **National** - E.g. In Kenya, a license for large agriculture enterprise, NEMA
- ❑ **Locally** - One also requires the consent of the community to put up the enterprise by convincing them that the project will benefit them.

**Aquaculture farms should provide data and documents on;**





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## Principle 2: Land and water use

Farms must be located, designed, constructed and managed to avoid (or, at least, minimize) their negative impacts on other users

### Objectives

**I. To ensure Farms are located in approved areas**

To guarantee the farm design and construction does not have negative impacts on other users and the environment

**II. To Meet official development**

Farm (pond, cage and pen-based facilities) located in approved aquaculture development areas



*African catfish farming in Kenya*



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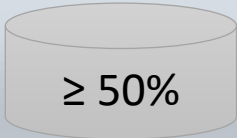
**1. To control the conversion of natural ecosystems - show proof of**

- i. Having restoration fund
- ii. No discharge into common water bodies.
- iii. No negative impacts on endangered species as set by IUCN

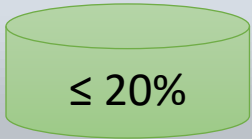
**2. To ensure site connectivity is maintained**

Farm does not constitute an obstacle to navigation, aquatic animals or water movement

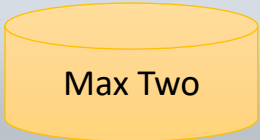
**For cages, minimum width of the water body without cages**



**For pens, maximum width a farm can occupy, calculated when the water body level/width is at its minimum**



**For pens, maximum number of contiguous pens<sup>1</sup>**



**3. To ensure sustainable Water use**

**For ponds, maximum ratio of total water abstracted**



<sup>1</sup> only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens



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**Example in Egypt –**

- ✚ Only brackish and marine water, and infertile land that is not suitable for agriculture, can be used in aquaculture.
- right to lease all lands within 200 m of shorelines for aquaculture



*Brackish fish farming- Egypt Source: Africafarming.com*



# Principle 3: Water pollution and waste management

## Objectives

- I. To minimize the negative impact of catfish farming on water and land resources
- II. To control the most important water parameters, such as nitrogen and phosphorous, and to develop specific water quality requirements for them.

### The requirements for AES standard

**1. Ensure nutrient utilization efficiency by having the following limits:-**

Nutrient	Compliance
Phosphorus (TP)	20 kg/t
Nitrogen (TN)	70 kg/t
TP discharged per metric ton of fish produced	7.2kg/t
TN discharged per metric ton of fish produced	Given

**2. Measure water quality in receiving water body**

Percentage change of Dissolved oxygen (DO) of receiving water-  
<=65%



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Water used for aquaculture should be of a quality suitable for the production of food which is safe for human consumption

**3. Measure quality of pond effluents**

- ✚ Maximum average percentage change of TP and TN is 100% and 70% respectively
- ✚ Minimum DO is 3mg/L

*Frequent Monitoring of effluent water quality is critical to ensuring the aquaculture operations are not generating unacceptable levels of pollution*

**4. Ensure proper sludge disposal for ponds and pens, not cages**

**Provide proof:**

- ✚ No sludge from farm is discharged directly into receiving waters or natural ecosystems
- ✚ Provide proof of a sludge repository of appropriate size

**Example:**

**In Egypt - prohibits the discharge into the Nile River, irrigation canals, drains, lakes and groundwater**

**Example of acceptable limits for Catfish and Tilapia culture**

Species	Temp °F	DO mg/L	pH	Alkalinity mg/L	Ammonia	Nitrite mg/L
Catfish	65-80	3-10	6-8	50-250	0-0.03%	0-0.6
Tilapia	71-84	5	5-9	20	2mg/l	5



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#### 5. Provide evidence of proper waste management

Attach a copy of the latest analysis of the effluents performed by the Competent National Bodies, completed with official declaration of conformity with the regulation

- ✚ The effluents must be monitored at least once every six months.
- ✚ The registers must be kept for at least 5 years = Trend
- ✚ No evidence of dead/moribund fish
- ✚ No evidence of animal and human waste

