

Control Union Peru SAC

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|----------------------------------|---------------------------|---|-------------------------|-------------------|-----------------|-----------|
| ASC audit checklist | | | | | | |
| ASCASS-PAD.F01(01) | | | | | | |
| Reportnumber: | | | 813808-ASC-2012-01-LTTT | | | |
| 1.1 Client contact data | | | | | | |
| CUC number: | | 813808 | | | | |
| Company name: | | NTACO CORPORATION | | | | |
| Contact person: | | NGUYEN TUAN ANH | | | | |
| Address: | | 99 HUNG VUONG STREET, MY QUY INDUSTRIAL ZONE, LONG XUYEN CITY, AN GIANG PROVINCE, VIETNAM | | | | |
| Postal code: | | 84 | | | | |
| City: | | LONG XUYEN | | | | |
| Country: | | VIETNAM | | | | |
| Telephone number: | | +84 763 931 479 | Fax Number: | | +84 763 931 797 | |
| e-mail: | | ntacoag@hcm.vnn.vn | | | | |
| 1.2 Audit information | | | | | | |
| Date of last external audit : | | THE FIRST AUDIT | | | | |
| Audit date : | | 01-03/08/2012 | | | | |
| Full name of the lead auditor: | | LE TRAN TRUONG THUY | | | | |
| Audit team: | | Auditor: LE TRAN TRUONG THUY - (Environmental part) Auditor: LE ANH NGOC (Social part) Technical expert: LY VI CUONG | | | | |
| Type audit : | | <u>Announced</u> / Unannounced <u>Initial</u> / Surveillance / Recertification | | | | |
| 1.3 Scope of ASC | | | | | | |
| Scope: AQUACULTURE | | Standard Version: 01 | | Specie: Pangasius | | |
| Production units | | | | | | |
| | Company name | Address and GPS coordinates | Receiving water body | City | Country | Products |
| F-01 | FISH "n" JOY - NTACO FARM | Hamlet Long Hung 2, My Thoi ward E:105.435 N:10.315; E:105.437 N:10.313; E:105.438 N:10.319; E:105.440 N:10.317 | Cai sao channel | Long Xuyen | Vietnam | Pangasius |
| Changes since last audit: | | | | | | |

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| YES <input type="checkbox"/> | NO x | If YES, Description: | N/A |
|---|------|--------------------------|-----|
| 1.4 Other information | | | |
| Brand name of the company: | | NTACO CORPORATION | |
| Mention other existing certification schemes of licensee: | | GLOBALGAP | |
| Lead Auditor :LE TRAN TRUONG THUY | | Company representative : | |
| signature | | signature | |

| ASC audit checklist | | | | | |
|---|--|--|------------|----|---|
| ASCASS-PAD.F01(01) | | | | | |
| Report number: | | 813808-ASC-2012-01-LTTT | | | |
| <p>Preamble: In order to determine the level of compliance against the ASC Pangasius Standard it is essential to use information of completed crop cycle(s), or on a specific point in time in the crop (e.g. stocking) for several requirements. For this reason, for first audits, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment. Therefore, at the time of the first audit: • farmer must be able to show full records (e.g. feed-use, mortality rate, etc.) of at least 1 completed crop cycle per site (i.e. from stocking to harvest) and the relevant information for all the crops stocked after having stocked that crop • certifier must use these records of each site to calculate the level of compliance of the relevant indicators Applicable to all relevant requirements in this Audit Manual; Client: At first audit: data of at least 1 full crop cycle per site must be made available to certifier. Auditor: At first audit: data of at least 1 full crop cycle per site must be used to determine compliance.</p> | | | | | |
| PRINCIPLE I: LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS | | | Compliance | | Finding |
| 1.1 Criteria: Local and national regulations | | | Yes | No | N/A |
| | | Auditor Evaluation (Required CB Actions) | | | |
| 1.1.1 | <p>Indicator: Presence of all pertinent: permits and registrations required by local and national authorities Requirement: Yes Applicability: All</p> | <p>A. Verify farm has all registrations as required by local and national authorities.</p> <p>B. Verify farm has aquaculture farming licence (as applicable).</p> <p>C. Verify farm has a commercial licence (as applicable).</p> <p>D. Verify compliance</p> | X | | <p>Environmental protection Commitment in 2007 for period 1 approved by Mr. Ho Dang Chien on 11/05/2007 the deputy chairman of An Giang province for 3 ha (small farm); and Environmental protection commitment on 05/2012 (for 30 ha (for large farm) - the invitation letter to attend the approval meeting on 02/08/2012 issued on 26/07/2012 for the approval of the branch of Ministry of Natural Resource and environment - People's committee of An Giang province, the regulation on 18/04/2011 about "strategy environment, Environmental impact assessment, Environmental Commitment" no 29/2011/ND-CP" of Vietnamese Government</p> <p>* Aquaculture farming licence: - Investment licence in period 1, the number of licence is 52121000073 issued on 11/10/2007, the first change is on 13/12/2010, the second change is on 05/08/2011: 31,229m2. This licence is signed by Huynh The Namg the deputy chairman of people's committee of An Giang province - Investment licence in period 2, the number of licence is 52121000153 issued firstly on 10/06/2008, the first change is on 13/12/2010, the second change is on 05/08/2011 is 95,605m2. This licence is signed by Huynh The Namg the deputy chairman of people's committee of An Giang province - Investment licence in period 3, the number of licence is 521031000378 on 05/08/2011, 110.000m2. This licence is signed by Huynh The Namg the deputy chairman of people's committee of An Giang province</p> <p>a commercial licence no. 5203000066 on 11/04/2007, the fourth change on 19/03/2008 approved by Mr. Pham Thanh Nhon of chief of Business registration Department.</p> <p>* Land ownership of three stages: Stage 1, Stage 2 and Stage 3 is in place</p> |
| 1.1.2 | <p>Indicator: Presence of documents proving compliance with pertinent tax: laws Requirement: Yes Applicability: All</p> | <p>A. Verify client has records of tax payments to appropriate authorities. [Note; For integrated systems, tax may only apply at the processing level. Nonetheless clients must show evidence of tax payment]</p> <p>B. Verify client has current tax law information and a basic understanding of tax requirements.</p> | X | | <p>* Incoming tax and natural resource tax: paid monthly * Business incoming tax: is in place * Environmental tax: Quarter 3 and 4 of 2011 as well as Quarter 1 and 2 of 2012 on 18/05/2012 based on the number 02/TB-CCBVMT on 08/05/2012 by the chief of the branch of Environmental protection. (Quarterly) * Business rates: (yearly) on 20/01/2012 code 190112.4140.82. * Land tax: (yearly): 260612.2743.78 on 26/06/2012</p> <p>Tax department requires the company providing the company's tax requirement. The circular and law of tax is available</p> |
| 1.1.3 | <p>Indicator: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations Requirement: Yes</p> | <p>Instruction to Clients for Indicator 1.1.3 -Showing Compliance with Water Discharge Regulations Indicator 1.1.3 requires the farm to show compliance with all water discharge regulations at the local and national level. If the authoritative regulatory agency has imposed limits on farm water discharge (i.e. by issuing a discharge permit or other comparable mechanism) the obligation shall rest with the client to demonstrate compliance. Four types of evidence are acceptable: a. Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge; b. Results of water testing from a fully independent ISO 17025 accredited laboratory; c. Relevant legal documents showing compliance; or d. Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance-Where regulations require monitoring of farm water discharge, that monitoring shall be conducted annually (at a minimum) or more frequently if required under local-or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will raise a non-conformity. Note 1: The ASC Pangasius Standard also specifies criteria for some water quality parameters. These are considered separately under Principle 3 below:</p> <p>A. Verify compliance. If (b), (c) or (d), then enter not applicable for (a).</p> | | | <p>statement (on 18/05/2012) by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge: Testing lab. - The centre of application and technology transferring of Kien Giang Province VILAS 494 - Field of accreditation - chemical. by Mr. Ta Bang Ho</p> |

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| | Applicability: Ponds | B. Verify compliance. If (a), (c) or (d), then enter 'not applicable for (b) | X | | The result of discharge water analysis: 51/05-34/05/PKQKTN-TT of settlement pond 1 52/05-34/05/PKQKTN-TT of settlement pond 2 53/05-34/05/PKQKTN-TT of settlement pond 3 54/05-34/05/PKQKTN-TT of settlement pond 4 taken on 18/05/2012 and resulted on 25/05/2012 |
| | | C. Verify compliance. If (a), (b) or (d), then enter not applicable for (c) | | | 44/2010/TT-BNNPTNT on 22/07/2010 of Department of Agriculture and rural development |
| | | D. Verify compliance. If (a), (b) or (c), then-enter not applicable for (d) | | | N/A |
| 1.1.4 | Indicator: Presence of documents proving compliance with local and national legal regulations on land and water use. Requirement: Yes Applicability: All | A. Verify client has documents to show legal access to and use of land and water. B. Verify farm possesses permits and complies with the farm. C. As applicable, review evidence to confirm that the farm does not need permits far-land and water use in the country and region of operation. | X | | Land ownerships of three stages are available as in 1.1.1 d The result of discharge water analysis: 51/05-34/05/PKQKTN-TT of settlement pond 1 52/05-34/05/PKQKTN-TT of settlement pond 2 53/05-34/05/PKQKTN-TT of settlement pond 3 54/05-34/05/PKQKTN-TT of settlement pond 4 on 25/05/2012 The letter of authority about no having water licence in this area, Mr. La Thanh Binh - the leader of Hamlet Long Hung 2 |
| PRINCIPLE IF: FARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT | | | | | |
| 2.1. Criteria: Meeting official development plans | | | | | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A |
| | | | Compliance | | |
| | | | Finding | | |
| 2.1.1 | Indicator: Farms [4] located in approved aquaculture development areas Requirement: Yes Applicability: All | A. Review map to confirm farm location and accuracy of GPS coordinates. If possible, verify spatial information using Google Map, satellite images or similar means. B. Review plans. If farm states there is no plan, confirm that the country and region of operation does not have approved aquaculture development areas. C. Verify farm is located in an approved aquaculture area. If there is no such areas, auditors response is 'not applicable'. | X | | * GPS (verified on the farm map) E:105.435 N:10.315 E:105.437 N:10.313 E:105.438 N:10.319 E:105.440 N:10.317 The decision no. 102/2008/QĐ-BNN on 17/10/2008 of Vietnam government about " The approval for the project of production development and Pangasius tra consumption in Mekong Delta to 2010, Orientation to 2020 - at the annex :Annex of the project of production development and Pangasius tra consumption in Mekong Delta in 2010 and orientation to 2020" approved by Mr. Nguyen Viet Thang - vice minister of MARD (Ministry of Agriculture and Rural Development). The farm is located at Long Hung 2 hamlet, My Thoi ward, Long Xuyen city, An Giang province |
| Footnote [4] Pond, cage and pen-based facilities | | | | | |
| 2.2 Criteria: Conversion of natural ecosystems | | | | | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A |
| | | | Compliance | | |
| | | | Finding | | |
| 2.2.1 | Indicator: For ponds [5], evidence [6] that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion Requirement: Yes Applicability: Ponds established after August 31, 2010 | A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010. B. Review evidence from government organizations. Where land-use maps or spatial information is provided, cross-check against map of farm (see 2.1.1) C. Verify accuracy of (a) and (b) above during interviews with local community members to confirm there is no evidence for conversion of wetlands or any other ecosystem (other than agriculture or aquaculture land) as applicable under Indicator 2.2.1. | X | | The declaration of farm signed on 15/05/2012 said that from 2007 until now there is expansion on pond 9 with 600m2 on 25/08/2011 There is expansion of pond 9 belonging to Stage 3 established after 31/08/2010. The land ownership was approved from 1990 and 1992 as Agriculture until now By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc, the farm is from agriculture (rice field) so far before Ntaco farm established. |
| Footnote [5] For Ponds established after the publication of the PAD standards. | | | | | |
| Footnote [6] From government organizations. | | | | | |

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| 2.2.2 | Indicator: Evidence that a contribution of at least USD \$0.50 per ton of fish produced has been paid to the environmental and social restoration fund [7] annually Requirement: Yes Applicability: All | A. Verify the farm has signed a letter stating commitment to contribute to the fund. | X | | Currently, the fund has not yet established. Th farm already signed the letter to contribute to this fund. The letter has not yet sent to ASC | |
| | | B. Verify evidence that ASC has received the letter. | | | | |
| | | C. Verify farm has made payment s) into the fund. As soon as ASC has set-up the fund, this information will be posted on the ASC website. | | | | |
| Footnote [7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered. | | | | | | |
| 2.2.3 | Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies Requirement: Yes Applicability: Ponds established after August 31, 2010 | A. Verify the farm has made a declaration. | X | | The declaration of farm signed on 15/05/2012 said that no discharge earth into the common water of pond 9 for expansion | |
| | | B. Review list of construction activities and means of disposing of earth. | | | The declaration of farm signed on 15/05/2012 said that no discharge earth into the common water of pond 9 for expansion | |
| | | C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies. | | | By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc, the farm has bot discharged earth into common water bodies. | |
| Footnote [8] For ponds established after the publication of the PAD standards. | | | | | | |
| Footnote [9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users. | | | | | | |
| 2.2.4 | Indicator: Evidence [10] of no negative Impacts on endangered species [11] Requirement: Yes Applicability: All | A. Review search results for adequacy and completeness. | X | | The document "Valuable and rare animal conservation, endangered and extinted species" (including conservation plan approved on 15/07/2012 by the farm manager - Mr. Nguyen Thanh Long. | |
| | | B. Review the source and accuracy of the list. | | | * No 82/2008/QD-BNN on 17/07/2008: The decision related to proclaim valuable and rare aquatic animal in Vietnam being in endangered and extinted status which needs to be protected, restored and developed. * No. 01/2011/TT-BNNPTNT on 05/01/2011: the circular related to modify and supplement the list of valuable and rare aquatic animal. * The red list species of Vietnam pulished on 30/01/2007 sourced from http://vi.wikipedia.org/wiki/Danh_m%E1%BB%A5c_s%C3%A1ch_%C4%91%E1%BB%8F_%C4%91%E1%BB%99ng_v%E1%BA%ADt_V%E1%BB%87t_Nam | |
| | | C. Review list for completeness. Compare with results from search of IUCN database of red list species (see 6.6.2). | | | Compared with results from search of IUCN database of red list species written in computer as form of the word file and excel " the red list systemary" as IUCN | |
| | | D. Review procedures for adequacy. | | | The document "Valuable and rare animal conservation, endangered and extinted species" (including conservation plan approved on 15/07/2012 by the farm manager - Mr. Nguyen Thanh Long. | |
| | | E. During local community interviews, verify there is no evidence that: - the farm is presently having a negative impact on endangered species -the farm has recently had a negative impact (since August 2010). | | | By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc, there is no evidence that: - the farm is presently having a negative impact on endangered species. -the farm has recently had a negative impact (since August 2010). | |
| Footnote [10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced. | | | | | | |
| Footnote [11] As set by IUCN and national authorities. | | | | | | |
| 2.3 Criteria: Site connectivity | | Compliance | | | Finding | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | |
| 2.3.1 | Indicator: Farm does not impede navigation, aquatic animals or water movement. Requirement: Yes Applicability: Pens and Cages | A. Inspect site to verify that pens, cages and/or associated farm structures do not impede navigation, aquatic animals or water movement. | | | X | N/A |
| | | B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement. | | | | N/A |

