



**ISSF Participating Company Compliance
Audit Checklist**
Version 2016/2

Avila Prima

The following information is based on data provided by the company; it has been independently audited for completeness and accuracy
(Pursuant to stated ISSF guidelines):

Final Compliance Report (as of April 26, 2016 for activities in 2015)

General Audit Information

Company Name	Avila Prima
Affiliated Company Names	
Company Address	Manyar 2B-C-D Surabaya East Java Indonesia 60284
Contact Information (Name, Phone, Email)	Sutjianto Kusuma, President Director aviprima@gmail.com
Auditor Name(s)	Chris Spring, Erin Wilson, Phil Bratten, Patricia Bianchi, Jonah van Beijnen
Audit Start Date	January 15, 2016
Audit End Date	March 18, 2016
Time zone(s) for coordinating remote audit conference call	8 AM Indonesian time
Language requirements for remote audit conference call	English

Compliance Snapshot	
Conservation Measure	Current
1.1 RFMO Authorized Vessel Record	OK
1.2 RFMO Participation	OK
2.1 Product Traceability	MINOR
2.2 Quarterly Data Submission to RFMO	MINOR
3.1(a) Shark Finning Policy	OK
3.1(b) Prohibition of Transactions with Shark Finning Vessels	MINOR
3.1 (c) Prohibition of Transactions with Companies without a Public Policy	OK
3.2 Large-scale Pelagic Driftnets	OK
3.3 Full Retention of tunas	N/A
3.4 Skippers Best Practices	N/A
4.1 UVI-IMO	OK
4.2 Purse Seine Unique Vessel Identifiers	N/A
4.3(a) Observer Coverage	N/A
4.4(a) Transshipment	N/A
5.1 IUU Fishing	OK
5.2 IUU Product Response	MINOR
6.1 Transaction Ban for LPS vessels not Actively Fishing for Tuna on Dec. 31, 2012	N/A
6.2(a) 2.a-d and 6.3(a) Requirements for Inclusion in Large-scale Purse Seine Vessels Fishing for Tropical Tunas	N/A
7.1 Registration of Controlled Vessels	N/A
8.1 Exemption for Very Small Purse Seine Vessels	N/A

Audit purpose	
Audit objective	The purpose of this audit is to validate participating company compliance with all ISSF conservation measures in place for the year of activity being audited.
Audit criteria	The PC compliance audits cover all conservation measures as defined in the ISSF Participating Company Compliance: Audit Policy Document and Standard Operating Procedures, Version 2015/1.
Audit outcomes	The auditing serves as an assessment of conformance by PCs. Any significant gaps in conformance and where corrective actions may be necessary will be specified. Timelines for remediation will be prescribed by MRAG in the audit report, however any sanctions or other actions will be at the discretion of ISSF. Depending on the nature of the non-conformance and the required corrective action, a follow up audit may be required.
Purpose of this document	All auditors will follow this checklist for conducting ISSF PC Compliance audits. The completed and approved copy of this checklist will serve as the audit report for each participating company.
Other relevant documentation	ISSF Participating Company Compliance: Audit Policy Document and Standard Operating Procedures, Version 2015/1

Conformance with ISSF Commitments	
Non-conformances	Non-conformances must be raised against specific ISSF conservation measures. The severity of the non-conformance – and in particular whether this jeopardizes the integrity of the ISSF program – determines which non-conformances are raised.
Grading	MRAG Americas defines audit findings as follows:

	<ul style="list-style-type: none"> · Conformance - the PC can provide evidence of compliance with a particular conservation measure · Observations - the PC is currently in compliance but there is a high risk that non-conformance could occur inadvertently without implementing preventative actions · Minor Non-conformance – the PC does not comply with a particular conservation measure, but this does not compromise the integrity of the ISSF initiatives · Major Non-conformance – the PC does not comply with a particular conservation measure and this compromises the integrity of the ISSF initiatives
MRAG Americas' procedures	<p>MRAG Americas' procedures for handling non-conformances for PCs are as follows:</p> <ul style="list-style-type: none"> · MRAG Americas substantiates conformance through documented evidence. · Where a company cannot provide documented evidence of conformance with a conservation measure, a non-conformance must be issued. · All non-conformances must be graded either major or minor. · In the case of a non-conformance, ISSF may require a Corrective Action Response (CAR). The corrective actions must be in place and evidence of addressing the condition must be supplied to MRAG or ISSF within an agreed timescale or a follow up audit may be required.
Corrective Action Responses (CARs)	<p>To rectify non-conformances, the PC may be given the opportunity to provide a CAR. The nature of the CAR is at the discretion of the PC. MRAG Americas does not advise on what specific corrective action the PC may take, but will assess whether the CAR is expected to address the non-conformance. MRAG Americas will also not provide advice with respect to any sanction that might be applied to a PC resulting from identified non-conformances. Such action will be at the discretion of the ISSF.</p>