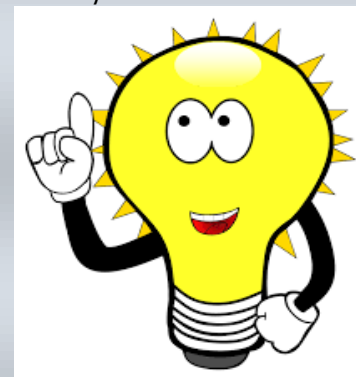
#### 6. Energy consumption

##### develop an energy efficiency plan to:

- ⇒ determine and document the actual energy used for farm operation
- ⇒ define goals to improve the use of energy (reduction, optimization...)
- ⇒ implement activities towards
  - increased efficiency,
  - reduced dependency on non-renewable sources
  - increased use of renewable energy.

##### Keep record on use of energy and related management

- ✚ Monitor energy use at farm (kJ/mt fish/year), and develop means to reduce energy use.
- ✚ The register must state at least the following parameters:
  - Fuel Used
  - Quantity of electricity used
  - Amount of dead fish for each disposal method adopted





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## Principle 4. Genetics

### Objectives:

- I. To minimize impacts of *Pangasius* and tilapia aquaculture on the genetic integrity of local Africa fish populations
- II. To control impacts of genetics and biodiversity of wild African fish populations from escapes of farmed fish which is either
  - ✚ Exotic to the area,
  - ✚ Genetically Modified Organisms (GMOs)
  - ✚ hybridization



*Intensive African catfish farming*

### Control measures required to comply with AES Standard?

#### 1. Ensure no presence of catfish in the water drainage system by:-

- ✚ Stocking indigenous species
- ✚ Establish self-recruiting stock and show evidence of no negative impacts on the environment
- ✚ If using exotic species then evidence that the species cannot establish in the river basin



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2. Demonstrate that the seed has been generated from the African catfish population naturally reproducing in the river basin

3. Control source of seed by not allowing use of wild-caught seed for grow out

1. Ensure no use of genetically engineered and hybridized strains

✚ No use of genetically engineered (transgenic) or hybrid seed

2. Control Escapees

✚ ensure inlets and outlets are confined with appropriate net mesh or grills

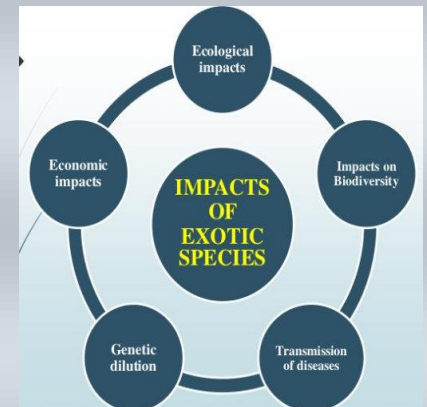
✚ Conduct regular, timely inspections (at least once a day)

✚ mitigate and repair the net mesh or grills

✚ Provide bund height sufficient to prevent water spillage, along with escapees

✚ Install trapping devices on water outlets to capture escapees

✚ Conduct regular checks and oversee for any intentional release



Farmed Fish escaping to the wild Source: Mailonline



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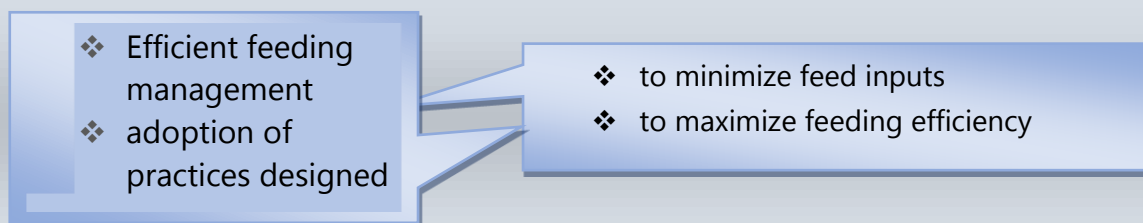
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# Principle 5. Feed management

### Objectives:

- I. To use feed and feeding practices that ensure that feed inputs are sustainable and minimized
- II. to manage production costs and environmental impact by