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| 2.3.2 | Indicator: Minimum width of the water body [15] without cages, (see Diagram 1, Annex C) Requirement: ≥ 50% | A. Cross-check the current farm map or diagram using Google-Map, satellite images or similar means (if detailed information is available). If current farm layout differs from the most recent available image, verify that the map or diagram reflects the actual farm layout. | | | X | N/A |
| | Applicability: Cages | B. Verify that calculations are accurate and confirm compliance | | | | N/A |
| Footnote 15] Water body: Any pond, lake; canal; river, stream or any other distinct mass of water, whether publicly or privately owned, including the banks and shores thereof | | | | | | |
| 2.3.3 | Indicator: Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C) Requirement: ≤ 20% percent of the width of the water body Applicability: Pens | A. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available). | | | X | N/A |
| | | B. Verify that calculations are accurate and confirm compliance. | | | | N/A |
| | | C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body. | | | | N/A |
| 2.3.4 | Indicator: Maximum number of contiguous pens allowed (see Diagram 3, Annex C) Requirement: Two, 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 Applicability: Pens | A. Inspect site to verify the farm's diagrams accurately show the size and position of pen, and the shoreline distance between pens. | | | X | N/A |
| | | B. Verify the farm's arrangement of pens is in compliance | | | | N/A |
| 2.4 Criteria: Water use | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| Auditor Evaluation (Required CB Actions) | | | | | | |
| 2.4.1 | Indicator: Farm complies with water allocation [16] limits asset by focal authorities or a reputable independent institution [17] Requirement: Yes Applicability: Ponds | A. Verify the farm keeps complete records of water intake. | | | X | "Intake water diary of pond at Ntaco farm" - Pond 5 from 04/03/11 to 21/02/12 (the farm released fingerling on 06/03/11 and fish was harvested on 21/02/2012). The total abstracted water is 1,355,750m3 |
| | | B. Review the water allocation limits set for the farm by local authorities. If local authorities do not set water allocation limits, confirm the farm has an attestation. | | | | The declaration of local authorities on 15/07/2012 |
| | | C. Review evidence that water allocation limits have been set for the farm- by a reputable independent institution (as applicable). | | | | The branch of ministry of Nature resource and environment - confirmed about no have water limitation. The farm has no informtion of academic institution about water allocation. |
| | | D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable). | | | | The branch of ministry of Nature resource and environment of An Giang province |
| | | E. Check the farm's water intake against the wafer - allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2). | | | | "Intake water diary of pond at Ntaco farm" - Pond 5 from 04/03/11 to 21/02/12 (the farm released fingerling on 06/03/11 and fish was harvested on 21/02/2012). The total abstracted water is 1,355,750m3 The volume for this pond is 4,325 m3/ton of fish |
| Footnote [16] Valid for both surface water and groundwater. Surface water is defined as "water collecting on the ground or in a stream, river, lake,wetland or ocean." Groundwater is defined as "water beneath the earth's surface that supplies wells and springs." Note the term "surface water" is used here in place of the original term "suricial water" that appeared in the Pangasius Aquaculture Dialogue Standards. | | | | | | |
| Footnote [17] A reputable independent institution can be a government organization, an academic institution or an organization that is not linked specifically to the aquaculture sector, but has generated water use parameters for the region, or is responsible for water allocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed articles and/or reports on water allocation. Documents produced for a sector other than aquaculture are also acceptable. A track record of at least three years of operation must be available. | | | | | | |

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| 2.4.2 | <p>Indicator: For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in Annex D)</p> <p>Requirement: 5,000 m3/metric ton of fish produced</p> <p>Applicability: Ponds</p> | <p>Instruction to Clients for Indicator 2.4.2 - Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced</p> <p>Annex D of the ASC Pangasius Standard provides a formula for calculating "Q," which is the ratio of total water abstracted per ton of fish produced. Farms must perform these calculations using harvest data from individual ponds (i.e. it is done on a crop-by-crop basis) and then using those results to determine a farm-wide average across all ponds. Calculations can be done as described here. For the first pond:</p> <ul style="list-style-type: none"> - compute the total volume of water abstracted ("TEV") in cubic meters (m3), during the production cycle; - compute the total weight of fish produced ("A") in metric tons at harvest time; and - calculate Q for the first pond using the equation: $Q = TEV / A$ <p>Repeat the calculations for the second pond, third pond... etc. until Q has been determined for each pond that was harvested. Use the Q values from each pond (Q1, Q2, Q3...Qn) to compute the farm-wide average, or Qavg</p> | | | | |
| | | A. Review calculations against intake records to confirm accuracy. | x | | <p>"Intake water diary of pond at Ntaco farm"</p> <p>* Pond 5 from 04/03/11 to 21/02/12 (the farm released fingerling on 06/03/11 and fish was harvested on 21/02/2012). The total abstracted water is 1,355,750m3 and total weight of harvested fish is 313,455 kg. The volume for this pond is 4,325m3/ton of fish</p> <p>* Pond 11 from 03/03/11 to 29/01/12 (the farm released fingerling on 05/03/11 and fish was harvested on 29/01/2012). The total abstracted water is 1,352,400m3 and total weight of harvested fish is 285,625kg. The volume for this pond is 4,735m3/ton of fish</p> | |
| | | B. Verify the farm keeps records showing the weight "of fish harvested. | | | | The record of total weight of harvested fish of pond 5 is 313,455 kg |
| | | C. Review calculations against sales records and estimates of current stock biomass (weight) to confirm accuracy. If needed, reconcile the totals with the weight of any fish that were harvested but not sold (i.e. Crops lost after a disease outbreak). | | | | Receipt of harvested fish and transportation between the farm and the processing unit for pond 5 as well as "fish weight form based on GG of Ntaco farm". The total number is equality |
| | | D. Review- farm's calculations for accuracy. Cross-check that water volumes (2.4.2a) and harvest weights (2.4.2b) from individual ponds can be reconciled with total annual production (2.4.2c) and total annual water intake (2.4.1e). | | | | <p>"Intake water diary of pond at Ntaco farm"</p> <p>* Pond 5: the total abstracted water is 1,355,750m3 and total weight of harvested fish is 313,455 kg. The volume for this pond is 4,325m3/ton of fish</p> <p>* Pond 11: The total abstracted water is 1,352,400m3 and total weight of harvested fish is 285,625kg. The volume for this pond is 4,735m3/ton of fish</p> |
| E. Confirm the farm-wide, average Q is < 5,000m3/metric ton of fish produced. | Two full crops for the first audit (>6mths): Qavg is 4,530 m3/ton of fish | | | | | |
| Footnote [18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater. | | | | | | |
| PRINCIPLE iii: MINIMIZE THE NEGATIVE IMPACT OF PANGASIU FARMING ON WATER AND LAND RESOURCES | | | | | | |
| 3.1 Criteria: Nutrient utilization efficiency | | | | | | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | Finding |
| 3.1.1 | <p>Indicator: Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced.</p> <p>Requirement: 20 kg/t</p> <p>Applicability: Pens and Cages</p> | <p>Instruction to Clients for Indicators 3.1.1 and 3.1.2-Laboratory Analysis of TP and TN in Feed</p> <p>In order to demonstrate compliance with Indicator 3.1.1 and 3.1.2, farms must be able to establish the amount of total phosphorus (TP) and total nitrogen (TN) in feeds. Farms shall be in possession of a declaration from each of their feed suppliers stating the maximum TP and TN content. Farms shall then verify supplier declarations by testing a representative number of batches (e.g. 1 sample for every 1,000 tonnes of a feed used) for TP and TN content. Tests shall be performed by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Results should show that declarations made by the feed supplier are accurate and that the feed is within the limits stated in the declaration. Farms must demonstrate compliance for all feeds used in the crops that are included in the calculation, regardless of whether those feeds were farm-made or commercially sourced. All calculations should be made on a crop-by-crop basis.</p> <p>Note 1; For first audits, farms are not required to check the TP and TN content of feeds using an independent laboratory.</p> <p>Note 2; Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification.</p> | | | | |
| | | A. Confirm the farm has complete and accurate records for feed used | x | | N/A | |
| | | B. Verify the farm possesses all declarations for TP content in feed. | | | | |
| | | C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable). | | | | |
| D. Review farm's calculations. Cross-check purchase records against the feed quantities reported | | | | | | |

| | | | | | | |
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| | | E. Review farm's calculations to confirm the farm complies with the Requirement | | | | |
| Footnote [19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, | | | | | | |
| 3.1.2 | <p>Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.</p> <p>Requirement: 70 kg/t</p> <p>Applicability: Pens and Cages;</p> | <p>A. Confirm the farm has complete and accurate records for feed used</p> <p>B. Verify the farm possesses declarations for TN content in feed.</p> <p>C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).</p> <p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported</p> <p>E. Review farm's calculations to confirm the farm complies with the Requirement</p> | | | X | N/A |
| Footnote [20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N | | | | | | |
| Footnote [21] Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all | | | | | | |
| 3.1.3 | <p>Indicator: Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)</p> <p>Requirement: 7.2 kg/t</p> <p>Applicability: Ponds</p> | <p>Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged</p> <p>Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025.</p> <p>Farms will measure the amount of TP and TN discharged from only a subset of the total number of ponds in production: 15% of all ponds (value rounded up to the nearest whole number). At least one of these ponds shall be randomly selected. The farm must record the number and identity of selected ponds before sampling. Required procedures for collecting water samples are as follows:</p> <ul style="list-style-type: none"> - two water samples are taken: one from the pond (=pond water) and one from the intake (=intake water). The two samples are taken on the same day. - all water sample collections are done by staff from the fully independent ISO 17025 accredited laboratory - all water samples are collected in second half of crop production (i.e. ≥ 90 days after stocking) - pond water samples are collected at 50% of pond depth - all water samples are collected before 11:00am - pond water samples are collected > 6 hours after the intake of water into the pond <p>For first audits, farm records for monitoring TP and TN discharged must cover ≥ 6 months,</p> <p>A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.</p> <p>B. Review laboratory results for TP concentration</p> <p>C. Review accuracy of farm's data</p> | | | X | <p>Testing Laboratory - The centre of Application and Technology Transferring of Kien Giang Province - Vilas 494.</p> <p>* Laboratory results for TP concentration:</p> <ul style="list-style-type: none"> - Pond water of pond 5: No. of the analysis result: 30/07-35/07/PKQTN-TT taken on 17/07/2011 taken at 10: 50 am (pumping water at 3:50am): TP is 2.98 mg/L - Pond water of pond 11: No. of the analysis result: 35/07-33/07/PKQTN-TT taken on 17/07/2011 taken at 10: 50 am (pumping water at 3:50am): TP is 2.79 mg/L - Pond water of pond 09: No. of the analysis result: 35/07-33/07/PKQTN-TT taken on 18/05/2012 taken at 10: 35 am (pumping water at 3:50am): TP is 3.0 mg/L - Intake water at Cai Sao channel : No. of the analysis result: 39/07-35/07/PKQTN-TT on 17/07/2011, taking water sample at 9:50am: TP is 1.52mg/L - Intake water at Cai Sao channel : No. of the analysis result: 45-05/33-05/PKQTN-TT taken on 18/05/2012, taking water sample at 9:50am: TP is 1.52mg/L <p>* Pond 5 (harvested on 21/02/2012):</p> <ul style="list-style-type: none"> - The total weight of fish produced is 313,455kg - The total volume of water discharged 1,355,750m³. |