CM	Category	Category Guidance	Gear	Means of Verification	Grade	Evidence	Corrective Action
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3.1(b)	Prohibition of Transactions with Shark-Finching Vessels	Refrain from transactions with vessels that have shark finned within two years of the product purchase date (as found by RFMO or competent national authority)	All	Auditor reviews company system for ensuring no transactions with vessels that practice shark finning. The company system is verified by checking purchases against data gathered throughout the year of RFMO compliance reports, media sources, etc.	Minor Ok	No evidence of system to verify no purchase from companies that practice shark finning was provided. No evidence of shark finning was found for vessels from traceback.	Provide evidence of system for prevention of purchases from vessels that have been found to practice shark finning
CM	Category	Category Guidance	Gear Type	Means of Verification	Grade	Evidence	Corrective Action
3.1(c)	Prohibition of Transactions with Companies without a Public Policy Prohibiting Shark Finning	No transactions with companies that do not have a public policy prohibiting shark finning. If transactions involve flag states that absolutely prohibit shark finning no policy is required. If flag state allows 5% shark fin retention, the company must have a public policy.	All	Auditor reviews company procedure for ensuring that all tuna purchases have come from a company that has a public policy prohibiting shark finning. For flag states that do have an absolute shark finning prohibition, auditor will review all publicly available material to ensure no shark finning has taken place. Traceability exercises by transaction or can code to PVR vessels or proof of compliance verifies the system.	Ok	Avila Prima provided a number of documents giving evidence that the fishing vessels from which they purchase fish have an anti shark finning policy Company stated that they always request a statement letter of Anti-Shark Finning Policy from the captain of the vessel. Shark finning policy was submitted for vessels from traceback	
3.2	Large-Scale Pelagic Driftnets Prohibition	No transactions in vessels using large-scale pelagic	All	Auditor reviews quarterly report by gear	Ok	Avila Prima only sources fish from fishing vessels	

		driftnets.		type, and identifies any use of large-scale driftnets. This is done by first identifying vessels using gill nets, then following up on the size of the net. Maximum net size is 2.5 km.		that are Pole and Line or Longliners Traceback vessels either longline or pole and line	
				MRAG reviews RFMO compliance committee reports for any indication of vessels using large-scale pelagic driftnets.	Ok	No evidence of of large-scale driftnets were reported in compliance committee reports	
CM	Category	Category Guidance	Gear Type	Means of Verification	Grade	Evidence	Corrective Action
3.3	Full Retention of Tunas	All purse seine caught tuna (skipjack, yellowfin and bigeye) retained onboard, except those unfit for human consumption as defined, or when in the final set of a trip, there is insufficient well space to accommodate all fish caught in that set. If the vessel fishes in areas where full retention is mandatory, no further policy is needed. If RFMO does not require full retention, vessel must have documented and implemented policy in accordance with this conservation measure.	All Purse Seine	Verify that the company sources tuna from vessels that practice full retention of tunas. Auditor checks PVR. For vessels not listed on the PVR, company provides evidence of vessel policy or RFMO requirement regarding full retention of tunas.	N/A	The company does not purchase from purse seiners.	
3.4	Skipper Best Practices	Unless exempt per Conservation Measure 8.1, skipper[1] has attended an	All Purse Seine	Verify that the company has purchased tuna only from vessels with	N/A	The company does not purchase from purse seiners.	

		ISSF Skippers Workshop in person, has viewed the Skippers Workshop video online, or has reviewed the Skippers Guidebook. The workshop video is located at this link . The online guidebook is located at www.issfguidebooks.org .		skippers that have completed ISSF best practices education. Auditor checks PVR and ISSF list of individuals who have attended Skippers Workshops or have certified that they read the online Skippers Guidebook or viewed the online Skippers Workshop video; or the PC may provide evidence of skipper review of guidebook, video, including list of skippers, method of review and dates of completion.		No purse seiners on traceback vessels	
CM	Category	Category Guidance	Gear Type	Means of Verification	Grade	Evidence	Corrective Action
4.1	Unique Vessel Identifiers - IMO	All purchases must be from vessels with an IMO UVI number if the vessel is capable of being registered by IMO.	All	Auditor reviews company system to ensure vessel purchases meet this criteria. A sample of non-PVR purchases will be reviewed to assess whether the company system is adequate to ensure that non-PVR vessels meet this requirement.	Ok	All vessels the company supply are below 100 GT. All vessels from traceback are less than 100 GT no IMO required	
4.2	Purse Seine Unique Vessel Identifiers	All purse seine vessels with which the company transacts in tuna, and which are not able to receive an IMO UVI number, must have a TUVI issued by CLAV	All Purse Seine	Auditor reviews company method to ensure that all vessel purchases meet this criteria. A sample of non-PVR purchases will be reviewed to assess	N/A	The company does not purchase from purse seiners. Vessels from traceback pole and line and longline	