## What are the requirements to comply with AES Standard?

### 1. Ensure efficient management of feed use on the farm by:

- ✚ Eliminating food and feed safety hazards
- ✚ Using only certified feed
- ✚ Feed ingredients should be certified
- ✚ Using of responsible/sustainable source of ingredients

*NB: The Organisation should record historical data concerning the conversion index of the food*



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*Examples of Typical catfish feed requirements*

Age of fish	Crude protein (%)	Lipid(%)	Pellet size
Fingerlin (0-5g)	42-45	15-17	0.25 – 1mm
Fry (5-50g)	40-44	12-15	1mm – 2mm
Young Adult (50-500g)	38	10-12	2mm -3mm
Adult (500- 1Kg)	35	9	4.5mm

- 2. *Feed based on average body weight and water temperature for better growth and reduced FCR*
- 3. **Conduct continuous grading to ensure uniform growth for efficient utilization of feed and to avoid cannibalism**



*Catfish grading*



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#### Key indicators for sustainable fish feed use

- I. Use of **uncooked or unprocessed fish** and/or fish products including trash fish) as feed
- II. Use of African catfish fish **processing by-products** as feed or feed ingredients
- III. Fish products used in feed are not in the **“Endangered species”** on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species
- IV. Fish products used in feed are not from species listed in the **Convention on International Trade in Endangered Species (CITES)**
- V. **Certified fishmeal** and fish oil products must be used in feed

#### **NB: Applicant should comply with the International Fishmeal and Fish Oil “responsible sourcing,” by demonstrating:**

- The responsible sourcing of legal, regulated and reported fishery material and avoidance of material sourced from IUU fishing activity
- Sourcing from fisheries that comply with the key requirements of the FAO “Code of Conduct for Responsible Fisheries”



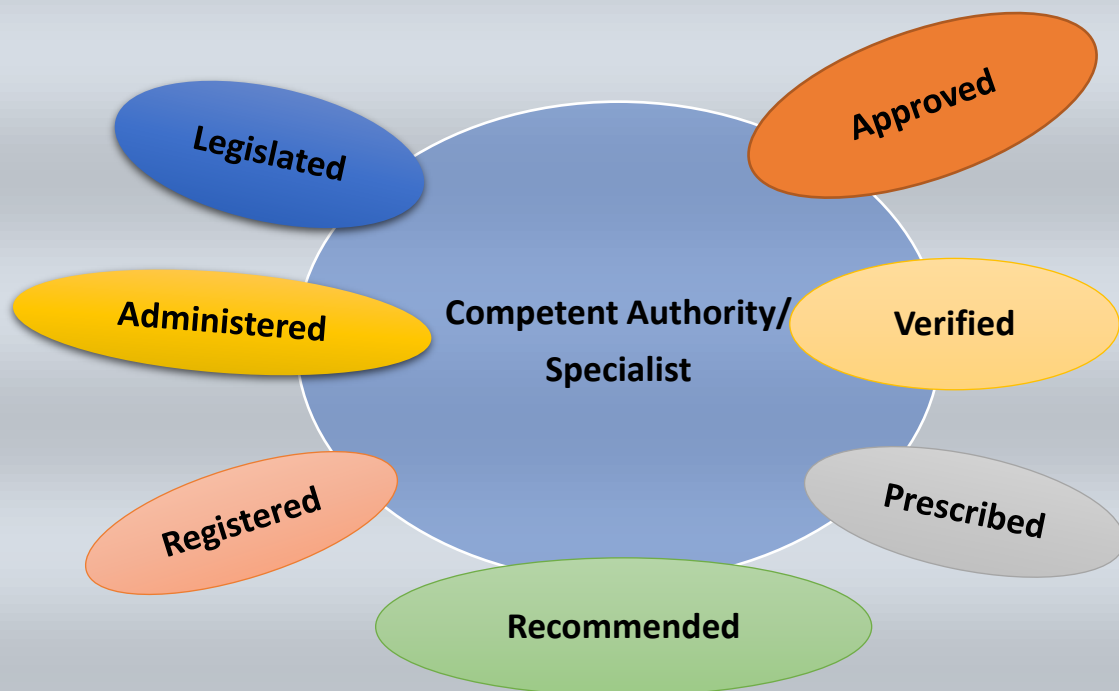
## Principle 6: Health management, veterinary medicines and chemicals