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| | | D. Review farm's calculations to confirm accuracy. | | | | - TP is 2.98 mg/L - TP discharged is 6.3kg/ton of fish. * Pond 11 (harvested on 29/01/2012): - The total weight of fish produced is 285,625 kg - The total volume of water discharged 1,352,400m3. - TP is 2.79 mg/L - TP discharged is 6.0 kg/ton of fish * Pond 09 (harvested on 01/08/2012, the same time as the official audit): the final calculation has not been done. |
| | | E. Review farm's calculations of average TP to confirm compliance with the Requirement. | | | | The average TP discharged for two full crops is 6.15 kg/ton of fish. However, there is no the average TP discharged for 15% of pond production (15% of 17 ponds) |
| 3.1.4 | Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D) Requirement: 27.5 kg/t Applicability: Ponds | Note: see instructions for Indicator 3.1.3 | | | | |
| | | A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses. | | | | Testing Laboratory - The centre of Application and Technology Transferring of Kien Giang Province - Vilas 494. |
| | | B. Review laboratory results for TP concentration | | | | * Laboratory results for TN concentration: - Pond water of pond 5: No. of the analysis result: 30/07-35/07/PKQTN-TT taken on 17/07/2011 taken at 10: 50 am (puming water at 3:50am): TN is 13.9 mg/L - Pond water of pond 11: No. of the analysis result: 35/07-33/07/PKQTN-TT taken on 17/07/2011 taken at 10: 50 am (puming water at 3:50am): TN is 12.4 mg/L - Pond water of pond 09: No. of the analysis result: 35/07-33/07/PKQTN-TT taken on 18/05/2012 taken at 10: 35 am (puming water at 3:50am): TN is 13.6 mg/L - Intake water at Cai Sao channel : No. of the analysis result: 39/07-35/07/PKQTN-TT on 17/07/2011, taking water sample at 9:50am: TN is 8.36mg/L - Intake water at Cai Sao channel : No. of the analysis result: 45-05/33-05/PKQTN-TT taken on 18/05/2012, taking water sample at 9:50am: TN is 8.36 mg/L |
| | | C. Review accuracy of farm'data | | x | | * Pond 5 (harvested on 21/02/2012): - The total weight of fish produced is 313,455kg - The total volume of water discharged 1,355,750m3 . - TN is 13.9 mg/L - TN discharged is 24 kg/ton of fish. * Pond 11 (harvested on 29/01/2012): - The total weight of fish produced is 285,625 kg - The total volume of water discharged 1,352,400m3. - TN is 12.4 mg/L - TN discharged is 19.1 kg/ton of fish * Pond 09 (harvested on 01/08/2012, the same time as the official audit): the final calculation has not been done. |
| | | D. review farm's calculations to confirm accuracy | | | | |
| | | E. Review farm's calculations of average TN to confirm compliance with the Requirement. | | | | The average TN discharged for two full crops is 21.55 kg/ton of fish. However, there is no the average TN discharged for 15% of pond production (15% of 17 ponds) |
| 3.2 Criteria: Measuring water quality in receiving water body | | Compliance | | | Finding | |
| Auditor Evaluation (Required CB Actions) | | Yes | No | N/A | | |
| 3.2.1 | Indicator: Percentage change in diurnal dissolved oxygen [22] (DO) of receiving waters [23] relative to DO at saturation for the water's specific salinity and temperature. An exception is made for ponds that discharge water with TN and TP lower than the TN and TP of the intake water respectively (see DO measurement methodology in Annex D) Requirement: ≤ 65% | Instruction to Clients for Indicator 3.2.1 -Measuring Percent Change in Diurnal Dissolved Oxygen Farms shall monitor the percent change in diurnal dissolved oxygen in receiving waters. Dissolved oxygen (DO) concentration is reported relative to DO at saturation for the water's specific salinity, temperature and altitude. DO is measured using a hand-held oxygen meter or a more accurate (chemical) method, with accuracy established in peer-reviewed documents. The location of measurements should be the first natural receiving water body and as close as practical to the point of discharge but at a distance not exceeding 200m from the point of discharge. In addition, the following procedures are followed: - DO monitoring is conducted fortnightly (i.e. once every two weeks) - On each sampling day, two DO measurements are taken: at 1 hour before sunrise and at 2 hours before sunset (+/- 30 min) - DO measurements are taken at 0.3 meters below the water surface. -Temperature and salinity is recorded at the same time that DO is measured. Note 1: An exemption to Indicator 3.2.1 is made for farms that have "cleaner" water (i.e. where the value of the farm TP and TN is lower than that of the intake water. This applies regardless of whether the receiving water is eutrophic. See Indicators 3.3.1 and 3.3.2 for more information about measuring differences in TN and TP between pond inlet and outlet. | | | | |
| | | A. Review data set to confirm that monitoring covers the required timeframe | | | | DO record in receiving waters of settlement pond 1, 2, 3, 4 with more than 6 months from Jan to July 2012 and comply with this instruction. |
| | | B. Verify the farm technicians calibrate equipment as required. | | | | Mr. Nguyen Duc Nhieu is the farm technicians calibrate equipment. He can show his acknowledge. |

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| | <p>Applicability: All</p> | <p>C. Review calculations to confirm accuracy.</p> <p>D. Confirm the average percent change in DDO ≤ 65 %.</p> <p>E. Witness the farm measuring DO to confirm compliance with procedures. On-site values should fall within range of farm data for DDO. If an out of range measurement is observed, raises a non-conformity.</p> | X | | <p>DO record of settlement pond 1, 2, 3, 4 and DDO at the receiving water of four settlement ponds is from 31-40% for each two weeks. This is calculated based on Annex D of standard. DDO avg is from 33-35% for more 6 months</p> <p>The auditor witnessed the farm measuring DO at the receiving water of settlement pond 1. At 5:10am, The parameter DO, S‰, To is 3.5 mg/L, 0‰ and 29oC, respectively, and At 14:30pm, The parameter DO, S‰, To is 5.2 mg/L, 0‰ and 28oC, respectively. The DDO is 21% which is in range measurement of the farm.</p> |
| <p>Footnote [22] DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature (biology-online.org).</p> | | | | | |
| <p>Footnote [23] "Receiving water" is the first natural water body that receives the water from the farm and does not</p> | | | | | |
| <p>3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]</p> | | | | | |
| Auditor Evaluation (Required CB Actions) | | Yes | No | N/A | Finding |
| <p>Footnote [24] This criteria is not pertinent to either cage or pen cultures</p> | | | | | |
| 3.3.1 | <p>Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D).</p> <p>Requirement: 100%</p> <p>Applicability: Ponds</p> | <p>Instrurtion to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet Pre-able: If the concentration of Inlet TN or Inlet TP falls below the detection limits of the analytical method, use the limit concentration as the input value in these calculations. Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Laboratory results will be accompanied by a statement that indicates compliance to the methodology set in theASC Pangasius Standard and this Audit Manual. Farms will measure the change in TP and TN from only a subset of the total number of ponds in production: 15% of all ponds (value rounded up to the nearest whole number). At least one at of these ponds shall be randomly selected. The farm must record the number and selection of ponds before sampling. Required procedures for collecting water samples are, as follows: - samples are collected by staff from the fully independent accredited laboratory; - samples are taken from the 'inlet' and the 'outlet' (inlet = the water in the intake canal, as close as possible to the farm being certified. Outlet =the actual water being discharged not the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged); - samples are collected from pond inlets and outlets during the second half of crop production (i.e. > 90 days after stocking); - on each sampling day, at least two samples are collected from the outlet and these are'tak en at least-1 hourapart (use the average value in calculations below); and - at a minimum the farm must sample from one pond per year. Percent Change in TP =(Outlet TP Conc.)- (Inlet TP-Conc.) / (Inlet TP Conc.)x100 Percent Change in TN=(Outlet TN Conc.)- (Inlet TP-Conc.) / (Inlet TN Conc.)x100 When more than one pond is sampled, determine a "farm-wide average" by calculating the average percent, change for all sampled ponds. For first audits, farm records for monitoring percent change in TP and TN must cover ≥ 6 months</p> <p>A. Review laboratory results for TP.</p> <p>B. Review calculations to verify accuracy.</p> <p>C. Confirm the average percent change inTP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.</p> <p>D. Contact accredited laboratory which performed the sampling for TP and TN fo confirm compliance with procedures</p> <p>Note: see instructions for Indicator 3.3.1</p> | X | | <p>* Laboratory results for TP concentration: - Intake water at Cai Sao channel : No. of the analysis result: 45-05/33-05/PKQTN-TT taken on 18/05/2012, taking water sample at 9:50am: TP is 1.52mg/L - settlement pond: + settlement pond 1: 51/05-34/05/PKQTN-TT taken on 18/05/2012. TP is 3.01 mg/L + settlement pond 3: 53/05-34/05/PKQTN-TT taken on 18/05/2012. TP is 2.89 mg/L + settlement pond 4: 54/05-34/05/PKQTN-TT taken on 18/05/2012 TP is 2.54 mg/L (with settlement pond 4 -1 hour aprat: 55/05-34/05/PKQTN-TT on 18/05/2012. TP is 3.04 mg/L) - Water pond: + Pond 6 (into settlement pond 1): 46/05-35/05/PKQTN-TT taken on 18/05/2012. TP is 5.8 mg/L. The date of fish released is on 21/08/2011 + Pond 9 (into settlement pond 3): 49/05-35/05/PKQTN-TT taken on 18/05/2012. TP is 3.0 mg/L. The date of fish released is on 20/09/2011 + Pond 18 (into settlement pond 4): 49/05-35/05/PKQTN-TT taken on 18/05/2012. TP is 4.87 mg/L. The date of fish released is on 25/11/2011</p> <p>Checked the calculation of the farm. The result of %TP is 98.03%, 90.13% and 67.11%.</p> <p>The average percent change in TP is 85.09%</p> <p>Contact accredited laboratory named Mr. Ta Bang Ho. His taking sample complies with this instruction</p> |

| | | | | | | |
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| 3.3.2 | <p>Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN measurement methodology and TN discharge formula in Annex D).</p> <p>Requirement: 70%</p> <p>Applicability: Ponds</p> | <p>A. Review laboratory results for TN.</p> <p>B. Review calculations to verify accuracy.</p> <p>C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity.</p> <p>D. Contact accredited laboratory which performed the sampling for TP and TN to confirm compliance with procedures.</p> | X | | | <p>* Laboratory results for TN concentration: - Intake water at Cai Sao channel : No. of the analysis result: 45-05/33-05/PKQTN-TT taken on 18/05/2012, taking water sample at 9:50am: TN is 8.36 mg/L - settlement pond: + settlement pond 1: 51/05-34/05/PKQTN-TT taken on 18/05/2012. TN is 9.39 mg/L + settlement pond 3: 53/05-34/05/PKQTN-TT taken on 18/05/2012. TN is 8.56 mg/L + settlement pond 4: 54/05-34/05/PKQTN-TT taken on 18/05/2012 TN is 8.72 mg/L (with settlement pond 4 - 1 hour aprat: 55/05-34/05/PKQTN-TT on 18/05/2012. TN is 8.65 mg/L) - Water pond: + Pond 6 (into settlement pond 1): 46/05-35/05/PKQTN-TT taken on 18/05/2012. TN is 9.39 mg/L. The date of fish released is on 21/08/2011 + Pond 9 (into settlement pond 3): 49/05-35/05/PKQTN-TT taken on 18/05/2012. TN is 13.6 mg/L. The date of fish released is on 20/09/2011 + Pond 18 (into settlement pond 4): 49/05-35/05/PKQTN-TT taken on 18/05/2012. TN is 7.18 mg/L. The date of fish released is on 25/11/2011</p> <p>Checked the calculation of the farm. The result of %TN is 12.32%, 2.39% and 4.31%.</p> <p>The average percent change in TN is 6.34 %</p> <p>Contact accredited laboratory named Mr. Ta Bang Ho. His taking sample complies with this instruction</p> |
| Footnote | [25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified. | | | | | |
| Footnote | [26] Outlet: The actual water being discharged, not the receiving water. | | | | | |
| 3.3.3 | <p>Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)</p> <p>Requirement: 3 mg/l</p> <p>Applicability: ponds</p> | <p>Instruction to Clients for Indicator 3.3.3-Measuring DO in Water Discharged See Indicator 3.2.1 for a general description of the equipment and method used to measure dissolved oxygen (DO). Take DO measurements at the outlet where water is discharged (i.e. measure DO in the actual water being discharged, not in the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged). Test DO at least once per week.</p> <p>A. Review data set to confirm that monitoring covers the required timeframe</p> <p>B. Confirm DO in water discharged by farm is > 3 mg/L. If any single value falls outside limits, raise a non-conformity.</p> <p>C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.</p> | X | | | <p>DO record in settlement pond 1, 2, 3, 4 with more than 6 months from Jan to July 2012</p> <p>DO from 3.2-6.2, DO avg is from 5.9 - 6.0mg/L</p> <p>The auditor observed calibration of equipment and measurements is 4.8 mg/L (rainy) which is the range of the farm measurement</p> |
| 3.4 Criteria: Sludge disposal for ponds and pens, not cages [27] | | Compliance | | | Finding | |
| Auditor Evaluation (Required CB Actions) | | Yes | No | N/A | | |
| Footnote | [27] For cage culture, there are no requirements for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly. | | | | | |
| 3.4.1 | <p>Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28]</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>A. Review the farm's sludge management plan.</p> <p>B. Review records to confirm appropriate disposal according to plan.</p> <p>C. If yes to (c), confirm farm has appropriate documentary evidence.</p> <p>D. If yes to (d), inspect sludge repository during on-site visit.</p> <p>E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems</p> | X | | | <p>Sludge management plan on 15/05/2012 by Mr. Nguyen Thanh Long. The plan will ensure that no sludge in any form is discharged directly into receiving waters or natural ecosystems.</p> <p>records of sludge disposal in 03 months. There is only the volumn of the wet sludge but there is no weight of dried sludge as fertilization to trees in the farm</p> <p>N/A, just use as fertilizer in the farm</p> <p>A sludge repository is used within the farm</p> <p>By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc, no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems.</p> |