		http://www.tuna-org.org/GlobalTVR.htm or ISSF http://iss-foundation.org/download-monitor-demo/download-info/uvi-and-im-o-number-instructions/ unless exempt per Conservation Measure 8.1.		whether the company system is adequate to ensure that non-PVR vessels also meet this requirement.			
4.3(a)	Observer Coverage	Evidence of 100% observer coverage (human or electronic) unless exempt or prevented by force majeure. The data collected by the observer must be made available to the flag state authorities and, if appropriate, to the RFMO, in the format required by the flag state (and RFMO). In case the flag state (or RFMO) does not accept the data, the vessel owner must store data for at least three years from the end of the trip. At a minimum, data to be made available are those fields required by the flag state for vessel logbooks.	Large Purse Seine	Auditor assesses company system for observer coverage of controlled vessels, company data submission to RFMOs and RFMO committee meetings and compliance reports, etc. For non-PVR vessel purchases, the PC provides details of agreement with observer provider (human or electronic) for 100% coverage. If RFMO requires 100% observer coverage, no further evidence is required.	N/A	Avila Prima only purchases from Pole and Line and Longliner fishing vessels Vessels from traceback pole and line and longline	
4.3(b)	Observer Coverage Exemption - WCPO Region	Exemptions may be made for large-scale purse seine vessels in the Western and Central Pacific Ocean fishing in latitudes higher than 20°N/S in cases where the catch (retained and discarded; target and non-target) is adequately sampled and reported to the RFMO. Such	Large Purse Seine	The auditor will review evidence that the vessel meets the requirements for this exemption.	N/A	Avila Prima only purchases from Pole and Line and Longliner fishing vessels	

		exemptions shall be based on a detailed report that will be reviewed and approved by the ISSF Board and announced publicly through the ISSF website.					
4.3(b)(i)	Observer Coverage Exemption – New Zealand Flag Purse Seine Vessels	An exemption is granted for tuna caught by New Zealand flag purse seine vessels that operate only within New Zealand waters targeting free school skipjack during the summer season	Large Purse Seine	The auditor will review evidence that the vessel meets the requirements for this exemption.	N/A	N/A	
CM	Category	Category Guidance	Gear Type	Means of Verification	Grade	Evidence	Corrective Action
4.4(a)	Transshipments	No transactions in tuna where transportation included transshipment, except when exempt per Conservation Measure 4.4 (b)(i) or Conservation Measure 8.1.	All Purse Seine	Auditor reviews data submission for relevant RFMO, transshipment documents and RFMO compliance committee and commission reports to verify that tuna purchased has not undergone unauthorized transshipment.	N/A	The company does not purchase from purse seiners.	
4.4(b)(i)	Transshipment Exemption – Papua New Guinea	No transactions in vessels that transship unless they have been granted an exemption under this clause (fishing only in the archipelagic waters of PNG; and that are based in PNG and are associated with processing facilities in PNG).	Large Purse Seine	During the traceability exercise, the auditor reviews any instance of transshipment to assess whether the exemption applies.	N/A	The company does not purchase from purse seiners.	
5.1	Illegal, Unreported and	No transactions with	All	Auditor checks quarterly	Ok	WCPFC IUU vessel listing	

	Unregulated (IUU) Fishing	vessels on any tuna RFMO IUU vessel list.		data sent by the company to the RFMO for the presence of IUU listed vessels.		was reviewed and none of the IUU vessels were found listed on the RFMO reports No evidence of IUU was found on traceback vessels	
				The auditor reviews the company purchasing system to prevent IUU fish. This will also be assessed during traceability exercises to verify that products do not originate from IUU vessels and by reviewing compliance committee reports, commission reports, etc.	Ok	Company stated that they purchased from companies that unload in Indonesia Official Fishing Port to guarantee the vessels obey Government Regulations. In addition they request Catch Certificate issued by Ministry of Marine Affairs and Fisheries and conduct supplier audit randomly.	
CM	Category	Category Guidance	Gear Type	Means of Verification	Grade	Evidence	Corrective Action
5.2	Illegal, Unreported and Unregulated (IUU) Product Response	No IUU purchases. If IUU found, company must withdraw these products from the marketplace.	All	Auditor reviews company recall procedure for presence of IUU policy, then reviews company purchases and compares to RFMO IUU lists.	Minor	Company does not have a clear method to identify and withdraw products (if detected).	Develop a system to identify and withdrawal a product if IUU is detected
				Company initiates market withdrawal of IUU products.	N/A	No recalls due to IUU occurred in 2015.	
6.1	Transaction Ban for Large-Scale Purse-Seine	Demonstrate that all purchases from large-scale	Large Purse	The auditor reviews a list of company	N/A	The company does not purchase from purse	