### Objectives:

- I. To minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety
- II. To ensuring fish health and maintaining food safety and quality, while also minimizing the impacts to human health and the environment

### AES standard requirements

#### 1. All veterinary medicines and chemicals





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## 2. Have a valid African catfish health plan

- ✚ Presence of a written fish health plan reviewed yearly, updated and approved by a specified aquatic animal health specialist

## 3. Have a Holding-unit specific record-keeping

### **veterinary medicines and chemicals used**

- Name, dates,
- reasons for use,
- amounts and withdrawal times

### **Disease:**

- Description - gross signs, Abnormalities
- Diagnosis - Test results -Prescription
- Mortalities

### **Seed quality:**

- source,
- size and Number stocked
- quality of the seed stocked

### **Examples of banned antibiotics and pharmaceuticals**

- *Certain chemicals (i.e., formalin) that remove oxygen directly from the water column.*
- *Toxic contaminants such as mercury or PCBs are bio-accumulated in fish*
- *The use of growth hormones is not allowed same as OGM species*
- *Such commitment must be formally specified in the Company Policies*



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## Principle 7: Social and Environmental Management (ESMS)

### Social and Environmental Management System

A social and environmental management system ensuring sustainability and integrity with respect to this standard and respective national legislation binding for social, labour and environmental aspects of operations.

### What is a Social and Environmental Management System?

An **ESMS** is a **process for integrating** environmental considerations and requirements

- ⇒ into day-to-day management and
- ⇒ long-term planning for a farm and
- ⇒ examines a production system from start to finish from inputs to products.

**ESMS** Develops a plan for action that:

- ⇒ fits specific needs and resources,
- ⇒ builds upon their stewardship principles,
- ⇒ helps comply with legal requirements,
- ⇒ works to continually improve the operation.

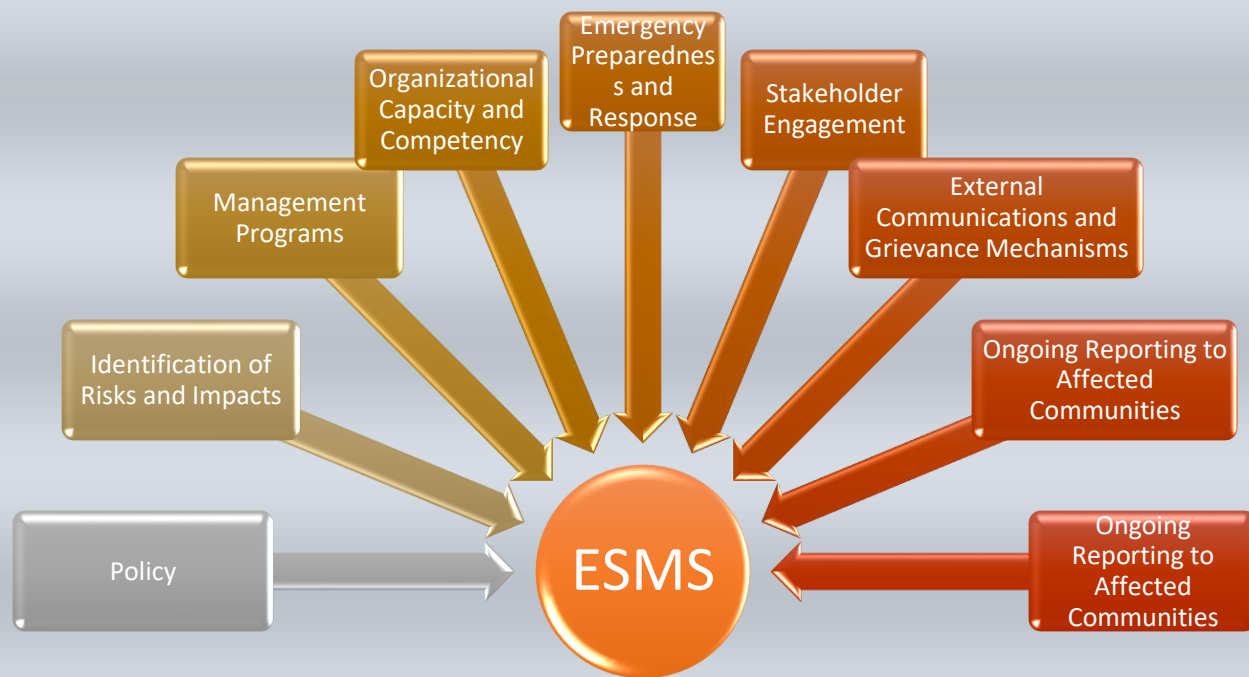
### Why is the Social and Environmental Management System needed?