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| Footnote | [28] The complex of a community and its environment functioning as an ecological unit in nature. More simply, it's both living and non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems are considered | | | | |
| 3.4.2 | <p>Indicator: Evidence of a sludge repository of appropriate size (See sludge repository formula in Annex D)</p> <p>Requirement: Yes</p> <p>Applicability: Farms managing the sludge using a repository</p> | <p>Instruction to Clients for Indicator 3.4.2 -Size of Sludge Repository</p> <p>A Sludge Repository Formula is given in Annex D of the ASC Pangasius Standard. Farms shall document how this formula was used to calculate the appropriate size (minimum volume) of a sludge repository. Farms may, for example, document their calculations in the sludge management plan (see 3.4. 1a). All sludge areas and volumes must be considered in the calculation. For 'Area of Pond', consider only the area of the pond from which sludge has to be removed over the following 2 months.</p> <p>Note 1: If the Sludge Repository Formula yields a negative number then the repository exceeds the minimum volume (i.e. it is an appropriate's size).</p> | | | |
| | | A. Review farm's calculations to verify accuracy. Confirm compliance. | x | | By calculations showing the sludge pond is of appropriate size of sludge pond 1, 2, 3, 4. |
| | | B. During on-site visit, inspect the farm's sludge repository. | | | inspect the farm's sludge repository is appropriate |
| 3.5 Criteria: Waste management | | Compliance | | | Finding |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A |
| 3.5.1 | <p>Indicator: Evidence of farm solid wastes being discharged into the natural environment</p> <p>Requirement: None</p> <p>Applicability: All</p> | <p>A. Review the farm's solid waste management plan</p> <p>B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.</p> <p>C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.</p> | x | | |
| | | | | | Farm solid waste treatment process on 15/07/2012 Nguyen Duc Nhieu |
| | | | | | No solid waste being discharged into the natural environment surrounding the farm. |
| | | | | | The record of selling feed bags from 01-07/2012 |
| 3.5.2 | <p>Indicator: Evidence of human and animal solid wastes being discharged into the natural environment</p> <p>Requirement: None</p> <p>Applicability: All</p> | <p>A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment</p> <p>B. Verify that emptying and maintenance follow the schedule.</p> <p>C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that emptying and maintenance follow the schedule.</p> <p>D. Inspect site to verify that the farm buries any animal feces (if applicable).</p> <p>E. Review construction contracts (if applicable).</p> | x | | |
| | | | | | Waste treatment for human in Septic tanks. * The septic tanks treatment plan: checked monthly by Mr. Dinh Ngoc bi, approved by Mr. Nguyen Thanh Long on 15/05/2012 |
| | | | | | Septic system: * Human and animal * Septic tanks for burying dead fish The schedule of emptying and maintenance is in Septic toilet treatment plans. |
| | | | | | No leakage in the septic toilet and septic tanks (dead fish). The schedule of emptying and maintenance is in Septic tanks treatment plans |
| | | | | | animal feces control around the dormitory |
| | | | | | Construction built by in the internal of Ntaco, maintained by Urban construction Department of An Giang province, the plan of maintenance |
| 3.5.3 | <p>Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment</p> <p>Requirement: None</p> <p>Applicability: All</p> | <p>A. Review farm's plan for management of chemical and medicinal wastes.</p> <p>B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.</p> <p>C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.</p> | x | | |
| | | | | | management of chemical and medicine wastes in farm solid waste treatment process on 15/07/2012 Nguyen Duc Nhieu, in the chemical storage |
| | | | | | Inspect the farm, no evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm |
| | | | | | The record of collecting chemical waste: Detail record of treating waste in Ntaco farm |
| | | <p>Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish</p> <p>Prepare a plan for the proper disposal of dead/moribund fish that specifies the means of disposal using one or more of the following categories: incineration (excluding regular burning, as not allowed); burial; fermentation and as fertilizer; septic tank; production of fish meal or fish oil; feed for animals other than pangasius (requires statement from aquatic animal health specialist, see Principle 6); sold.</p> <p>Dead fish should never be used for human consumption unless specifically slaughtered and processed for that purpose in an appropriate facility.</p> | | | |
| | | A. Review the farm's plan for compliance with Indicator 3.5.4 | | | Septic system: * Septic tanks for burying dead fish The schedule of emptying and maintenance is in Septic tanks treatment plans. However, the date is still on 15/05/2012 instead of 31/07/2012 in the document |
| | | B. Verify by inspection (as applicable). | | | Dead fish in the septic tank |

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| 3.5.4 | <p>Indicator: Evidence of proper disposal (30) of dead/moribund fish</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>C. Verify by review of documentary evidence (as applicable).</p> <p>D. Verify by inspection (as applicable).</p> <p>E. Verify that farm possesses written statement(s) from aquatic health specialist (as applicable).</p> <p>F. Verify review of documentary evidence (as applicable)</p> <p>G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposal followed the plan.</p> | x | | | <p>No leakage in the septic toilet and septic tanks (dead fish). The schedule of emptying and maintenance is in Septic tanks treatment plans.</p> <p>No use dead fish as feed for animals other than pangasius</p> <p>No use dead fish as feed for animals other than pangasius</p> <p>No use dead fish as feed for animals other than pangasius</p> <p>plan is effectively implemented. Interview Mr. Nguyen Van Cao (worker)</p> |
| Footnote | [30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production offish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality was talked by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for animals other than pangasius. Evidence on the cause of mortality shall be provided by the aquatic animal health specialist (see Principle 6). | | | | | |
| 3.6 Criteria: Energy consumption | | Compliance | | | Finding | |
| | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | | |
| 3.6.1 | <p>Indicator: Information available on the following variables (per year per farm in the certification unit):</p> <ul style="list-style-type: none"> - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method. <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>A. Review calculations. Verify the farm keep records of energy consumption.</p> <p>B. Verify the farm-maintains accurate records of mortalities and disposals.</p> | x | | | <p>Maintain receipts of farm energy consumption: Libricant, electricity, DO oil, gasoline. The calculation and receipt are in place</p> <p>Septic system: * Septic tanks for burying dead fish. Diary of pond 5 and 2 showed the mortality records</p> |
| PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS | | | | | | |
| 4.1 Criteria: Presence of pangasius in the water drainage system | | Compliance | | | Finding | |
| | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | | |
| 4.1.1 | <p>Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruiting stock established before 1st January 2005</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p> | <p>Note: If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established, then Indicator 4.1.1. does not apply. Enter 'not applicable' here and proceed to assess farm compliance against Indicator 4.1.3.</p> <p>A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.</p> <p>B. Review map to confirm farm location within river basin.</p> <p>C. Confirm that documentation show the farmed species is indigenous to the river basin.</p> <p>D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.</p> <p>E. Verify the identity of the farmed species by direct observation during on-site visit.</p> | x | | | <p>* a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the river basin by An Giang Fisheries breeding center on 12/06/2012.</p> <p>* The record: The supplier contract of buying seedling on 03/07/2011 rearing and providing for 05 ponds and one contract on 26/09/2011 (receiving the fry on 28/09/2011) for 2 ponds, the contract on 19/06/2012 (receiving on 19/06/2012) for one pond</p> <p>a map of the river basin showing the location of the farm</p> <p>the farmed species is indigenous to the river basin, provide documentary evidence of FAO (Sauvage, 1878)</p> <p>N/A</p> <p>By direct observation during on-site visit, there is only pangasius</p> |

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| 4.1.2 | <p>Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is not-indigenous and a self-recruiting stock is established</p> | <p>A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.</p> | | | X | indigenous species | |
| Footnote | [32] Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times and location are necessary as evidence. | | | | | | |
| Footnote | [33] Peer-reviewed papers, official government (competent authority) statements or other comparable references are necessary as evidence | | | | | | |
| 4.1.3 | <p>Indicator: If the species is not indigenous and does not have a self-recruiting stock established, evidence that the species cannot establish in the river basin [34]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established</p> | <p>Instructions to Clients and Auditor for Indicator 4.1.3 - particular weight is given to peer reviewed evidence, especially papers in journals that have a track record of publishing on the subject. Certifier to verify that the evidence credibly demonstrates that operations are compliant with meeting international norms around the prevention of introduction of non indigenous species in the natural environment outside of client's farm.</p> <p>A. Review evidence provided by the farm to confirm that the farmed species can not establish in the river basin.</p> | | | X | indigenous species | |
| Footnote: | [34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established. | | | | | | |
| 4.2 Criteria: Genetic diversity | | Auditor Evaluation (Required CB Actions) | | | Compliance | | Finding |
| | | Yes | No | N/A | | | |
| 4.2.1 | <p>Indicator: Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p> | <p>A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.</p> <p>B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river basin</p> <p>C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.</p> <p>D. Verify that sourcing of seed is in compliance with the requirement</p> | X | | | <p>the species is indigenous to the river basin</p> <p>a map of the river basin. the farm is in Long Xuyen</p> <p>* a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the river basin by An Giang Fisheries breeding center on 12/06/2012.</p> <p>* The record: The supplier contract of buying seedling on 03/07/2011 rearing and providing for 05 ponds and one contract on 26/09/2011 (receiving the fry on 28/09/2011) for 2 ponds, the contract on 19/06/2012 (receiving on 19/06/2012) for one pond</p> <p>The supplier contract of buying seedling with the certification to show source of broodstock is in the river-basin</p> | |
| Footnote [35] A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary. | | | | | | | |
| Footnote [36] Throughout these standards, the word "seed" is used for pangasius seed only. | | | | | | | |
| Footnote [37] This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005. | | | | | | | |
| 4.3 Criteria: Source of seed | | Auditor Evaluation (Required CB Actions) | | | Compliance | | Finding |
| | | Yes | No | N/A | | | |
| 4.3.1 | <p>Indicator: Allowance, for use of wild-caught seed for grow out</p> <p>Requirement: None</p> <p>Applicability: All</p> | <p>A. Verify declaration of no wild-caught seed for grow out.</p> <p>B. Verify that farm has statements from seed suppliers</p> <p>C. Verify the farm maintains accurate records for sourcing of seed.</p> | x | | | <p>declaration that the farm does not use wild-caught seed for grow out on 15/05/2012</p> <p>a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the river basin by An Giang Fisheries breeding center on 12/06/2012.</p> <p>The supplier contract of buying seedling on 03/07/2011 rearing and providing for 05 ponds and one contract on 26/09/2011 (receiving the fry on 28/09/2011) for 2 ponds, the contract on 19/06/2012 (receiving on 19/06/2012) for one pond</p> | |
| 4.4 Criteria: Genetically engineered and hybridized strains | | Auditor Evaluation (Required CB Actions) | | | Compliance | | Finding |
| | | Yes | No | N/A | | | |
| | <p>Indicator: No use of genetically engineered (transgenic) or hybrid seed</p> | <p>A. Verify declaration of no use of genetically engineered or hybrid strains.</p> | | | | <p>declaration that the farm does not use wild-caught seed for grow out on 15/05/2012</p> | |

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| 4.4.1 | <p>Requirement: Yes</p> <p>Applicability: All</p> | B. Verify that farm maintains statements from seed suppliers. | X | | | a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the river basin by An Giang Fisheries breeding center on 12/06/2012. |
| Footnote [31] | A-genetically modified organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC) | | | | | |
| 4.5 Criteria: Escapees. | | Compliance | | | Finding | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | |
| 4.5.1 | <p>Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>A. Review records for fish size in different holding units.</p> <p>B. Review records for mesh or grill size.</p> <p>C. During the on-site visit, inspecting the size of net mesh or grills to confirm compliance.</p> | X | | | <p>Diary of pond 11 from 05/03/2011 to 30/01/2012. Weight of fish is done every 15 days</p> <p>Inlet and outlet mesh size is mentioned in declaration</p> <p>During the on-site visit, inspecting the size of net mesh or grills is compliance.</p> |
| 4.5.2 | <p>Indicator: Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection).</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>A. Review records to verify inspections are regular and timely.</p> <p>B. Review the register to verify repairs are performed and recorded.</p> <p>C. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.</p> | X | | | <p>Form checking "the hygiene of pond" of pond 11 in daily</p> <p>The plan for treatment in the case of mesh and grill repair on 15/07/2012</p> <p>no change the mesh from the beginning to the harvest</p> |
| 4.5.3 | <p>Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs.</p> <p>Requirement: Yes</p> <p>Applicability: Ponds</p> | <p>A. Review records covering >= 10 years or statement to establish the maximum height of high water when flooding occurs.</p> <p>B. Review statement and map. During the on-site visit, inspect farm to verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.</p> <p>C. During local community and employee interviews, verify there is no evidence for spillage or escapement from the farm in the last 12 months.</p> | X | | | <p>* Maximum height of high water of Long Xuyen on 10/02/2012 confirmed by An Giang hydrometeorological center</p> <p>* Prevention plan for water spillage: checking and repairing procedure.</p> <p>The statement of the local authority. The map showed the lowest point</p> <p>By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc, no evidence for spillage or escapement from the farm in the last 12 months</p> |
| Footnote [38] | Bund: berm containing the water in the pond. | | | | | |
| 4.5.4 | <p>Indicator: Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection)</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>A. Review how the farm uses trapping devices to monitor escapees. Verify that trapping devices do not injure/corn promise fish (e.g. gill nets).</p> <p>B. Review records of inspection and observed escapees.</p> <p>C. Review the suitability of any action taken by the farm to reduce escapement</p> <p>D. During the on-site visit, inspect to verify that traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees.</p> | X | | | <p>04 trapping devices at the run out of settlement. not injure</p> <p>records of inspection and observed escapees from 02/01/2012 to 30/07/2012</p> <p>Plan of action taken to escapee on 15/07/2012 by Nguyen Thanh Long</p> <p>done on site, mesh size of trap is 1mm</p> |
| Footnote [40] | These devices should not injure or compromise fish health (e.g., gill nets). | | | | | |
| 4.6 Criteria: Pond Maintenance | | Compliance | | | Finding | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | |
| | | A. Review farm's procedure for bund monitoring and repair. | | | | a procedure for the monitoring and repair of damaged bunds on 15/05/2012 by Mr. Nguyen Thanh Long |