	Vessels not Actively Fishing for Tuna as of December 31, 2012	purse seine vessels are from vessels actively fishing for tuna as of December 31, 2012 and listed on the ISSF Record of Large-Scale Purse Seine Vessels (Record). If a vessel is not listed on the Record, the company shall provide evidence of the vessel attributes in accordance with Conservation Measure 6.2 (a). Any updates to the Record must be made in accordance with 6.2(a).	Seine	purchases from large-scale purse seine vessels to assess whether the source vessels are listed on the ISSF Record of Large-Scale Purse Seine Vessels. If source vessels do not appear in the Record, the company must provide evidence in accordance with Conservation Measure 6.2(a) as described below.		seiners. Vessels from traceback pole and line and longline	
6.2(a).2.a	Requirements for Inclusion in Record of Large-Scale Purse Seine Vessels Fishing For Tropical Tunas	Provide certification from government body that vessel was licensed to fish for tuna before December 31, 2012.	Large Purse Seine	ISSF reviews evidence provided by vessel owner to determine whether vessel is eligible to be listed in the ISSF Record.	N/A	The company does not purchase from purse seiners.	
CM	Category	Category Guidance	Gear Type	Means of Verification	Grade	Evidence	Corrective Action
6.2(a).2.b	Requirements for Inclusion in Record of Large-Scale Purse Seine Vessels Fishing For Tropical Tunas	To demonstrate that the vessel was contracted for construction before 12/31/12, the vessel representative may provide such evidence as a signed contract, supporting correspondence, deposit paid, plans, photos, etc., certificate from IACS member, IMO number or RFMO record. To demonstrate that	Large Purse Seine	MRAG reviews evidence provided by company to determine whether vessel is eligible to be listed in the ISSF Record.	N/A	The company does not purchase from purse seiners.	

		construction was completed before 6/30/15, the vessel may provide such evidence as completion of sea trial, certificate from shipyard, sale of fish, skippers log, observer report, etc., certificate from government agency.					
6.2(a).2.c	Requirements for Inclusion in Record of Large-Scale Purse Seine Vessels Fishing For Tropical Tunas	Vessel provides update regarding name, flag or registration number.	Large Purse Seine	ISSF reviews evidence provided by vessel owner to determine whether vessel is eligible to be listed in the ISSF Record.	N/A	The company does not purchase from purse seiners.	
6.2(a).2.d	Requirements for Inclusion in Record of Large-Scale Purse Seine Vessels Fishing For Tropical Tunas	If vessel replacement is one to one, the well volume of the new vessel must be less than or equal to the well volume of the vessel being removed. If a new vessel is intended to replace multiple vessels listed in the ISSF Record, the aggregated replaced capacity of more than one vessel already on the ISSF Record must be at least 1.2 times the new capacity (aggregated replaced capacity/1.2 = permitted new capacity).	Large Purse Seine	MRAG reviews evidence provided by vessel owner to determine whether vessel is eligible to be listed in the ISSF Record.	N/A	The company does not purchase from purse seiners.	
6.2(a).3	Requirements for Inclusion in Record of Large-Scale Purse Seine Vessels Fishing For Tropical Tunas	If a vessel on the ISSF Record is to be refurbished, the new fish hold volume must show that the aggregated replaced capacity is at least 1.2 times the capacity	Large Purse Seine	MRAG reviews evidence provided by company to determine whether vessel is eligible to be listed in the ISSF Record.	N/A	The company does not purchase from purse seiners.	

		of the vessel before refurbishment ((original vessel capacity + replaced capacity)/1.2 = refurbished capacity).					
7.1	Registration of Controlled Vessels	Register all controlled purse seine vessels on the PVR.	All Purse Seine	Auditor will obtain list of controlled vessels from company and compare to PVR. Information may also come from industry and media sources.	N/A	The company does not purchase from purse seiners.	
8.1	Exemption for Very Small Purse Seine Vessels	Very small purse seine vessels are exempted from the following ISSF Conservation Measures: 3.4 Skipper Best Practices 4.2 Purse Seine Unique Vessel Identifiers	Small Purse Seine	The company can demonstrate that the vessel is less than 30 GT by providing fishing licenses, vessel surveys, photos, etc.	N/A	The company does not purchase from purse seiners.	