To assure that all necessary **policies**, **programs** and **procedures** that facilitate compliance with the requirements of this standard and relevant local and national legislation are:

- ⇒ Identified
- ⇒ Documented
- ⇒ Implemented
- ⇒ Available to community
- ⇒ Monitored



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**A solid, functioning Environmental and Social Management System (ESMS) is made up of interrelated parts:**

- ⇒ Policy
- ⇒ Identification of Risks and Impacts
- ⇒ Management Programs
- ⇒ Organizational Capacity and Competency
- ⇒ Emergency Preparedness and Response
- ⇒ Stakeholder Engagement
- ⇒ External Communications and Grievance Mechanisms
- ⇒ Ongoing Reporting to Affected Communities
- ⇒ Monitoring and Review



### What are the main tools to design the ESMS?

⇒ **Objectives and Projects:** clear identification and description of the objectives of the system.

Clear identification and description of the production project and innovations planned for the farm

⇒ **Maps** identifying the Projects, Production areas, infrastructure and special areas (for conservation and protection), water bodies, land profile, the near Communities and external activities that may have an impact to the requirements of this standard

#### Example of Map including elements for ESMS





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### What are the main tools to design the ESMS?

- ⇒ **Plan of Actions:** identify all aspects that may represent a risk to the sustainability of the farm's production or innovation project.  
Plan mitigation actions to prevent negative impact according to AES Standard requirements
- ⇒ **documentation and records:** identify all documents required by the AES Standard to support the different elements of the ESMS (ex: procedures, specific plans, instructions, risk assessments...)  
Identify what is the critical information you want to record about your production activity (**identify and include all records required by the AES Standard**) and develop recording tools (manual or electronic)
- ⇒ **monitoring and regular reviews:** check the system on regular intervals to assure it is correctly implemented.  
Use AES Standard check list or make your own to assure that all relevant aspects are taken into consideration
- ⇒ **follow-up, measurement and analysis:** to evaluate the functioning of the ESMS and contribute to continual improvement.  
Identify the best indicators to be checked and measured for improvement
- ⇒ **training and education program:** assure that all the people involved with the ESMS are aware of the goals, procedures and impact of their own day-to-day actions
- ⇒ **commitment by the farm's service providers:** assure the same level of commitment to ESMS implementation from both employees and sub-contractors.



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## Why Community well-being is a relevant part in the ESMS?

The farming operation must consider the interests of local populations and community interest groups, regarding **farm activities** or **changes** that **could have an impact on their health, employment or local natural resources**.

**A Sustainable operation shall participation in actions that strengthen the local economy including through the following actions:**

- ⇒ Supporting employment of residents
- ⇒ Pro-active consultations to establish community needs and aspirations, and to work towards a commonly agreed goal for the mutual benefit of all participating parties.
- ⇒ Document and share complaints and comments received on farm operation
- ⇒ Create awareness on sustainability and respect of local environment through education programs
- ⇒ contribute to the protection and conservation of community natural resources, collaborate with the development of the local economy, and contribute for community infrastructure and local shared resources
- ⇒ **Example of infrastructures:** schools, pathways, aqueducts, as well as water and other resources.

**The operator shall have a legitimate right to land use and tenure:**

- ⇒ Official documentation
- ⇒ absence of significant disputes on land use
- ⇒ consent of local communities



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## Human Rights Protection

Respect human rights.

Criteria and Indicators for this principle are based on respect of Human Rights as from the Universal Declaration of Human Rights.