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| 4.6.1 | <p>Indicator: Evidence that bund has remained intact [41] throughout the culture cycle</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>B. Review records for evidence that the bund has remained intact in the last 12 months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical.</p> <p>C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.</p> <p>D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.</p> | X | | | <p>Form checking hygien of pond 10 from 27/08/11 to 31/07/2012</p> <p>done on site, no signs of collapse</p> <p>By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc and Mr. Nguyen Van Men (worker), bunds have remained intact throughout the culture cycle</p> |
| Footnote [41] Has not been affected in such a way to allow the escape in part or all of the farmed stock. | | | | | | |
| 4.6.2 | <p>Indicator: Evidence assuring there has been no intentional release [42]</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>A. Review declaration to confirm compliance.</p> <p>B. Review records to confirm that all stockings can be accounted by harvest or disposal</p> <p>C. Review annual production records to determine if there are significant discrepancies that could indicate the possibility of intentional release.</p> | X | | | <p>The declaration of farm signed on 15/05/2012, no intentional releases in the last 12 months</p> <p>Record and receipt of the harvested fish between the farm and the processign unit</p> <p>a written justification for any periods of inactivity lasting longer than 3 months of pond 5 harvested on 21/02/2012 and releasing again on 04/06/2012 signed on 31/07/2012.</p> |
| Footnote [42] The original intent of footnote [42] from the PangasiusAquaculture Dialogue Standards has been clarified here for auditing purposes. It now reads: "Significant discrepancies between the number (or biomass) of fish-stocked and the number (or biomass) of fish sold in the absence of disease outbreaks, major theft or escapes would indicate the possibility of intentional release." | | | | | | |
| PRINCIPLE 5. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED | | | | | | |
| 5.1 Criteria: Sustainability of feed ingredients | | | | | | |
| | | Auditor Evaluation (Required CB Actions) | Yes | No | N/A | Finding |
| 5.1.1 | <p>Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed</p> <p>Requirement: No</p> <p>Applicability: All</p> | <p>A. Review- farm's records for commetcially sourced feeds</p> <p>B. Review ingredients to verify that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).</p> <p>C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.</p> | X | | | <p>Receipt purchases of commercial feed form 04/01/2012 to 30/07/2012. There is only one feedmill supplier</p> <p>N/A</p> <p>N/A only have commercial feed</p> |
| Footnote [43] Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen; minced, dried, meals; oils, and processing by-products) | | | | | | |
| 5.1.2 | <p>Indicator: Use of pangasius fish processing by-products [44] as feed or feed ingredients</p> <p>Requirement: No</p> <p>Applicability: All</p> | <p>A. Review farm's declaration to confirm that no by-products of pangasius fish used as feed for pangasius</p> <p>B. Review manufacturer's declaraction to confirm no pangasius by-products were in feed</p> <p>C. Review farm documentation to confirm that no pangasius by-products were used In feed preparation (if applicable)</p> | X | | | <p>The declaration of farm signed on 15/05/2012</p> <p>The feedmill manufacturer's declaraction on 06/01/2012, no by product from pangasius</p> <p>N/A No farm-made feed</p> |
| Footnote [44] Trimmings, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these- are not counted as part of the "fish product" amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in pangasius diets | | | | | | |
| 5.1.3 | <p>Indicator: Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46]</p> <p>Requirement: Yes</p> | <p>Instructions to Clients for Indicator 5.1.3- Confirm there are no IUCN Red List Species in Feed</p> <p>For the purposes of this Indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species.do not comply with the Standard, Thisrestriction extends to feeds, that use by-pro ducts (e.g. trimming) or aquacultured products of IUCN Red Listed species.</p> <p>For each fish product used as a feed ingredient, determine whether the species, is on fthe IUCN Red list as follows:</p> <ul style="list-style-type: none"> - goto http://www.iucnredlist.org/ - in the primary search field enter the genus and species - click on "run search" and record the status of the species, <p>Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with Indicator 5.1.3, consider only species identified as "Vulnerable", "Endangered", or "Critically Endangered". Species that are listed in other IUCN categories (e.g. "Not evaluated", "Data Deficient") and "Least Concern"), may be end uded from further analyses.</p> | | | | |

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| | Applicability: All | A. Confirm that farm has records of ingredients from all commercially sourced feeds. | X | | a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011) |
| | | B. Repeat search of IUCN database to verify that farm is in possession of accurate result | | | Verified in IUCN database to show farm is in possession of accurate result |
| | | C. Confirm that farm has provided sufficient evidence of compliance | | | N/A no farm-made feed |
| Footnote | [45] Vulnerable, Endangered and Critically Endangered. | | | | |
| Footnote | [46] www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards. | | | | |
| 5.1.4 | Indicator: Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II or III [47] Requirement: Yes Applicability: All | A. Confirm that farm has a statement from the feed manufacturer verifying the origin of all fish products used as ingredients in all commercial feeds. | X | | a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011) |
| | | B. Repeat search of CITES database to verify that farm is in possession of an accurate result | | | Verified CITES database to show farm is in possession of accurate result |
| | | C. Confirm that farm has provided sufficient evidence of compliance | | | N/A no farm-made feed |
| Footnote | [47] http://www.cites.org/eng/app/appendices.html | | | | |
| 5.1.5 | Indicator: ISEAL-certified fishmeal and fish oil products must be used in feed Requirement: Within 3 years of becoming available in a region Applicability: All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only trimming and aquaculture products are used | Note 1; "becoming available in a region" means being commercially available in the region (UN regions) by at least one independent producers and indicated in grey literature (the date of appearing in grey literature is to be used). Note 2; "products" does not apply to trimmings and aquacultured products as feed ingredients (see Indicator 5.1.3). | X | | a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011) |
| | | A. Confirm that farm has statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest) | | | No in Vietnam until now |
| | | B. Review evidence and confirm compliance. | | | |
| 5.1.6 | Indicator: ISEAL certified fishmeal and fish oil products must be used in feed. Requirement: Within 5 years from the publication date of the PAD standards Applicability: All, after August 2015. Not applicable if only trimming and aquaculture products are used | A. Confirm that farm possesses information about feed ingredients. | X | | a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011) |
| | | B. Review evidence and confirm compliance. | | | No in Vietnam until now |
| 5.1.7 | Indicator: Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation's (IFFO) "Responsible Sourcing | Instruction to Clients for Indicator 5.1.7 -FishSource Score of Products Used in Feed To determine FishSource scores offish species used as feed ingredients, do the following: - go to http://www.fishsource.org/ - select "Species" drop down tab to the left -select the species that is utilized by the farm as a source of fish meal or oil -confirm that the search identifies the correct species, then select the top tab that reads "Scores" -Review scores to verify average FS scores > 6.0; no individual score < 6.0, and no "N/A" for "Stock assessment" category (category 4 in Fish Source scoring). If results show the species does not meet all three of the above criteria, then the feed does not meet requirements of the ASC Pangasius Standard. If the species has not been assessed (i.e. it is not listed on the FishSource website), then the feed does not meet requirements of the Standard. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment. | | | |

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| | Program for Certification of Responsible Practice for Fishmeal and Fish Oil Production Requirement: ≥6.0 with no individual score < 6.0 or an N/A in the stock assessment category. Yes Applicability: Up to when standard 5.1.5 or 5.1.6 can be met. Not applicable if only trimming and aquaculture products are used | A. Verify that farm possesses information about feed ingredients. | X | | | a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011) |
| | B. Review FS scores and IFFO certification for species used in feed. Cross check against species listed in feed supplier declarations (see 5.1.3a). | use by-product | | | | |
| 5.2. Criteria: Efficient management of feed use on the farm | | Compliance | | | Finding | |
| Auditor Evaluation (Required CB Actions) | | Yes | No | N/A | | |
| 5.2.1 | Indicator: Maximum weighted [50] average of economic Feed-Conversion Ratio (eFCR) for the complete production cycle. Requirement: 1.68 Applicability: All | A. Review records to confirm that farm has records for all seed | X | | | * a declaration from farm and seed supplier by An Giang Fisheries breeding center on 12/06/2012. * The record: The supplier contract of buying seedling on 03/07/2011 rearing and providing for 05 ponds and one contract on 26/09/2011 (receiving the fry on 28/09/2011) for 2 ponds, the contract on 19/06/2012 (receiving on 19/06/2012) for one pond |
| | | B. Confirm that farm has complete and accurate record for feed. | | | | records showing the type of feed "diary of pond 5, and 11; Feed inventory of the farm, FCR calculation of pond 5 is 1.63 and pond 11 is 1.66; eFCR of two ponds is 1.65 |
| | | C. Verify the farm keeps records showing weight of fish harvested. | | | | records (e.g. receipts) showing weight of fish harvested |
| | | D. Review calculation for accuracy and completeness | | | | calculation for accuracy and completeness |
| | | E. Review calculations for accuracy. Confirm compliance. | | | | eFCR of two ponds is 1.65 |
| Footnote [50] | Weighting to be conducted by the amount of fish produced in different farming units (e.g. ponds, pens and cages). | | | | | |
| 5.2.2 | Indicator: Maximum Fish Feed Equivalence Ratio (FFER) Requirement: 0.5 Applicability: All | A. Verify that farm possesses information about percent inclusion of fish meal and fish oil for all feed types. | | | X | By-products from fish processing of species. No need to calculate FFER |
| | | B. Review calculation verify accuracy. Confirm compliance. | | | | By-products from fish processing of species. No need to calculate FFER |
| PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety | | Compliance | | | Finding | |
| 6.1 Criteria: Mortalities | | Compliance | | | Finding | |
| Auditor Evaluation (Required CB Actions). | | Yes | No | N/A | | |
| 6.1.1 | Indicator: Maximum average real percentage mortality, from stocking to harvest, during the grow-out period (See Real Percent Mortality formula in Annex D). Requirement: 20% | Instructions to Clients for Indicator 6.1.1 - Calculating Average Real Percentage Mortality Calculate the Real Percentage Mortality using the stocking & harvesting data from every enclosure used by the farm in the last 12 months. Do one calculation per enclosure as follows: 1) Determine the number of fish stocked. This number may be obtained from - direct counts of fingerlings, or - computed by taking the total weight of stocked fish and dividing by the average weight of the fish stocked. 2) Determine the number of fish harvested. This number may be obtained from - direct counts of harvested fish, or - computed by taking the total weight of harvested fish and dividing by average weight of the fish harvested. 3) Using the formula in Annex D, compute the Real Percentage Mortality for the enclosure. 4) Repeat steps 1-3 for every other enclosure used by the farm. 5) Compute the average RPM for all enclosures over the last 12 months (see Note.1). For first audits, records must cover at least 1 full crop per site (see preamble). Note 1: Only use counts of live fish in these calculations. Do not include counts of dead fish when determining number of harvested fish or number of stocked fish. Note 2: Only use information from complete crops. | | | | |

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| | Requirement: 20/0 Applicability: All | A. Review receipts. Confirm that farm records are sufficient to determine of seed stocked into each enclosure. B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure. C. Review farm's calculation to verify accuracy. Confirm that average real percentage mortality is ≤ 20% | X | | | Receipts and/or statements from seed supplier indicating average weight of seed and numbers harvest records for pond 5 and 11, diary of pond 5 and 11; Pond 5 is 19.37%, Pond 11 is 19.06; Average is 19.22% |
| 6.2 Criteria: Veterinary medicines and chemicals | | | Compliance | | | Finding |
| | | Auditor Evaluation (Required CB Actions). | Yes | No | N/A | |
| 6.2.1 | Indicator: Use only Veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country. Requirement: Yes Applicability: All | A. Review list of medicines, chemicals and biological products. B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies). C. Review list. D. Confirm that listed products used are approved for aquaculture. E. Review list and compare to farm's sales receipts F. Review list. G. Review list. H. Review evidence. Cross check the farm export's markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries. | X | | | a list of all veterinary medicines, chemicals and biological products in 2011 (15/03/2011) and 2012 (15/07/2012) records of usage of products in the farm of pond 5 and 11: the record of following chemical and medicine suppliers and contact information in a list of all veterinary medicines, chemicals and biological products in 2011 (15/03/2011 and 2012 (15/07/2012) Confirm that listed products used are approved for aquaculture. sales receipts between the farm and processing unit N/A list of Switzerland and Europe 2864/QD-BNN-QLCL on 24/11/2011 - The list of parameter of chemical used in Aquaculture products* by MARD |
| 6.2.2 | Indicator: Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist [55] based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose [56] Requirement: Yes Applicability: All | A. Review records of prescriptions or written advice for veterinary medicines and chemicals. B. Review written descriptions. Confirm use approved by AAH Specialist. C. Review justification from AAH Specialist as applicable. D. Review evidence. Confirm that AAH Specialist is suitably qualified. | | X | | records of prescriptions of pond 11 NOVA FLOR 5000 from 23/07 to 27/07/2012 on 23/07/2011. Records of prescriptions of pond 11 HADACLEAN from 02-05/06/2011. records of prescriptions of pond 11 HADACLEAN from 02-05/06/2011. Feed output record on 02/06/2011, Chemical-medicine on 02/06/11. Training on 19/01/2012. The mixing feed instruction. Declaration about using different to the usage of chemical producer. Need to be witnessed by responsible person; and have a signature records of prescriptions of pond 11 HADACLEAN from 02-05/06/2011. Feed output record on 02/06/2011, Chemical-medicine on 02/06/11. Training on 19/01/2012. The mixing feed instruction. Declaration about using different to the usage of chemical producer. records of prescriptions by Nguyen Thi Ca sum - AAH Specialist educated by Can Tho university |
| Footnote | [55] Aquatic animal health specialist defined following government's regulations, if such regulations exist in the producing country. If the government does not regulate on this, the following people can be considered as specialists: <ul style="list-style-type: none"> • Veterinarians with at least three months of academic training on fish health management (for a total of at least 60 hours). This training may be included with the veterinary degree. • Aquaculturists (with university or vocational degree) who have completed at least three months of training on fish pathology and treatment (for a total of at least 60 hours). This training may be included with the university or vocational degree. | | | | | |