- ⇒ Proofed Respect of Local Authority Legislation (No open issues on violation of Human Rights)
- ⇒ Implemented declaration on social practices supporting Human Rights



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## Labor Rights Protection

### Respect of labour rights.

Criteria and Indicators for this principle are based on respect to the nationally applicable ILO Conventions.

### What are the ILO Conventions?

- A part of the United Nations, the ILO has set minimum standards that should be a right for **every worker**, all over the world.
- The International Labor Organization (ILO) is a tripartite organization consisting of trade unions, governments and companies, and is part of the United Nations system.
- Conventions: are legally binding international treaties that may be ratified by member states. A convention lays down the basic principles to be implemented by ratifying countries



This AES Standard is based on a voluntary choice for implementation.

Legislation relevant to an Indicator of the AES Standard, more demanding of the Standard overrides the AES requirement. Where there is no legislation (or legislation is not so strict) the AES Standard requirements apply.

This concept also applies for Principle 6.5 in the case where the AES Standard indicator is more restrictive than local legislation.

### Criteria related to Principle 6.5 “Labour Rights”



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#### ⇒ **Subcontractors (suppliers of services).**

- Ensure that human rights and labour rights apply equally when labour is contracted through third parties.
- Evidence of policies for managing sub-contractors rights and contracts.

#### ⇒ **Forced or slave labor.**

- Employment is Freely Chosen when workers work voluntarily and without threat of penalty of any kind.
- Workers keep their documents and are free to live work on agreed schedule and live employment on due notice
- Possible exploitation channels:
  - Directly by the Farmer
  - By an intermediary used by the Farmer, such as labour broker
  - By third parties (unknown by the supplier and intermediary)
- Agriculture is among the sectors most concerned

Migrant workers and indigenous people are particularly vulnerable to forced labour.





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#### ⇒ Child labour

- is a violation of fundamental human rights and has been shown to hinder children's development, potentially leading to lifelong physical or psychological damage.
- **Minimum Age:** no less than the age of completion of compulsory schooling and, in any case, no less than 15 years.
- **Hazardous Work:** work which is likely to jeopardize the health, safety or morals of young persons. The minimum age shall not be less than 18 years.
- **Light Work:** is not harmful for health and development and is not prejudice for attendance at school.
- **National laws** or regulations may permit the employment or work of persons 13 to 15 years of age on light work
- **Family Work:** special local rules apply for children helping the Family outside school. Regulation changes by Country.





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#### ⇒ Trade unions, freedom of association and the right to organize

- right of forming and joining or not joining trade unions, freedom of association, the right to organize, and to collectively bargain, according to national law.
- The same right is guaranteed also when restricted by national law
- Formal and documented election of workers representatives
- No penalties and consequences for representatives and workers

#### ⇒ Contracts

- contract or equivalent document, covering **workers' wages** and **working conditions**, according to national law and relevant collective agreements.

#### ⇒ Working conditions

- **Minimum wage:** minimum amount of remuneration that an employer is required to pay wage earners for the work performed during a given period. It usually defined by law  
Cannot be reduced by collective agreement or an individual contract
- proof that all agreed wage is paid
- men, women and migrant workers earn equal pay for equal work.
- Overtime hours are volunteer, recorded, limited, agreed, paid.
- Training on workers' rights and two-way communication.

#### Wages:

- ⇒ Directly paid to the workers,
- ⇒ Freedom of the worker to dispose of his wages.
- ⇒ When needed, goods and services must be provided on site at a normal local price
- ⇒ Deductions from wages only under conditions prescribed by national laws
- ⇒ Prohibited any deduction from wages to obtaining or retain employment, made by a worker to an employer or his representative or to any intermediary



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⇒ **Health, safety and hygiene policy**

**Why the Health and safety Risk assessment is required?**

This exercise has the aim to identify all significant hazards related to the health and safety of the workers while they carry out day-by-day work.