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| Footnote | [56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan. | | | | |
| 6.2.3 | <p>Indicator: Follow the aquatic animal health specialist recommendations on: 1- how to apply the veterinary medicine and chemicals prescribed 2 - how to handle & store the veterinary medicines and chemicals prescribed 3 - who needs to be informed about the disease and how 4 - how to limit the spread of the disease to neighboring wild or farmed populations</p> <p>Requirement: Yes Applicability: All</p> | <p>A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.</p> <p>B. Review farm's declaration to confirm following recommendations of the AAH Specialist.</p> <p>C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.</p> <p>D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.</p> | X | | <p>recommendation of AAH Specialist on 15/05/2012 Sum. Diary of pond 11 for disease</p> <p>declaration that the farm follows the recommendations of the aquatic animal health specialist on 15/05/2012 by Ms. Nguyen Thi Ca sum</p> <p>During on-site visits, proper storage according to the AAH Specialist's recommendations.</p> <p>the chemical storage is follow the recommendation of AAH Specialist on 15/05/2012 by Ms. Nguyen Thi Ca sum</p> |
| 6.2.4 | <p>Indicator: Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label.</p> <p>Standard: None Applicability: All</p> | <p>A. Review records of withdrawals.</p> <p>B. Review labels and completion dates of withdrawal periods.</p> <p>C. Evaluate evidence-to verify that no fish were harvested before completion of withdrawal period.</p> | X | | <p>chemical/medicinal treatments in the last 12 months, provide daily records of product use and water temperature during withdrawal periods. Hadaclean - A: 48 hours of pond 11: from 02-05/06/11 Novafloor 5000: 12 days from 23-27/07/12. Chemical using diary from the end of justy to the harvest day, no using any antibiotic</p> <p>labels indicating duration of withdrawal periods of Hadaclean - A:and Novafloor 5000. The withdrawal day followed the labels</p> <p>Pond 11, Hadaclean - A: 48 hours of pond 11: from 02-05/06/11 Novafloor 5000: 12 days from 23-27/07/12. The harvest day is on 29/01/2012</p> |
| 6.2.5 | <p>Indicator: Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].</p> <p>Requirement: None Applicability: All</p> | <p>A. Review list of antibiotics used.</p> <p>B. Review declaration. Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine.</p> <p>C. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p> | X | | <p>a list of all veterinary medicines, chemicals and biological products in 2011 (15/03/2011) and 2012 (15/07/2012)</p> <p>declaration of the farm on 15/05/2012 . Cross check list of antibiotics used by the farm against the WHO list of antibiotics critical to human medicine.</p> <p>no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p> |
| Footnote | [57] Refer to the second WHO Expert meeting on Critically Important Antimicrobials for Human Medicine: Categorization for the Development of Risk Management Strategies to Contain Antimicrobial Resistance due to Non-human Antimicrobial use, 25-31 May 2007 http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf | | | | |
| 6.2.6 | <p>Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem.</p> <p>Standard: None Applicability: All</p> | <p>A. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.</p> <p>B. Verify farm maintains records of all purchases of veterinary medicines.</p> <p>C. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.</p> <p>D. Reconcile the quantities purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.</p> | X | | <p>a declaration from the aquatic animal health specialist indicating that s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months by Ms. Nguyen Thi Ca Sum</p> <p>receipts for all purchases of veterinary medicines</p> <p>on-site visits, inspect the inventory of veterinary medicines</p> <p>Reconcile the quantities purchased against stocks held on-site and records for usage based on reviewing a sample of medicines.: receipt, inventory of chemical, the record of using chemical, prescription, the output record (daily), input record of feed and chemical</p> |
| | <p>Indicator: Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters [58].</p> | <p>A. Verify the AAH Specialist supports the declaration that there is no use of veterinary medicine as growth promoters.</p> | | | <p>a declaration from the aquatic animal health specialist Ms. Nguyen Thi Ca Sum, no use of veterinary medicine as growth promoters.</p> |

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| 6.2.7 | Requirement: None Applicability: All | B. Reconcile the quantities of veterinary medicines purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines. | X | | | Reconcile the quantities of veterinary medicines purchased is balanced |
| Footnote | [58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of n | | | | | |
| 6.3 Criteria: Pangasius health plan | | | Compliance | | | Finding |
| Auditor Evaluation (Required CB Actions). | | | Yes | No | N/A | |
| 6.3.1 | Indicator: Presence of a written pangasius health plan reviewed yearly; updated and approved by a specified aquatic animal health specialist [59] (See Annex E for health Plan). Requirement: Yes Applicability: All | A. Review health plan for compliance with Annex E | X | | | pangasius health plan on Nguyen Thi Ca sum 15/05/2012 |
| | | B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan. | | | | pangasius health plan on Nguyen Thi Ca sum 15/05/2012 |
| | | C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audit, the response is "not applicable". | | | | N/A |
| | | D. During on-site visit, verify that the plan is implemented and effective. | | | | the plan is implemented and effective. |
| Footnote | [59] GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders. | | | | | |
| 6.4 Criteria: Holding-unit specific record-keeping | | | Compliance | | | Finding |
| Auditor Evaluation (Required CB Actions). | | | Yes | No | N/A | |
| 6.4.1 | Indicator: Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities Requirement: Yes Applicability: All | A. Verify the farm maintains purchase records. | X | | | records that identify all the veterinary medicines |
| | | B. Verify the farm maintains records showing withdrawal times at the grow-out facility. | | | | the farm maintains records showing withdrawal times at the grow-out facility. |
| | | C. Verify that farm maintains relevant declarations from the AAHS at the grow-out facility. | | | | declarations by the farm's aquatic animal health specialist stating the date, diagnosis, treatment and withdrawal times (if different from the label) |
| | | D. Verify the farm possesses declarations from all seed suppliers. | | | | declaration from seed suppliers identifying any chemicals or veterinary medicines that were used in production of seed |
| 6.4.2 | Indicator: Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated Requirement: Yes Applicability: All | A. Verify the farm maintains records for seed quality as required | X | | | records of the source, size and quality of the seed stocked in the fingerling receipt |
| 6.4.3 | Indicator: Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept Requirement: Yes Applicability: All | A. Review daily records to confirm that all reporting elements are included. Verify compliance. | X | | | daily records (e.g. diary) of monitoring for stress or disease of pond 5 and 11 |
| Footnote | [60] Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion). | | | | | |

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| 6.4.4 | <p>Indicator: All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>Instructions to Clients for Indicator 6.4.4- Establishing a Threshold for the Reporting of Mortality Events</p> <p>Indicator 6.4.4 requires that farms report all significant mortality events to the aquatic animal health specialist. The ASC Pangasius Standard does not prescribe a specific threshold value for all farms to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their aquatic animal health specialist to develop a threshold for reporting mortality events that is appropriate for identifying significant or "above average" mortality events based on farm data. In establishing a threshold, the farm must consider the following:</p> <ul style="list-style-type: none"> -thresholds must be generated using farm data for mortality and this shall include farm information from at least 1 randomly selected pond; -thresholds must be stage-specific to account for differing mortality rates during the 1st week, the 1st month, and any month after that; -the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and -the farm must describe how the threshold was established in the farm's Pangasius Health Plan. | | | | | | |
| | | A. Review daily mortality records | X | | | Diary of pond 5 (from 06/03/2011 to 21/02/2012). | | |
| | | B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events. | | | | Diary of mortality threshold of Ntaco updated on 31/07/2012. Pond 2 is on 26-30/07/2012, the dead fish is over mortality threshold. Ms. Nguyen Thi Ca Sum, AAH, checking this dead reason. (mortality threshold is 121 species of the 30th week of crop, the real is 124-532 species) | | |
| | | C. Review the proposed mortality threshold in the farm's Pangasius health Plant to confirm compliance with requirements. | | | | mortality threshold in the farm's Pangasius health Plant to confirm compliance with requirements | | |
| D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements. | Diary of mortality threshold of Ntaco updated on 31/07/2012. Pond 2 is on 26-30/07/2012, the dead fish is over mortality threshold. Ms. Nguyen Thi Ca Sum, AAH, checking this dead reason. (mortality threshold is 121 species of the 30th week of crop, the real is 124-532 species). pond 2, releasing 05/01/2012 to 31/07/2012 | | | | | | | |
| 6.5 Criteria: Fish Welfare | | Compliance | | | Finding | | | |
| | | Auditor Evaluation (Required CB Actions). | Yes | No | N/A | | | |
| 6.5.1 | <p>Indicator: Minimum average growth rate</p> <p>Requirement: 3.85 g/day</p> <p>Applicability: All</p> | <p>Instructions to Clients for Indicator 6.5.1- Calculating Average Growth Rate</p> <p>Annex D of the ASC Pangasius Standard provides formulas for calculating yield and average growth rate (AGR). Farms must perform these calculations using harvest and stocking data from individual ponds (i.e. it is calculated on a crop-by-crop basis). It should be done as follows:</p> <p>Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1)</p> <p>AGR_{P1} = Yield_{P1} / duration of production cycle (Pond1)</p> <p>Where weights are given in grams (g), duration is given in number of days (d), AGR is computed in units of grams per day (g/d), and enclosure are identified by subscripts P1, P2, P3 etc.</p> <p>Repeat the AGR calculations for the second pond, third pond... etc. until an AGR has been determined for each pond that was harvested. For first audits, records must cover at least 1 full crop per site (see preamble). Next calculate the farm-wide weighted average AGR using the following formula:</p> <p>Weighted Average AGR = (AGR_{P1} x Yield_{P1}) + (AGR_{P2} x Yield_{P2})... + (AGR_{Pn} x Yield_{Pn}) / (Yield_{P1} + Yield_{P2} ... + Yield_{Pn})</p> <p>Note of clarification from the pangasiusAquaculture Dialogue Steering Committee: Indicator 6.5.1 was developed under the assumption that:</p> <ul style="list-style-type: none"> - fish are stocked at 80 grams, - harvested at 1,000 grams and - average production cycle is 8 months. <p>Given that specific growth rates of Pangasius are variable with body size (i.e. size and age dependent), formulas will yield a: reduced level of absolute growth if fish are harvested at a substantially smaller size than 1 kg. (e.g. farms that harvest fish at 600-700g average body weight).</p> <p>Auditors are instructed as to evaluate Indicator 6.5.1 as follows. Farms must provide auditors with sufficient information to verify average fish size and weight at stocking, average fish size and weight at harvest, and average duration of production cycle. Auditors shall review the farm's calculations of observed growth rate and monitor whether the farm is in compliance.</p> | | | | | | |
| | | A. Verify farm maintains records of the weight of fish stocked in each enclosure. | X | | | records (e.g. receipts from seed suppliers) | | |
| | | B. Verify farm maintains records of the weight of fish harvested from each enclosure. | | | | records of the weight of fish harvested of pond | | |
| | | C. Review calculation to confirm accuracy and completeness | | | | Review calculation | | |
| D. Verify that the farm-wide weighted average AGR complies with the requirements. | Pond 5: 3.87g/day; pond 11: 3.85g/day; average is 3.86g | | | | | | | |

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| 6.5.2 | Indicator: Maximum fish density at anytime Requirement: 38 kg/m ² for ponds and pen Applicability: Ponds and Pens | A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit. | X | | | Review the map and verified by inspection |
| | | B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen. | | | | pond 5: during faring from 1.3-30.5kg/m ² Pond 11: during faring from 1.1- 20.7kg/m ² |
| | | C. Review calculations for fish density at harvest to verify compliance | | | | pond 5: final 37kg/m ² Pond 11: final 24kg/m ² |
| | | D. Review monthly estimates of fish density to verify compliance. | | | | monthly estimates of fish density : "pond 5: during faring from 1.3-30.5kg/m ² Pond 11: during faring from 1.1- 20.7kg/m ² " |
| 6.5.3 | Indicator: Maximum fish density at anytime Requirement: 80 kg/m ³ for cages Applicability: Cages | A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit. | | | X | N/A |
| | | B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage. | | | | N/A |
| | | C. Review calculations for fish density at harvest to verify compliance | | | | N/A |
| | | D. Review monthly estimates of fish density to verify compliance. | | | | N/A |
| 6.6 Criteria: Predator control | | Compliance | | | Finding | |
| | | Auditor Evaluation (Required CB Actions). | Yes | No | N/A | |
| 6.6.1 | Indicator: Use of lethal predator [61] control Requirement: No Applicability: All | A. Review predator control procedure and list of predator control devices. | X | | | predator control procedure and list of predator control devices in Predator control SSOP on 15/05/2012 by Mr. Nguyen Thanh Long |
| | | B. Inspect site to verify no use of lethal predator controls. | | | | no use of lethal predator controls. |
| Footnote | | [61] Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all | | | | |
| 6.6.2 | Indicator: Mortality of IUCN red listed species. Requirement: 0 (zero) Applicability: All | A. Repeat analysis to verify that client possesses an accurate result. | X | | | please more at point 2.2.4 |
| | | B. Verify that farm procedures are appropriate and implemented (as applicable) | | | | please more at point 2.2.4 |
| | | C. During local community interviews, verify there is no evidence of the farm causing mortality of IUCN red listed species [also see Indicator 2.2.4(E)] | | | | By interviewing, Mr. Nguyen Hoang Toan, Ms. Le Thi Ca, Ms. Le Thi Hanh and Mrs. Phan Thi Truoc, no evidence of the farm causing mortality of IUCN red listed specie |
| 7.1 Criteria: Labor Law | | Compliance | | | Finding | |
| | | Yes | No | N/A | | |
| 7.1.1 | Indicator: Compliance with labor laws in the country where pangasius is produced Requirement: Yes Applicability: All | | | | X | National and local labor regulations applicable to the farm is in place |
| | | | | | | Based on the article 141 of Vietnam labor law, if the contract under 03 months, the employer shall include insurance fee into salary of employees. The auditor checked 12 contracts of 17 workers. However, the only one contract of Mr. Tran Van Dung (Not Mr. Nguyen Van Dung which is adjusted in the audit report) is under 03 months and not including insurance payment for two previous months. |
| 7.2 Criteria: Child labor [62] and young workers [63] | | Compliance | | | Finding | |
| | | Yes | No | N/A | | |
| Footnote [62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for | | | | | | |
| Footnote [63] Young worker: Any worker between the age of child as defined and under the age of 18. | | | | | | |
| 7.2.1 | Indicator: Minimum age of workers Requirement: Yes | | X | | | the list of employees maintained. Checked ID of Le Van Quyen- born in 11.09.1992 |
| | | | | | | copies of the official ID of all the employees listed showing date of birth is maintained |
| | | | | | | Checked copies of the official ID of all the employees and inspected the farm, No children and young workers found |

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| | Applicability: All | | | | Declaration of the farm on 15/05/2012 stating that the farm is against child labor and will not employ anybody younger than 15 years old |
| 7.2.2 | <p>Indicator: For workers under 18 years old</p> <p>1 - Work does not jeopardize schooling</p> <p>2 - Work, when added to the hours of schooling, does not exceed 10 hour/day</p> <p>3 - Work is restricted to light work [64]</p> <p>4 - Work is restricted to non-hazardous work [65]</p> <p>Requirement: Yes</p> <p>Applicability: Farms with employees younger than 18 years old.</p> | | X | | Checked copies of the official ID of all the employees and inspected the farm, no workers below 18 years old |
| Footnote [64] Light Work: (ILO convention 138, article 7.1) Light work is work that is 1) not likely to be harmful to a child's health or development and 2) not likely to prejudice their attendance at school, participation in vocational orientation or training programs, or diminish their capacity to benefit from instruction received. | | | | | |
| Footnote [65] Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers. | | | | | |
| 7.3 Criteria: Forced and compulsory labor [66] | | | Compliance | | Finding |
| | | | Yes | No | N/A |
| Footnote [66] Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents). | | | | | |
| 7.3.1 | <p>Indicator: Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68]</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | X | | <p>verified labour contract of Vo Van Thom signed from 01.02.2012 including benefit, working time, etc..clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment.</p> <p>Interviewed workers to show that workers' rights as indicated in this Requirement are duly respected</p> <p>No evidence to show the farm or the employer withholds employee's original identity papers</p> <p>Checking salary payment for workers from Jan to June 2012, and interviewing workers, the farm does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for the employer</p> <p>no employee is obligated to work at the farm to repay debt</p> |
| Footnote [67] As stated in the contract. | | | | | |
| Footnote [68] Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees. | | | | | |
| 7.4 Criteria: Health and safety | | | Compliance | | Finding |
| | | | Yes | No | N/A |
| 7.4.1 | <p>Indicator: The employer provides a non-hazardous working and living environment.</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | X | | <p>observed and interviewed workers and found that the safety PPE have been provided.</p> <p>Safe Practice guidelines (SOP) for all health and safety hazards listed which is mentioned in "Hazard Assessment in Ntaco farm"</p> <p>Employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.</p> <p>Employees can access to potable drinking water.</p> <p>Sanitary conditions for the safe disposal of human waste are in practice (septic toilets)</p> <p>The employees' housing is constructed of materials able to withstand local conditions</p> |

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| 7.4.2 | <p>Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them.</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | X | | | By observation and interviewing the workers, all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b. For example, the lifebuoys are available in the ponds for safety |
| Footnote [69] Hazard: The inherent potential to cause injury or damage to people's health - for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals. | | | | | | |
| 7.4.3 | <p>Indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action for each.</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p> | | X | | | <p>The form to record all accident as well as its corrective action taken is available</p> <p>The accident book has been checked. However, in the past six months nothing happen.</p> |
| Footnote [70] Accidents that could not be handled in-house, the person was taken to the closest clinic | | | | | | |
| 7.4.4 | <p>Indicator: Employer ensures that all permanent workers have health insurance [71]</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | X | | | <p>a list of all permanent workers is available</p> <p>health insurance coverage for all permanent workers</p> |
| Footnote [71] Health insurance is required for workers who are employed for >3 months/year. If not covered under national law/employers must provide insurance to cover 100% of any job-related accident/injury for permanent workers. The cost associated with permanent disabilities generated from a job related accident is, however, not included. | | | | | | |
| 7.5 Criteria: Freedom of association and collective bargaining [72] | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| Footnote [72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to | | | | | | |
| 7.5.1 | <p>Indicator: Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74].</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | X | | | <p>copies of employees' contracts are available. The contracts explicitly state the right of freedom of association</p> <p>labour collective bargain dated 09.04.2011 and Trade Union Leader is Mr. Ho Phuc Hau</p> <p>Trade union involved in Labor rights, are able to access/inform all workers directly</p> <p>trade union representatives can access to their members in the workplace at reasonable times</p> <p>Declaration of the farm on 15/05/2012 explicitly stating the employer's commitment to freedom of association and collective bargaining rights of al</p> |
| Footnote [73] Worker: A person who enters an agreement of any duration with an enterprise to work for the enterprise in return for remuneration in cash or in kind. Immediate family members of the farm owner (i.e., children, spouse, parents, brothers and sisters) and exchange labor may not be considered as workers, unless they express their desire to be workers. | | | | | | |
| Footnote [74] Workers must not be prohibited from accessing such organizations when they exist. If they do not exist or are illegal, companies must make it clear that they are willing to engage in a collective dialogue through a representative structure freely elected by the workers. | | | | | | |
| 7.6 Criteria: Discrimination | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| 7.6.1 | <p>Indicator: Workers do not suffer any discrimination [75] from the employer or other workers</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | X | | | <p>The policy of anti-discrimination has been established.</p> <p>records of employees' salary</p> <p>a policy protecting pregnant and lactating mothers is implemented</p> |
| Footnote [75] Including but not limited to: race, caste, origin, color, gender, age, disability, religion, sexual orientation, resident or migrant, union and political affiliations. | | | | | | |
| 7.7 Criteria: Fair and progressive practices toward workers including disciplinary practices) | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| | <p>Indicator: Employers treat all workers with dignity and respect</p> | | | | | Interview and found that all employees have been treated fairly |

| | | | | | | |
|--|--|--|-------------------|----|-----|--|
| 7.7.1 | Requirement: Yes Applicability: All | | X | | | no deductions in pay are made for disciplinary actions |
| 7.8 Crifeno: Working hours | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| 7.8.1 | Indicator: Maximum number of regular working hours Requirement: 8h/day or 48h/week (although these do not have to be consecutive hours) Applicability: All | | X | | | the timesheet is available The working time is from 7:00 to 11:00 and 13:00 to 17:00 |
| 7.8.2 | Indicator: Workers have the right to leave the farm after completing the standard work-day Requirement: Yes Applicability: All, Farm-Wide | | X | | | workers can leave the farm during their allocated free time Checked the contract of Nguyen Van Men, labor contracts clearly state workers' right to leave. |
| 7.8.3 | Indicator: Minimum time off Requirement: Two nights/week off if residing on the farm and a total four days/month off for all workers Applicability: All, Farm-Wide | | X | | | The auditor made interview for 05 workers of 17 workers in the farm as well as checked the time-sheet in the last 6 months. These workers declared that they are allowed to leave the farm 2 nights off/week. However, this is not mentioned in contract or farm regulation workers have at least 4 days/month off the timesheet is available from Jan. to June 2012 |
| 7.8.4 | Indicator: Overtime hours 1- Are voluntary 2- do not exceed a maximum of 12 hours per week 3- occur on an exceptional (not regular) basis 4- are paid at a premium rate [76], (i.e. an additional 20% is paid to the normal salary) Requirement: Yes Applicability: All, Farm-Wide | | X | | | some records checked and found that it is compliance eg: case of Nguyen Van Loc - salary 2.100.000 VND/month Checked the contracts, it is said that the overtime conditions and associated rights records of payments for overtime hours is in place |
| Footnote [76] Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/ regulations and/ or industry standards. Must be 120% of normal rate or higher. | | | | | | |
| 7.9 Criteria: Fair and decent wages | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| 7.9.1 | Indicator: The employer pays at least minimum wages as defined by law, or ensures that wages cover basic needs [77], plus some discretionary income [78], whichever is higher Requirement: Yes Applicability: All, Farm-Wide | | X | | | According to the circular no. 70/2011/ND-CP on 22/08/2011 of Government, the minimum wage is 1.780.000VND for Area II (Long Xuyen city) and The salary of Workers trained must get at least the minimum wage + (the minimum wage x 7%). By checking randomly the contract of Mr. Vo Van Thom, it is showed that the salary is 1,800,000VND According to the circular no. 70/2011/ND-CP on 22/08/2011 of Government, the minimum wage is 1.780.000VND for Area II (Long Xuyen city) and The salary of Workers trained must get at least the minimum wage + (the minimum wage x 7%). The auditor checked 12 contracts of 17 workers. However, the only case of Mr. Vo Van Thom, the salary is lower than the regulation regarding the 7% for trained workers receipts of salary payment from Jan to Jun 2012 are in place |
| Footnote [77] Basic needs are determined by calculating the cost of the basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, and the average size of a household in a given country. Recognized representative shopping basket surveys include those undertaken by national authorities and multi-lateral developmental agencies. A basic or living wage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax payments, health care and an additional 10% discretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs wage (without financial deductions) or national legal minimum wage; whichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., uniform, tools and lunches) will not bring "take home" pay below a basic needs standard. | | | | | | |

| Foodnote [78] For guidance and methods for basic needs wage calculation, see SA8000 Guidance Document. | | | | | |
|--|--|--|-------------------|----|--|
| 7.9.2 | Indicator: Workers have the right to know the mechanism for setting the wages and benefits | | | | the salary method has been established |
| | Requirement: Yes Applicability: All | | X | | Some employees can explain the mechanism used for setting wages. However, Some employees don't know the salary calculation instruction properly |
| 7.9.3 | Indicator: Wages shall be paid in cash or in a manner most convenient to workers | | | | records of the preferred method of payment for each employee is available |
| | Requirement: Yes Applicability: All | | X | | records of payments indicating the method of payment by cash to employees |
| 7.10 Criteria: Labor contracts | | | Compliance | | Finding |
| | | | Yes | No | N/A |
| 7.10.1 | Indicator: Workers have copies of, and can understand, their labor contract [79] | | | | labour contract of Nguyen Van That |
| | Requirement: Yes Applicability: All | | X | | He can understand his labor contracts. |
| Foodnote [79] Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must take place to establish that the employer and the employee understand in the same way the terms of the verbal agreement. | | | | | |
| 7.10.2 | Indicator: Maximum length of probation period stated in the contract for workers, other than farm managers and workers with an university degree. | | | | Probation labour contract of Nguyen Van That signed in 01.07.2012 and after one month signed 01.08.2012 |
| | Requirement: 1 month | | X | | Nguyen Van That can understand his probation times which is respected |
| 7.10.3 | Indicator: Maximum length of probation period stated in the contract for farm managers and workers with an university degree. | | | | All contract of farm manager and workers with a university degree and ensure that the probation time is clearly stated and does not exceed 2 months. |
| | Requirement: 2 months Applicability: All | | X | | probation times are understood by employees and respected |
| 7.11 Criteria: Management system | | | Compliance | | Finding |
| | | | Yes | No | N/A |
| 7.11.1 | Indicator: The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions. | | | | Complaint box is available in the front of the gate. |
| | Requirement: Yes Applicability: All | | X | | Complaint book is also there. However, No complaint cases as workers feel quite compliance |
| 7.11.2 | Indicator: Percentage of issues raised by workers which are registered, tracked and responded to by the employer | | | | The farm established the complaint box as well as the complaint form and record. There is no complaint from Jun to now |
| | Requirement: 100% Applicability: All | | X | | Complaint box is available in the front of the gate. |
| | Indicator: Percentage of complaints that are resolved [80] within one month after being | | | | There is no complaint from Jun to now |