**What are the steps for Health and safety Risk assessment?**

The methodology to be applied includes the following steps:

4. Make a list of all activities carried out by the workers and related to the work carried out, including transportation from and to the work place.
5. Identify all possible hazards related to the work
6. Identify the possible origin/ causes of the hazard
7. Describe the probability for the Hazard to happen
8. Describe the consequences and their severity
9. Identify significant hazards likely to happen and prioritize significance
10. Describe mitigation and preventive actions to be implemented for each hazard
11. Identify actions to be taken in case of incident (happening of the hazard)
12. Prepare procedure and instructions

**What is required to comply with AES St.?**

- ⇒ written and updated occupational health, safety and hygiene policy and procedures
  - ⇒ simplified policy required for small farmers
  - ⇒ risk assessment base on recognized standards methodology
  - ⇒ identification of risk significant for the operation carried out on farm
  - ⇒ evidence of training on HSE for all employees and effectiveness of training
  - ⇒ clear identification and assignment of dangerous tasks to qualified employees
  - ⇒ visual and documented evidence of application of measure to prevent accidents
  - ⇒ record of accidents and statistics for improvement
  - ⇒ evidence of monitoring and corrective actions
  - ⇒ Emergency equipment (ex: first aid kits, fire extinguishers, operator contamination response material) available in enough quantity (i.e. readily available and accessible to workers) and quality (i.e. current and periodically serviced and appropriate to hazard) at all sites including mobile facilities
1. Training of workers for use of such equipment
  2. Personal Protective Equipment available and correctly used
  3. Visible warning signs

**Example of Summary of Hazard Analysis for Health and Safety on the step: Pruning of trees.**

STEP	Hazard	Origin	Consequences	Prob	Sever.	Prev. Actions	Corr. Actions	Ref documents
Pruning	Cutting	Pruning tools	Cutting of hands, damage to eyes	High	High	Protection gloves	Training on use of dangerous equipment	12345



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Internet is an important source of information on how to address Health and Safety on farm.

Follows some example of references for Health and Safety Management:

ILO - Safety and health in agriculture: [https://www.ilo.org/wcmsp5/groups/public/---ed\\_dialogue/---sector/documents/normativeinstrument/wcms\\_161135.pdf](https://www.ilo.org/wcmsp5/groups/public/---ed_dialogue/---sector/documents/normativeinstrument/wcms_161135.pdf)

EU Health and Safety Authority: [https://www.hsa.ie/eng/Topics/Personal\\_Protective\\_Equipment\\_-\\_PPE/PPE\\_FAQs/Personal\\_Protective\\_Equipment\\_FAQ\\_Responses.html](https://www.hsa.ie/eng/Topics/Personal_Protective_Equipment_-_PPE/PPE_FAQs/Personal_Protective_Equipment_FAQ_Responses.html)

Farm safety code of practice risk assessment document: [https://www.hsa.ie/eng/publications\\_and\\_forms/publications/agriculture\\_and\\_forestry/farm\\_safety\\_risk\\_assessment.pdf](https://www.hsa.ie/eng/publications_and_forms/publications/agriculture_and_forestry/farm_safety_risk_assessment.pdf)

- ⇒ **Social welfare and benefits:** evidence of compliance to legislation and collective negotiation
- ⇒ **Non-discrimination:** Workers shall be free of discrimination of any kind, whether in employment or opportunity, with respect to gender, wages, working conditions, and social benefits.

**What is required to comply with AES St.?**  
 This chapter is mainly based on interview of the workers and document assessment

- ⇒ Written self-declaration to comply with ILO 111 Convention
- ⇒ Employees are not ware of any form of discrimination, punishment, oppression, abuse, harassment
- ⇒ No gender or migrant workers discrimination
- ⇒ Job opportunities are publicly available
- ⇒ Evidence of protection of disabled people's rights
- ⇒ Evidence of remedy actions to compensate previous discriminations



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⇒ **Retrenchment:** upon consultation with workers, follow legislation

⇒ **Right to Privacy:**

- employees are informed about the use of information, follows legislation
- Surveillance measures are done without harassment or intimidation and according to defined procedures

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#### What is required to comply with AES St.?

- ⇒ Procedures for treatment of personal data
- ⇒ Procedures for surveillance methods applied
- ⇒ Evidence that employees have been informed
- ⇒ Compliance to local legislation about privacy
- ⇒ Records of personnel and complaints