| | | | | | | |
|---|---|--|-------------------|----|-----|--|
| 7.11.3 | received [81] Requirement: 90% Applicability: All | | X | | | There is no complaint from Jun to now There is no complaint from Jun to now |
| Foodnote [80] Resolution of a conflict is defined as when both parties agree to remove it from the list of conflicts. | | | | | | |
| Foodnote [81] Complaints include the ones coming from other resource users, employees and buyers (e.g., middlemen or processors). | | | | | | |
| 7.11.4 | Indicator: A plan for addressing the yet to be resolved conflicts is developed and complied with Requirement: Yes Applicability: All | | X | | | policy for conflict resolving dated 15.07.2012 Not any conflict is found yet |
| 7.11.5 | Indicator: Timeframe for the contracting [82] of suppliers and service providers that ensure suitable health and safety conditions for their workers [83] Requirement: Within 1 year from achieving certification Applicability: All | | X | | | Declaration of the farm on 15/05/2012 to contract only suppliers and service provides that ensure suitable health and safety condition within 1 year. N/A the first audit |
| Foodnote [82] Including either written or verbal contracts. | | | | | | |
| Foodnote [83] As defined in these Requirements. | | | | | | |
| 7.12 Criteria: Record-keeping | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| 7.12.1 | Indicator: Records of the hours worked by every worker employed in the farm are available Requirement: Yes Applicability: All, Farm-Wide | | X | | | Even the timesheet is available, but no hour worked count on the timesheet. (OBS) a list of all employees employed in the farm |
| 7.13 Criteria: Participatory social impact assessment for local communities. | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| 7.13.1 | Indicator: A participatory Social Impact Assessment (p-SIA)[84] is conducted (See Annex F for more information) Requirement: Yes Applicability: All | | X | | | P-SIA report dated 15.01.2012 by Ph. D Vu Ngoc Long P-SIA report dated 15.01.2012 by Ph. D Vu Ngoc Long |
| Foodnote [84] p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project | | | | | | |
| 7.13.2 | Indicator: Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language Requirement: Yes Applicability: All | | x | | | List of receiving p-SIA has been kept. In the p-SIA participated 20 community members and the company have a signing record of receiving the p-SIA for 10 members. |
| Foodnote [85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share | | | | | | |
| 7.14 Criteria: Complaints by local communities | | | Compliance | | | Finding |
| | | | Yes | No | N/A | |
| | Indicator: A verifiable conflict resolution policy | | | | | a conflict resolution policy for local communities is established |

| | | | | | |
|---|--|--|-------------------|--|--|
| 7.14.1 | [86], [87], for local communities is developed and applied | | X | | List of receiving a conflict resolution policy dated 23.07.2012. |
| | Requirement: Yes Applicability: All | | | | records of meetings is in place |
| Footnote [86] The policy shall state how conflicts and corn plants will be tracked transparently and explain how to respond to all received complaints. | | | | | |
| Footnote [87] The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local government and at least one civil society or customary organization chosen by the community shall have access to the conflict resolution process and the documentation thereof. A conflict is deemed resolved if both parties in the negotiation process have agreed to take it off the agenda. | | | | | |
| 7.14.2 | Indicator: Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used. | | X | | Monitoring book for conflict resolving is kept. No complaint until now |
| | Requirement: Yes | | | No complaint until now | |
| | Applicability: All | | | No complaint until now | |
| 7.14.3 | Indicator: Percentage of conflict resolved within the date of being filed. | | X | | No complaint until now |
| | Requirement: Within 6 months 50% Within 1 year 75% Within 2 years 100% Applicability: All | | | No complaint until now | |
| 7.15 Criteria: Preferential employment for local communities | | | Compliance | | Finding |
| | | | Yes | No | N/A |
| 7.15.1 | Indicator: Evidence of advertising positions within local communities before migrant workers are hired. | | X | | a list of all employees employed in the farm indicating also place of origin is in place |
| | Requirement: Yes | | | The copy of the picture to show the dated advertisements posted around the farm to advertise | |
| | Applicability: All | | | a list of all employees employed in the farm coming from a location other than the location of the farm with the name, address and contact number of all the people consulted to advertise the position in the local community | |
| 7.15.2 | Indicator: An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities. | | X | | List of employees indicating also place of origin dated 31.07.2012 |
| | Requirement: Yes, if workers outside the local community are employed Applicability: All | | | Recruitment notice from 01.04.2012 to 01.05.2012 no mention on discrimination. A written explanation for employing workers outside the local community is available | |

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| ASC audit checklist | | |
| ASCASS-PAD.F01(01) | | |
| Reportnumber: | 813808-ASC-2012-01-LTTT | |
| 3. Summary and Conclusion | | |
| 3.1a . Outstanding non-conformities since previous audit report | | |
| No NC: N/A (The first audit) | Standard and Requirement:N/A (The first audit) | Category: N/A (The first audit) |
| Date found: N/A (The first audit) | Dead line for correction: N/A (The first audit) | |
| Description of requirement: N/A (The first audit) | | |
| Description of non-conformity: N/A (The first audit) | | |
| Evidence received, and analysis of corrections and corrective actions provided for NC closure: N/A (The first audit) | | |
| Status:N/A (The first audit) | | |
| 3.1b Identified non-conformities during present evaluation | | |
| Finding: 01 | Standard and Requirement: ASC pangasius standard 2.2.2 | Category: Minor |
| Date found: 02/08/2012 | Dead line for correction: in one year 01/08/2013 | |
| Description of requirement: Evidence that a contribution of at least USD \$0.50 per ton of fish produced has been paid to the environmental and social restoration fund annually a. Submit a signed letter to the ASC committing to pay a contribution to the fund for all certified fish harvested from the day of first certification. | | |
| Description of finding: The letter has not yet sent to ASC | | |
| Corrective action request: The letter should be sent directly to ASC | | |
| Evidence received, and analysis of corrections and corrective actions provided for NC closure: The client sent the letter to Mr. Bas Geerts on 05/08/2012 and Mr. Bas's confirmation on 06/08/2012 | | |
| Status: CLOSED | | |
| Finding: 02 | Standard and Requirement: ASC pangasius standard 2.4.1 | Category: Minor |
| Date found: 02/08/2012 | Dead line for correction: in one year 01/08/2013 | |
| Description of requirement: Farm complies with water allocation limits asset by focal authorities or a reputable independent institution d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports pn water allocation (if applicable). | | |
| Description of non-conformity: The farm has no information of academic institution about water allocation. | | |

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| <p>Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence The farm should get more information of academic institution about water allocation.</p> | | |
| <p>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</p> | | |
| <p>Status: OPEN</p> | | |
| Finding: 03 | Standard and Requirement: ASC pangasius standard 3.1.3 | Category: MINOR |
| Date found: 02/08/2012 | Dead line for correction: in one year 01/08/2013 | |
| <p>Description of requirement: Amount of TP discharged per metric ton of fish produced at Instruction to Clients for Indicator 3.1.3 of 15% of all ponds production</p> | | |
| <p>Description of non-conformity: There are only two ponds in the full crop instead 03 ponds (15 % of 17 pond). The farm needs to caculate the TP and TN of pond 9 (harvested on 01/08/2012)</p> | | |
| <p>Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Provide the TP calculation of pond 9</p> | | |
| <p>Evidence received, and analysis of corrections and corrective actions provided for NC closure: The calculation table of TP of pond 9 is provided.</p> | | |
| <p>Status: CLOSED</p> | | |
| Finding: 04 | Standard and Requirement: ASC pangasius standard 3.1.4 | Category: MINOR |
| Date found: 02/08/2012 | Dead line for correction: in one year 01/08/2013 | |
| <p>Description of requirement: Amount of TN discharged per metric ton of fish produced at Instruction to Clients for Indicator 3.1.4 of 15% of all ponds production</p> | | |
| <p>Description of non-conformity: There are only two ponds in the full crop instead 03 ponds (15 % of 17 pond). The farm needs to caculate the TP and TN of pond 9 (harvested on 01/08/2012)</p> | | |
| <p>Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Provide the TP calculation of pond 9</p> | | |
| <p>Evidence received, and analysis of corrections and corrective actions provided for NC closure: The calculation table of TN of pond 9 is provided. Because the audit date was changed not as planned, thus until at the official audit time, the farm has to calculate TP of 03 ponds instead of 2 ponds.</p> | | |
| <p>Status: CLOSED</p> | | |
| Finding: 05 | Standard and Requirement: ASC pangasius standard 3.4.1 b | Category: MINOR |
| Date found: 02/08/2012 | Dead line for correction: in one year 01/08/2013 | |

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Description of requirement:
b. Maintain records of sludge disposal to show volume or weight and condition (i.e. Fresh or dried) when disposed. For first audits, farm records must cover ≥ 3 months.

Description of non-conformity:
records of sludge disposal in 03 months. There is only the volume of the wet sludge but there is no weight of dried sludge.

Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence

The record of the sludge in weight for the next sludge disposal

Evidence received, and analysis of corrections and corrective actions provided for NC closure:

Status: OPEN

| | | |
|--------------------|---|------------------------|
| Finding: 06 | Standard and Requirement: ASC pangasius standard 6.2.2 | Category: MINOR |
|--------------------|---|------------------------|

| | |
|-------------------------------|---|
| Date found: 02/08/2012 | Dead line for correction: 01/08/2013 |
|-------------------------------|---|

Description of requirement:
Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose

"b. For each application of veterinary medicines and chemicals for therapeutic use, provide a description of condition and evidence showing endorsement (prescription) from an aquatic animal health specialist."

Description of non-conformity:
There is no witnessing of the person responsible for whether workers' application chemical to the pond as the written prescription of AAH specialist.

Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence

In the next chemical and medicine application, the record to show the person responsible for workers's chemical application following the written prescription of AHH specialist

Evidence received, and analysis of corrections and corrective actions provided for NC closure:

Status: OPEN

| | | |
|--------------------|---|------------------------|
| Finding: 07 | Standard and Requirement: ASC pangasius standard 7.1.1 | Category: MINOR |
|--------------------|---|------------------------|

| | |
|-------------------------------|---|
| Date found: 03/08/2012 | Dead line for correction: 01/08/2013 |
|-------------------------------|---|

Description of requirement:
Compliance with labor laws in the country where pangasius is produced
b. Ensure that the farm and all employees on the farm comply to the labor regulations.

Description of non-conformity:
Based on the article 141 of Vietnam labor law, if the contract under 03 months, the employer shall include insurance fee into salary of employees. However, Verified the salary of Mr. Nguyen Van Dung (from May to July 2012) and found that his salary doesn't include insurance fee from the employer's responsibility

Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence

Provide the salary payment for which part in lack based on the article 141 of Vietnam labor law

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| Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit] The salary payment of August 2012 including the supplement of the previous months | | |
| Status: CLOSED | | |
| Finding: 08 | Standard and Requirement: ASC pangasius standard 7.8.3 | Category: OBSERVATION |
| Date found: 02/08/2012 | Dead line for correction: do not have defined timelines for action but the producer may undertake the necessary action to prevent an NC being identified in future. | |
| Description of requirement: Two nights/week off if residing on the farm and a total four days/month off for all workers a. Ensure that all workers residing at the farm have the right to 2 nights off/week. | | |
| Description of non-conformity: No mention two nights/week off in the procedure/contract | | |
| Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Mention the workers have the right to 2 nights off/weeks in the contract and the farm regulation | | |
| Evidence received, and analysis of corrections and corrective actions provided for NC closure: The contract and the farm regulation mentioned 2 nights off/week | | |
| Status: CLOSED | | |
| Finding: 09 | Standard and Requirement: ASC pangasius standard 7.9.1 | Category: MINOR |
| Date found: 03/08/2012 | Dead line for correction: 01/08/2013 | |
| Description of requirement: The employer pays at least minimum wages as defined by law, or ensures that wages cover basic needs, plus some discretionary income, whichever is higher. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employee | | |
| Description of non-conformity: According to the circular no. 70/2011/ND-CP on 22/08/2011 of Government, the minimum wage is 1.780.000VND for Area II (Long Xuyen city) and The salary of Workers trained must get at least the minimum wage + (the minimum wage x 7%). Thus, the total salary shall be 1.904.600VND. However, verified the contratc of Mr. Vo Van Thom signed on 01/02/2012 and found that the salary is lower than the regulation | | |
| Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Provide the salary payment for which part in lack based on the circular no. 70/2011/ND-CP on 22/08/2011 of Government | | |
| Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Provide the salary payment for which part in lack based on the circular no. 70/2011/ND-CP on 22/08/2011 of Government | | |
| Status: CLOSED | | |
| Finding: 10 | Standard and Requirement: ASC pangasius standard 7.9.2 | Category: OBSERVATION |
| Date found: 02/08/2012 | Dead line for correction: do not have defined timelines for action but the producer may undertake the necessary action to prevent an NC being identified in future. | |
| Description of requirement: Workers have the right to know the mechanism for setting the wages and benefits b. Ensure that employees are aware of the mechanism used for setting wages. | | |

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| Description of non-conformity: Some employees don't know the salary calculation instruction properly | | | |
| Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Setting the salary calculation instruction for transferring to workers | | | |
| Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit] The salary calculation instruction and the list of workers in the meeting of instruction of salary calculation | | | |
| Status: CLOSED | | | |
| Finding: 11 | Standard and Requirement: ASC pangasius standard 7.13.2 | | Category: OBSERVATION |
| Date found: 02/08/2012 | Dead line for correction: do not have defined timelines for action but the producer may undertake the necessary action to prevent an NC being identified in future. | | |
| Description of requirement: Local communities, local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language b. Be in possession of signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available). | | | |
| Description of non-conformity: Don't know how to control that at least 50% of the people having received the p-SIA. | | | |
| Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence Provide the list of rest 50% | | | |
| Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit] | | | |
| Status: OPEN | | | |
| 3.5 Attachments to this report | | | |
| * The map of the farm * The information sent before the external audit: pre-audit checklist | | | |
| 3.7 Summary and conclusion | | | |
| Does the farm comply with ASC Pangasius standard? | | | |
| <input checked="" type="checkbox"/> YES | <input type="checkbox"/> NO | | Only Minor Non-Conformities were detected and the applicant is recommended for certification. |
| 4. Valid period of Certificate | | | |
| Date of issue | | | |
| Date of expiry | | | |
| 5. Determination of the start of the CoC | | | |
| Can the product enter further certified Chains of Custody and eligible to carry the ASC label? | | | |
| <input checked="" type="checkbox"/> YES | <input type="checkbox"/> NO | | |
| 5. Approval of the assessment report by Client | | | |
| Date: 03/08/2012 | | Date: 03/08/2012 | |
| Auditor: LE TRAN TRUONG THUY signature: | | Company representative : signature | |

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6. Review of the assessment report by the certifier

Date: 16-08-12

Certifier : Pilar Kuriyama Roca

Signature:

Comments: