

**Control Union Peru SAC**

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<b>ASC audit checklist</b>						
ASCASS-PAD.F01(01)						
<b>Reportnumber:</b>			821749-ASC-2012-01-LTTT			
<b>1.1 Client contact data</b>						
CUC number:		821749				
Company name:		HUNG VUONG CORPORATION				
Contact person:		LE KIM PHUNG				
Address:		BLOCK 44 - MY THO INDUSTRIAL ZONE - TIEN GIANG PROVINCE, VIETNAM				
Postal code:		84				
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Country:		VIETNAM				
Telephone number:		+84 733 854 245	Fax Number:		+84 733 854 248	
e-mail:		<a href="mailto:info@hungvuongpanga.com">info@hungvuongpanga.com</a>				
<b>1.2 Audit information</b>						
Date of last external audit :		THE FIRST AUDIT				
Audit date :		20-21/08/2012				
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 :		<b>Announced</b> / Unannounced <b>Initial</b> / Surveillance / Recertification				
<b>1.3 Scope of ASC</b>						
Scope: <b>AQUACULTURE</b>		Standard Version: 01		Specie: Pangasius		
<b>Production units</b>						
	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
F-01	Phu Tuc farm	Tan My, Phu Tuc, Chau Thanh E:106o17'20"972 N:10o19'33"519 E:106o17'17"261 N:10o19'21"581 E:106o17'4"266 N:10o19'28"160 E:106o17'4"700 N:10o19'38"674	The local channel	Ben Tre	Vietnam	Pangasius

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**Changes since last audit:**

YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>	If YES, Description:	N/A
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**1.4 Other information**

Brand name of the company: HUNG VUONG CORPORATION

Mention other existing certification schemes of licensee: No

Lead Auditor :LE TRAN TRUONG THUY  
  
signature

Company representative :  
  
signature

ASC audit checklist						
ASCASS-PAD.F01(01)						
Report number:			821749-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 audit-s, 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						
1.1 Criteria: Local and national regulations			Compliance		Finding	
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	
1.1.1	Indicator: Presence of all pertinent: permits and registrations required by local and national authorities	A. Verify farm has all registrations as required by local and national authorities.	X			Environmental protection commitment 8 ha on 2008 approved on 20/01/2009 by Le Van Tu - Chau Thanh province; 12 ha on 04/2012 approved on 22/05/2012
	Requirement: Yes	B. Verify farm has aquaculture farming licence (as applicable).				The document "no.410/SNN-NTTS related to Fisheries program of Ben Tre Forestry and Aquaculture" on 17/05/2012 by The branch of Agriculture and Rural development
	Applicability: All	C. Verify farm has a commercial licence (as applicable).				"Business licence of joint stock industrial zone" no. 120050529 on 15/01/2007, changed on 27/02/2012 approved by The service of Planning and Investment of Tien Giang
		D. Verify compliance				The decision no. related to "Ben Tre Forestry and Aquaculture company rent the land of Phu Tuc village, Chau Thanh district"
1.1.2	Indicator: Presence of documents proving compliance with pertinent tax: laws	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]	X			The decision no. 907/QD-CT on 01/7/2012 related to tax payment by Tax bureau of Tien Giang province
	Requirement: Yes	B. Verify client has current tax law information and a basic understanding of tax requirements.				The decision no. 548/CT-THNVDT on 17/9/2007 related to "No fee for renting land" of Tax bureau - the tax service of Ben Tre
1.1.3	Indicator: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations	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:				
	Requirement: Yes	A. Verify compliance. If (b), (c) or (d), then enter not applicable for (a).	X			Taking sample document on 26/04/2012 by Mr. Nguyen Thanh Tuan and Ms. Nguyen Thi Phuong Tam of Testing Laboratory – Centre Monitoring Technical Resources and Environment Dong Thap
	Applicability: Ponds	B. Verify compliance. If (a), (c) or (d), then enter 'not applicable for (b)				Testing analysis result no. 554/KQTN on 26/4/2012 for discharging of the first settlement pond (which for pond 1 to 11). From the mid-july of 2012, the second settlement pond has been used for pond 1, but no have the testing analysis to show compliance with the local regulation before discharging
		C. Verify compliance. If (a), (b) or (d), then enter not applicable for (c)				The circular no. 45/2010/TT-BNNPTNT of Ministry 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.	A. Verify client has documents to show legal access to and use of land and water.	X			Land ownership is available for 20 ha
	Requirement: Yes	B. Verify farm possesses permits and complies with the farm.				The circular no. 45/2010/TT-BNNPTNT of Ministry of Agriculture and Rural development
	Applicability: All	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.				No have water using limitation in aquaculture by Mr. Nguyen Thanh Son on 20/08/2012 by The committee of people of Phu Tuc village
PRINCIPLE II: 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			Compliance		Finding	
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	

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:106o17'20"972 N:10o19'33"519 E:106o17'17"261 N:10o19'21"581 E:106o17'4"266 N:10o19'28"160 E:106o17'4"700 N:10o19'38"674  The document "no.410/SNN-NTTS related to Fisheries program of Ben Tre Forestry and Aquaculture" on 17/05/2012 by The branch of Agriculture and Rural development  The document "no.410/SNN-NTTS related to Fisheries program of Ben Tre Forestry and Aquaculture" on 17/05/2012 by The branch of Agriculture and Rural development
Footnote [4] Pond, cage and pen-based facilities						
2.2 Criteria: Conversion of notural ecosystems						
		Auditor Evaluation (Required CB Actions)	Yes	No	N/A	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 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			CV03/2012-NT on 27/8/2012 showed that the farm was allocated prior to 10 years  There is no extension after 31/08/2010  Interviewed Ms. Huỳnh -neighbour od Phu Tuc famr. The farm is from agricultrre prior to 10 years.
Footnote [5] For Ponds established after the publication of the PAD standards.						
Footnote [6] From government organizations.						
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.  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.		X		"A commitment letter" no. 002/TCK-TM-HV on 15/08/2011, signed by Mr. Duong Ngoc Minh. The letter was sent to Mr. Bas on 19/08/2012 and waiting for Mr. Bas's reply
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.  B. Review list of construction activities and means of disposing of earth.  C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.	X			"The declaration of the farm" no. 003/BCB-TM-HV on 15/08/2011 signed by Mr. Duong Ngoc Minh  "A statement letter" no. 82/TCK-TM, HV on 1/9/2011 for no disposing earth into common water bodies  Interviewed Ms. Le Thi Co, Mr. Tran Van Doi, Ms. Pham Thi Be Ba, Mr. Mai Van Mi, Mr. Ngo Minh Loi, there is no disposing 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.  B. Review the source and accuracy of the list.  C. Review list for completeness. Compare with results from search of IUCN database of red list species (see 6.6.2).  D. Review procedures for adequacy.  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).	X			"Impact assessment of the pangsaius farm of Hung Vuong company, Phu Tan hamlet - Phu Tuc village - Chau Thanh district - Ben Tre province to valuable and rare animal". The assessment was carried out by Can Tho University "The list of endangered, valuable, rare wild botany, animal" with the decision no. 32/2006/ND-CP on 20/3/2006 of government  The list of the species in IUCN around the farm  "Impact assessment of the pangsaius farm of Hung Vuong company, Phu Tan hamlet - Phu Tuc village - Chau Thanh district - Ben Tre province to valuable and rare animal". The assessment was carried out by Can Tho University  Interviewed Ms. Le Thi Co, Mr. Tran Van Doi, Ms. Pham Thi Be Ba, Mr. Mai Van Mi, Mr. Ngo Minh Loi,
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.						
		Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
2.3 Criteria: Site connectivity						

2.3.1	Indicator: Farm does not impede navigation, aquatic animals or water movement.	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
	Requirement: Yes Applicability: Pens and Cages	B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.				N/A
2.3.2	Indicator: Minimum width of the water body [15] without cages, (see Diagram 1, Annex C)	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
	Requirement: ≥ 50% 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)	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
	Requirement: ≤ 20% percent of the width of the water body	B. Verify that calculations are accurate and confirm compliance.				N/A
	Applicability: Pens	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)	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
	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	B. Verify the farm's arrangement of pens is in compliance				N/A
2.4 Criteria: Water use			Compliance			Finding
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	
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 and discharge diary" of pond 7, "Pond information", the total abstractd water is 699.300m3.
		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 authority by Mr. Nguyen Thanh Son on 20/08/2012 - The people's committee of Phu Tuc
		C. Review evidence that water allocation limits have been set for the farm- by a reputable independent institution (as applicable).				The declaration of local authority by Mr. Nguyen Thanh Son on 20/08/2012 - The people's committee of Phu Tuc
		D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).				The declaration of local authority by Mr. Nguyen Thanh Son on 20/08/2012 - The people's committee of Phu Tuc. The farm has no informtion of academic institution about water allocation.
		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 and discharge diary" of pond 7, "Pond information", the total abstractd water is 699,300m3. In "Fish receiving records" with the harvested fish, The volume for this pond is 2,690m3/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.

2.4.2	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)  Requirement: 5,000 m3/metric ton of fish produced  Applicability: Ponds	Instruction to Clients for Indicator 2.4.2 -Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced 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: - 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 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					
		A. Review calculations against intake records to Confirm accuracy.	X		"Intake water diary" * Pond 5 from 15/11/2011 to 16/05/12. The total abstracted water is 699,300m3 and total weight of harvested fish is 260,000 kg. The volume for this pond is 2,690m3/ton of fish * Pond 07 from 24/09/11 to 24/03/12. The total abstracted water is 976,800m3 and total weight of harvested fish is 300,000kg. The volume for this pond is 3,256m3/ton of fish * Pond 5: total weight of harvested fish is 260,000 kg. * Pond 07: total weight of harvested fish is 300,000kg.		
		B. Verify the farm keeps records showing the weight "of fish harvested.					
		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 of pond 5 and 7, 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 reconciles with total annual production (2.4.2c) and total annual water intake (2.4.1e).				"Intake water diary" * Pond 5 from 15/11/2011 to 16/05/12. The total abstracted water is 699,300m3 and total weight of harvested fish is 260,000 kg. The volume for this pond is 2,690m3/ton of fish * Pond 07 from 24/09/11 to 24/03/12. The total abstracted water is 976,800m3 and total weight of harvested fish is 300,000kg. The volume for this pond is 3,256m3/ton of fish	
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 2,973 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 PANGASius FARMING ON WATER AND LAND RESOURCES							
3.1 Criteria: Nutrient utilization efficiency			Compliance		Finding		
Auditor Evaluation (Required CB Actions)			Yes	No		N/A	
3.1.1	Indicator: Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced.  Requirement: 20 kg/t  Applicability: Pens and Cages	Instruction to Clients for Indicators 3.1.1 and 3.1.2-Laboratory Analysis of TP and TN in Feed 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. Note 1; For first audits, farms are not required to check the TP and TN content of feeds using an independent laboratory. 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.					
		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					

		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, Department of Meteorology).						
3.1.2	Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.  Requirement: 70 kg/t  Applicability: Pens and Cages;	Note: see instructions for Indicator 3.1.1				
		A. Confirm the farm has complete and accurate records for feed used				
		B. Verify the farm possesses declarations for TN content in feed.				
		C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).			X	N/A
		D. Review farm's calculations. Cross-check purchase records against the feed quantities reported				
		E. Review farm's calculations to confirm the farm complies with the Requirement				
Footnote [20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of						
Footnote [21] Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification.						
3.1.3	Indicator: Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)  Requirement: 7.2 kg/t  Applicability: Ponds	Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged 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. 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: -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 For first audits, farm records for monitoring TP and TN discharged must cover ≥ 6 months,				
		A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.				Testing Laboratory - Centre Monitoring Technical Resources and Environment Dong Thap - Vilas 412.
		B. Review laboratory results for TP concentration				* Laboratory results for TP concentration: - Pond water of pond 5: No. of the analysis result: 1206/KQTN taken on 25/03/2012: TP is 0.98 mg/L - Pond water of pond 07: No. of the analysis result: 12027/KQTN taken on 25/01/2012: TP is 1.40 mg/L - Intake water at the local channel for pond 5: No. of the analysis result: 1208/KQTN on 25/03/2012: TP is 0.80mg/L - Intake water at the Tien river for pond 7: No. of the analysis result: 1207/KQTN on 25/01/2012: TP is 0.80mg/L
		C. Review accuracy of farm's data	X			* Pond 5: - The total weight of fish produced is 260,000kg - The total volume of water discharged 699,300m3 . - TP is 0.98 mg/L - TP discharged is 0.59kg/ton of fish. * Pond 7: - The total weight of fish produced is 300,000 kg - The total volume of water discharged 976,800m3. - TP is 1.40 mg/L - TP discharged is 1.614 kg/ton of fish
		D. Review farm's calculations to confirm accuracy.				
		E. Review farm's calculations of average TP to confirm compliance with the Requirement.				The average TP discharged for two full crops is 1.102 kg/ton of fish.
		Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged 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. 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: -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 For first audits, farm records for monitoring TP and TN discharged must cover ≥ 6 months,				
	Indicator: Amount of TN discharged per metric ton of fish					

3.1.4	produced (See TN measurement methodology and calculation in Annex D)	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.	X			Testing Laboratory - Centre Monitoring Technical Resources and Environment Dong Thap - Vilas 412.
	Requirement: 27.5 kg/t	B. Review laboratory results for TP concentration				* Laboratory results for TN concentration: - Pond water of pond 5: No. of the analysis result: 1206/KQTN taken on 25/03/2012: TN is 8.80 mg/L - Pond water of pond 07: No. of the analysis result: 12027/KQTN taken on 25/01/2012: TN is 5.00 mg/L - Intake water at the local channel for pond 5: No. of the analysis result: 1208/KQTN on 25/03/2012: TN is 3.00mg/L - Intake water at the Tien river for pond 7: No. of the analysis result: 1207/KQTN on 25/01/2012: TN is 3.00mg/L
	Applicability: Ponds	C. Review accuracy of farm's data				* Pond 5: - The total weight of fish produced is 260,000kg - The total volume of water discharged 699,300m3 . - TN is 8.80 mg/L - TN discharged is 18.88 kg/ton of fish.
		D. review farm's calculations to confirm accuracy				* Pond 7: - The total weight of fish produced is 300,000 kg - The total volume of water discharged 976,800m3. - TN is 5.00 mg/L - TN discharged is 5.379 kg/ton of fish
		E. Review farm's calculations of average TN to confirm compliance with the Requirement.				The average TN discharged for two full crops is 12.13 kg/ton of fish.
<b>3.2 Criteria: Measuring water quality in receiving water body</b>			<b>Compliance</b>			<b>Finding</b>
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)	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	X			DO record in receiving waters of the first settlement pond for pond 1 to 11 with more than 6 months from Jan to July 2012 and comply with this instruction. However, from the mid-july of 2012, the second settlement pond has been used for pond 1 because the discharged pipe from pond 1 to the first settlement pond for pond 1 to 11 was broken. From that day until now, there is no record of DO measurement at the receiving water
		B. Verify the farm technicians calibrate equipment as required.				Mr. Dinh Thanh Tung is the farm technician calibrate equipment. He can show his acknowledge.
		C. Review calculations to confirm accuracy.				DO record of settlement pond 1 to 11 and DDO at the receiving water of the settlement ponds, the calculation based on Annex D of standard, DDO avg is from 6.7%-21.15% for more 6 months
		D. Confirm the average percent change in DDO ≤ 65 %.				The auditor witnessed the farm measuring DO at the receiving water of the settlement pond.
		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.				The settlement pond 1: At 4:45am, The parameter DO, S‰, To is 3.76 mg/L, 0‰ and 29oC, respectively, and At 15:25pm, The parameter DO, S‰, To is 4.5 mg/L, 0‰ and 30oC, respectively. The DDO is 11% which is in range measurement of the farm.
	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).					
Footnote [23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.						
<b>3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]</b>			<b>Compliance</b>			<b>Finding</b>
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	
Footnote [24] This criteria is not pertinent to either cage or pen cultures						



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>Instrurtrion to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet</p> <p>Pre-amble: 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 the ASC 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:</p> <ul style="list-style-type: none"> <li>- samples are collected by staff from the fully independent accredited laboratory;</li> <li>- 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);</li> <li>- samples are collected from pond inlets and outlets during the second half of crop production (i.e. &gt; 90 days after stocking);</li> <li>- on each sampling day, at least two samples are collected from the outlet and these are tak en at least-1 hour apart (use the average value in calculations below); and</li> <li>- at a minimum the farm must sample from one pond per year.</li> </ul> <p>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</p> <p>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>			
		A. Review laboratory results for TP.	X		<p>* Laboratory results for TP concentration:</p> <ul style="list-style-type: none"> <li>- Intake water at the local channel for pond 5: No. of the analysis result: 1208/KQTN on 25/03/2012: TP is 0.80mg/L</li> <li>- Intake water at the Tien river for pond 7: No. of the analysis result: 1207/KQTN on 25/01/2012: TP is 0.80mg/L</li> <li>- settlement pond:</li> <li>+ Discharged water at the local channel for pond 5: No. of the analysis result: 341/KQTN on 25/03/2012: TP is 1.15mg/L (with 1 hour apart: 342/KQTN on 25/03/2012. TP is 1.50 mg/L)</li> <li>+ Discharged water at the local channel for pond 7: No. of the analysis result: 83/KQTN on 25/01/2012: TP is 1.10mg/L (with 1 hour apart: 1209/KQTN on 25/01/2012. TP is 1.15 mg/L)</li> <li>- Water pond:</li> <li>- Pond water of pond 5: No. of the analysis result: 1206/KQTN taken on 25/03/2012: TP is 0.98 mg/L</li> <li>- Pond water of pond 07: No. of the analysis result: 12027/KQTN taken on 25/01/2012: TP is 1.40 mg/L</li> </ul>
		B. Review calculations to verify accuracy.			Checked the calculation of the farm. The result of %TP is 43.75% and 37.5%.
		C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.			The average percent change in TP is 40.625%
		D. Contact accredited laboratory which performed the sampling for TP and TN fo confirm compliance with procedures			Contact accredited laboratory named Mr. Dinh Tien Huu and Ms. Thai Thi Thuy Trang. Their taking sample complies with this instruction
3.3.2	<p>Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (SeeTN measurement methodology and TN discharge formula in Annex D).</p> <p>Requirement: 70%</p> <p>Applicability: Ponds</p>	<p>Note: see instructions for indicator 3.3.1</p>			
		A. Review laboratory results for TN.	X		<p>* Laboratory results for TN concentration:</p> <ul style="list-style-type: none"> <li>- Intake water at the local channel for pond 5: No. of the analysis result: 1208/KQTN on 25/03/2012: TN is 3.00mg/L</li> <li>- Intake water at the Tien river for pond 7: No. of the analysis result: 1207/KQTN on 25/01/2012: TN is 3.00mg/L</li> <li>- settlement pond:</li> <li>+ Discharged water at the local channel for pond 5: No. of the analysis result: 341/KQTN on 25/03/2012: TN is 5.00mg/L (with 1 hour apart: 342/KQTN on 25/03/2012. TP is 4.80 mg/L)</li> <li>+ Discharged water at the local channel for pond 7: No. of the analysis result: 83/KQTN on 25/01/2012: TN is 4.70mg/L (with 1 hour apart: 1209/KQTN on 25/01/2012. TN is 5.00 mg/L)</li> <li>- Water pond:</li> <li>+ Pond water of pond 5: No. of the analysis result: 1206/KQTN taken on 25/03/2012: TN is 8.80 mg/L</li> <li>+ Pond water of pond 07: No. of the analysis result: 12027/KQTN taken on 25/01/2012: TN is 5.00 mg/L</li> </ul>
		B. Review calculations to verify accuracy.			Checked the calculation of the farm. The result of %TN is 66.67% và 56.67%.
		C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity.			The average percent change in TN is 61.67%
		D. Contact accredited laboratory which performed the sampling for TP and TN to confirm compliance with procedures.			Contact accredited laboratory's staffs named Mr. Dinh Tien Huu and Ms. Thai Thi Thuy Trang. Their taking sample complies with this instruction
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	Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)  Requirement: 3 mg/l  Applicability: ponds	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.			X	"The DO record of discharged water in weekly" of the first settlement pond for pond 1 to 11 with more than 6 months from Jan to July 2012 and comply with this instruction. However, from the mid-july of 2012, the second settlement pond has been used for pond 1 because the discharged pipe from pond 1 to the first settlement pond for pond 1 to 11 was broken. From that day until now, there is no record of DO measurement in the second settlement pond  "The DO record of discharged water in weekly" of settlement pond of 1-11, DO from 3.5mg/L - 4.6mg/L. DOavg is 3.996mg/L (24/9/2011 - 17/3/2012), tu 24/3-18/8/2012 la 3.877mg/L  The auditor observed calibration of equipment and measurements is 3.7mg/L which is the range of the farm measurement
		A. Review data set to confirm that monitoring covers the required timeframe				
		B. Confirm DO in water discharged by farm is > 3 mg/l. If any single value falls outside limits, raise a non-conformity.				
		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.				
<b>3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]</b>		<b>Compliance</b>			<b>Finding</b>	
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	Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28]  Requirement: Yes  Applicability: All	A. Review the farm's sludge management plan.			X	the farm's sludge management plan on 01/09/2011, records of sludge disposal in 03 months. There is only the volume of the wet sludge but there is no weight of dried sludge as fertilization to trees in the farm  N/A, just use as fertilizer in the farm  A sludge repository is used within the farm  Interviewed Ms. Le Thi Co, Mr. Tran Van Doi, Ms. Pham Thi Be Ba, Mr. Mai Van Mi, Mr. Ngo Minh Loi, there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems
		B. Review records to confirm appropriate disposal according to plan..				
		C. If yes to (c), confirm farm has appropriate documentary evidence.				
		D. If yes to (d), inspect sludge repository during on-site visit.				
		E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems				
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	Indicator: Evidence of a sludge repository of appropriate size (See sludge repository formula in Annex D)  Requirement: Yes  Applicability: Farms managing the sludge using a repository	Instruction to Clients for Indicator 3.4.2 -Size of Sludge Repository 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. 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).			X	The farm used the area of sludge pond multiplying by the depth and by this calculation, this sludge can be enough space to contain sludge but not base on the calculation of Annex D  By observation on site and the area provided by the farm, the sludge pond will be based on the depth of sludge pond. But now the sludge pond is full. However, from the day is full and until now is not over 2 months without pumping sludge. Besides, the farm is digging up the new sludge pond. The farm needs to provide the plan with the area of new sludge pond and the plan to keep sludge as annex D
		A. Review farm's calculations to verify accuracy. Confirm compliance.				
		B. During on-site visit, inspect the farm's sludge repository.				
<b>3.5 Criteria: Waste management</b>		<b>Compliance</b>			<b>Finding</b>	
Auditor Evaluation (Required CB Actions)		Yes	No	N/A		
3.5.1	Indicator: Evidence of farm solid wastes being discharged into the natural environment  Requirement: None  Applicability: All	A. Review the farm's solid waste management plan			X	"the farm's solid waste management plan" no. 006/KH-TM,HV on 16/08/2011, by Mr. Ngo Thanh Van Phuc Toai. The management of feed packing used as coat when mixing feed is in lack  The farm has contract for collecting and disposing solid waste as well as record. The farm has contract for collecting and disposing solid waste as well as record. No discharged into the natural environment surrounding the farm.  Inspect the farm, solid waste is around pond 6, 8, 10 and dormitory of worker.
		B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.				
		C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.				
3.5.2	Indicator: Evidence of human and animal solid wastes being discharged into the natural environment  Requirement: None  Applicability: All	A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment			X	Waste treatment for human in Septic tanks. "the farm's solid waste management plan" no. 006/KH-TM,HV on 16/08/2011, by Mr. Ngo Thanh Van Phuc Toai.  "Management and operation management of septic tank" on 01/07/2012  "The plan of using time and the empty tank" on 01/09/2011.  no leakage or direct discharge into the natural environment  No have animal
		B. Verify that emptying and maintenance follow the schedule.				
		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.				
		D. Inspect site to verify that the farm buries any animal feces (if applicable).				

		E. Review construction contracts (if applicable).			"Completion design" for management area of Phu Tuc farm-Chau Thanh district, Ben Tre province **To check and take over the building for using" on 27/06/2012
3.5.3	Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment  Requirement: None  Applicability: All	A. Review farm's plan for management of chemical and medicinal wastes.  B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.  C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	X		Waste treatment for human in Septic tanks. "the farm's solid waste management plan" no. 006/KH-TM,HV on 16/08/2011, by Mr. Ngo Thanh Van Phuc Toai.  no evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm  the farm's plan is implemented and effective
3.5.4	Indicator: Evidence of proper disposal (30) of dead/moribund fish  Requirement: Yes  Applicability: All	Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish 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.  Dead fish should never be used for human consumption unless specifically slaughtered and processed for that purpose in an appropriate facility. A. Review the farm's plan for compliance with Indicator 3.5.4 B. Verify by inspection (as applicable). C. Verify by review of documentary evidence (as applicable). D. Verify by inspection (as applicable). E. Verify that farm possesses written statement(s) from aquatic health specialist (as applicable). F. Verify review of documentary evidence (as applicable). G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposal followed the plan.		X	"Dead fish management plan" on 16/08/2011 by Mr. Ngo Thanh Van Phuc Toai N/A.No burial. Selling fish as fertilizer N/A.No burial. Selling fish as fertilizer N/A.No using as feed. Selling fish as fertilizer N/A.No using as feed. Selling fish as fertilizer The contract of selling fish. The record of selling is in place Dead fish around pond 6
Footnote	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production of fish 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).				
<b>3.6 Criteria: Energy consumption</b>			<b>Compliance</b>		<b>Finding</b>
<b>Auditor Evaluation (Required CB Actions)</b>			<b>Yes</b>	<b>No</b>	<b>N/A</b>
3.6.1	Indicator: Information available on the following variables (per year per farm in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method.  Requirement: Yes  Applicability: All	A. Review calculations. Verify the farm keep records of energy consumption.  B. Verify the farm-maintains accurate records of mortalities and disposals.	X		
					The records of energy such as electricity and fuel oil is available  "The dead fish monitoring record" by Mr. Huynh Minh Huy
<b>PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS</b>					
<b>4.1 Criteria: Presence of pangasius in the water drainage system</b>			<b>Compliance</b>		<b>Finding</b>
<b>Auditor Evaluation (Required CB Actions)</b>			<b>Yes</b>	<b>No</b>	<b>N/A</b>
4.1.1	Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruiting stock established before 1st January 2005  Requirement: Yes  Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	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. A. Review declarations. Confirm that the farmed species is accurately identified in purchase records. B. Review map to confirm farm location within river basin. C. Confirm that documentation show the farmed species is indigenous to the river basin. D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.	X		"Seedling record letter" for all ponds released. "Contract of purchasing seedling" 176/HD-HV on 20/8/2011 Reviewed map to confirm farm location within river basin "Freshwater fish distribution in Mekong Delta" June 2005 of Mekong River Commission for Sustainable Development, (Distribution and Ecology of some Important River Fish Species of the Mekong river Basin) MRC Technical Paper No. 10, the farmed species is indigenous to the river basin, provide documentary evidence of FAO (Sauvage, 1878)

		E. Verify the identity of the farmed species by direct observation during on-site visit.				By direct observation during on-site visit, there is only pangasius
4.1.2	Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33]  Requirement: Yes  Applicability: Farms in a river basin where the species is not-indigenous and a self-recruiting stock is established	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.			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	Indicator: If the species is not indigenous and does not have 6 self-recruiting stock established, evidence that the species cannot establish in the river basin [34]  Requirement: Yes  Applicability: Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established	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.  A. Review evidence provided by the farm to confirm that the farmed species can not establish in the river basin.			X	indigenous species
Footnote:	[34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.					
<b>4.2 Criteria: Genetic diversity</b>			<b>Compliance</b>			<b>Finding</b>
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	
4.2.1	Indicator: Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]  Requirement: Yes  Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.  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  C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.  D. Verify that sourcing of seed is in compliance with the requirement	X			"Freshwater fish distribution in Mekong Delta" June 2005 of Mekong River Commission for Sustainable Development, (Distribution and Ecology of some Important River Fish Species of the Mekong river Basin) MRC Technical Paper No. 10,  Reviewed map to confirm farm location within river basin  "Seedling record letter" for all ponds released. "Contract of purchasing seedling" 176/HD-HV on 20/8/2011  "Seedling record letter" for all ponds released. "Contract of purchasing seedling" 176/HD-HV on 20/8/2011
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.						
<b>4.3. Criteria: Source of seed</b>			<b>Compliance</b>			<b>Finding</b>
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	
4.3.1	Indicator: Allowance, for use of wild-caught seed for grow out  Requirement: None  Applicability: All	A. Verify declaration of no wild-caught seed for grow out.  B. Verify that farm has statements from seed suppliers  C. Verify the farm maintains accurate records for sourcing of seed.	X			declaration of no wild-caught seed for grow out  "Seedling record letter" for all ponds released. "Contract of purchasing seedling" 176/HD-HV on 20/8/2011  Seedling record letter for all ponds released.
<b>4.4. Criteria: Genetically engineered and hybridized strains</b>			<b>Compliance</b>			<b>Finding</b>
Auditor Evaluation (Required CB Actions)			Yes	No	N/A	
	Indicator: No use of genetically engineered (transgenic) or hybrid seed	A. Verify declaration of no use of genetically engineered or hybrid strains.				declaration of no use of genetically engineered or hybrid strains

4.4.1	Requirement: Yes Applicability: All	B. Verify that farm maintains statements from seed suppliers.	X			Seedling record letter for all ponds released.
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 Criterio: Escapees.		Compliance			Finding	
		Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
4.5.1	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 Requirement: Yes Applicability: All	A. Review records for fish size in different holding units.				"Information collection record" of all ponds is in place
		B. Review records for mesh or grill size.	X			"Net maintenance record" is in place
		C. During the on-site visit, inspecting the size of net mesh or grills to confirm compliance.				During the on-site visit, inspecting the size of net mesh or grills to confirm compliance
4.5.2	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). Requirement: Yes Applicability: All	A. Review records to verify inspections are regular and timely.	X			"Net maintenance record" is regular and timely
		B. Review the register to verify repairs are performed and recorded.				"Net maintenance record" is regular and timely
		C. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.				no change the mesh from the beginning to the harvest
4.5.3	Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs. Requirement: Yes Applicability: Ponds	A. Review records covering >= 10 years or statement to establish the maximum height of high water when flooding occurs.				"Maximum height of high flood water level from 2002 - 2011" by Ben Tre hydrometeorological center
		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.	X			The statement of the local authority. The map showed the lowest point by Mr. Vo Van Ban on 20/08/2012
		C. During local community and employee interviews, verify there is no evidence for spillage or escapement from the farm in the last 12 months.				Interviewed Ms. Le Thi Co, Mr. Tran Van Doi, Ms. Pham Thi Be Ba, Mr. Mai Van Mi, Mr. Ngo Minh Loi, no evidence for spillage or escapement from the farm
Footnote [38] Bund: berm containing the water in the pond.						
4.5.4	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) Requirement: Yes Applicability: All	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).				02 trapping devices at the run out of settlement. not injure
		B. Review records of inspection and observed escapees.	X			records of inspection and observed escapees
		C. Review the suitability of any action taken by the farm to reduce escapement				records of inspection and observed escapees
		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.				During the on site visit, inspect to verify that traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees.
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.				"Bund monitoring and repair plan"

4.6.1	Indicator: Evidence that bund has remained intact [41] throughout the culture cycle	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.	X			"Bund monitoring and repair diary"
	Requirement: Yes	C. Inspect bunds to confirm compliance. Examine-for any signs of collapse and note evidence of repairs.				No signs of collapse
	Applicability: All	D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.				Interviewed Ms. Le Thi Co, Mr. Tran Van Doi, Ms. Pham Thi Be Ba, Mr. Mai Van Mi, Mr. Ngo Minh Loi, bunds have remained intact throughout the culture cycle.
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	Indicator: Evidence assuring there has been no intentional release [42]	A. Review declaration to confirm compliance.	X			a declaration of the farm for no intentional releases
	Requirement: Yes	B. Review records to confirm that all stockings can be accounted by harvest or disposal				Record and receipt of the harvested fish between the farm and the processign unit
	Applicability: All	C. Review annual production records to determine if there are significant discrepancies that could idicate the possibility of intentional release.				a written justification for any periods of inactivity lasting longer than 3 months of pond 5 is in place
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."					
<b>PRINCIPLE 5. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED</b>						
<b>5.1 Criteria: Sustainability of feed ingredients</b>		<b>Compliance</b>			<b>Finding</b>	
		<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	
5.1.1	Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed	A. Review- farm's records for commetcially sourced feeds	X			Receipt purchases of commercial feed is in place withing more than 6 monhts. There is only one feedmill supplier
	Requirement: No	B. Review ingredients to verryfy that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).				N/A
	Applicability: All	C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.				N/A only have commercial feed
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	Indicator: Use of pangasius fish processing by-products [44] as feed or feed ingredients	A. Review farm's declaration to confirm that no by-products of pangasius fish used as feed for pangasius	X			The declaration of farm signed on 16/08/2012
	Requirement: No	B. Review manufacturer's declaracton to confirm no pangasius by-products were in feed				The feedmill manufacturer's declaration on 24/07/2012, no by product from pangasius
	Applicability: All	C. Review farm documentation to confirm that no pangasius by-products were used In feed preparation (if applicable)				N/A No farm-made feed
Footnote [44]	Trimings, 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	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]	Instructions to Clients for Indicator 5.1.3- Confirm there are no IUCN Red List Species in Feed 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. For each fish product used as a feed ingredient, determine whether the species, is on fthe IUCN Red list as follows: - goto <a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a> - in the primary search field enter the genus and species - click on "run search" and record the status of the species, 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 edud from further analyses.				
	Requirement: Yes	A. Confirm that farm has records of ingredients from all commercially sourced feeds.				a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 24/07/2012)
Applicability: All						

		B. Repeat search of IUCN database to verify that farm is in possession of accurate result	X		Verified in IUCN database to show farm is in possession of accurate result
		C. Confirm that farm has provides 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 manufacture verifying the origin of all fish products used as ingredients in all commercial feeds. B. Repeat search of CITES database to verify that farm is in possession of an accurate result C. Confirm that farm has provided sufficient evidence of compliance	X		a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 24/07/2012) Verified CITES database to show farm is in possession of accurate result 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). 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) B. Review evidence and confirm compliance.	X		a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 24/07/2012) No in Vietnam until now
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. B. Re view evidence and confirm compliance.	X		a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 24/07/2012) 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 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	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. A. Verify that farm possesses information about feed ingredients. 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).	X		a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 24/07/2012) use by-product
<b>5.2. Criteria: Efficient management of feed use on the form</b>		<b>Compliance</b>			<b>Finding</b>
		<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
		A. Review records to confirm that farm has records for all seed			receipts and/or statements from seed supplier indicating average weight of seed and numbers.

5.2.1	Indicator: Maximum weighted [50] average of economic Feed-Conversion Ratio (eFCR) for the complete production cycle.	B. Confirm that farm has complete and accurate record for feed.	X			records showing the type of feed "diary of pond 5, and 07; Feed inventory of the farm, FCR calculation of pond 5 is 1.65 and pond 07 is 1.678; eFCR of two ponds is 1.65	
	Requirement: 1.68	C. Verify the farm keeps records showing weight of fish harvested.				records (e.g. receipts) showing weight of fish harvested	
	Applicability: All	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)	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
	Requirement: 0.5	B. Review calculation verify accuracy. Confirm compliance.					By-products from fish processing of species. No need to calculate FFER
<b>PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety</b>							
<b>6.1 Criteria: Mortalities</b>			<b>Compliance</b>			<b>Finding</b>	
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%  Applicability: All	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.					
		A. Review receipts. Confirm that farm records are sufficient to determine of seed stocked into each enclosure.	X			Receipts and/or statements from seed supplier indicating average weight of seed and numbers	
		B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.				harvest records for pond 5 and 07, diary of pond 5 and 7;	
		C. Review farm's calculation to verify accuracy. Confirm that average real percentage mortality is ≤ 20%				Pond 5 is 11.31%, Pond 07 is 19.727; Average is 15.52%	
<b>6.2 Criteria: Veterinary medicines and chemicals</b>			<b>Compliance</b>			<b>Finding</b>	
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	A. Review list of medicines, chemicals and biological products.	X			suppliers and contact information in a list of all veterinary 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).				Confirm that listed products used are approved for aquaculture.	
		C. Review list.				sales receipts between the farm and Hung Vuong company	
		D. Confirm that listed products used are approved for aquaculture.				The list of Export market no. 1471/QD-BNN-QLCL ngày 20/06/2012 and 2864/QD-BNN-QLCL ngày 14/11/2011 của BNNPTNT	



	Applicability: All	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.				The list of Export market no. 1471/QD-BNN-QLCL ngày 20/06/2012 and 2864/QD-BNN-QLCL ngày 14/11/2011 của BNNPTNT 2864/QD-BNN-QLCL on 24/11/2011 - The list of parameter of chemical used in Aquaculture products' by MARD 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 05 on 08/05/2012 used 12 litres BKC80 by Mr. Huynh Minh Huy  records of prescriptions of pond 05 on 08/05/2012 used 12 litres BKC80 by Mr. Huynh Minh Huy  records of prescriptions of pond 05 on 08/05/2012 used 12 litres BKC80 by Mr. Huynh Minh Huy who observed the application of the worker  records of prescriptions by Huynh Minh Huy - AAH Specialist in 60 hours on 23-25/04/2012 by the sustainable fishery group of Vietnam
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"> <li>• 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.</li> <li>• 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.</li> </ul>					
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	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  Requirement: Yes  Applicability: All	A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.  B. Review farm's declaration to confirm following recommendations of the AAH Specialist.  C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.  D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.	X			Chemical and medicine instruction on 01/09/2011 and animal health plan on 01/09/2012  declaration that the farm follows the recommendations of the aquatic animal health specialist on 01/09/2011 by Mr. Huynh Minh Huy  During on-site visits, proper storage according to the AAH Specialist's recommendations.  the chemical storage is follow the recommendation of AAH Specialist
6.2.4	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.  Standard: None  Applicability: All	A. Review records of withdrawals.  B. Review labels and completion dates of withdrawal periods.  C. Evaluate evidence-to verify that no fish were harvested before completion of withdrawal period.	X			records of prescriptions of pond 05 on 08/05/2012 used 12 litres BKC80 by Mr. Huynh Minh Huy  labels indicating duration of withdrawal periods of BKC80. The withdrawal day followed the labels  BKC 80 is the water environment treatment, so no have withdraw period
6.2.5	Indicator: Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].  Requirement: None  Applicability: All	A. Review list of antibiotics used.  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.  C. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.	X			a list of all veterinary medicines, chemicals and biological products to 01/05/2012.  declaration of the farm . Cross check list of antibiotics used by the farm against the WHO list of antibiotics critical to human medicine.  no evidence of use of antibiotics critical for human medicine through direct observation and inspection.
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 <a href="http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf">http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf</a>					
		A. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.				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 Mr. Tran Minh Huy

6.2.6	Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem.	B. Verify farm maintains records of all purchases of veterinary medicines.	X			receipts for all purchases of veterinary medicines
	Standard: None	C. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.				on-site visits, inspect the inventory of veterinary medicines
	Applicability: All	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.				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
6.2.7	Indicator: Allowance for use of veterinary, medicine (excluding vaccines) to serve as growth promoters [58].	A. Verify the AAH Specialist supports the declaration that there is no use of veterinary medicine as growth promoters.	X			a declaration from the aquatic animal health specialist Ms. Tran Minh Huy, no use of veterinary medicine as growth promoters.
	Requirement: None	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.				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 making them grow faster					
<b>6.3 Criteria: Pangasius health plan</b>			<b>Compliance</b>			<b>Finding</b>
		<b>Auditor Evaluation (Required CB Actions).</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	
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			the farm's written pangasius health plan containing all required elements (Annex E)ngay 01/05/2012
		B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.				the farm's written pangasius health plan containing all required elements (Annex E)ngay 01/05/2012
		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.					
<b>6.4 Criteria: Holding-unit specific record-keeping</b>			<b>Compliance</b>			<b>Finding</b>
		<b>Auditor Evaluation (Required CB Actions).</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	
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 07
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).						
6.4.4	Indicator: All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist Requirement: Yes Applicability: All	Instructions to Clients for Indicator 6.4.4- Establishing a Threshold for the Reporting of Mortality Events 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: -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 B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events. C. Review the proposed 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.	X			Record of pond 5 and pond 7 Diary of mortality threshold of Mr. Tran Minh Huy mortality threshold in the farm's Pangasius health Plant to confirm compliance with requirements Diary of mortality threshold of Mr. Tran Minh Huy. There is no dead fish over threshold until the time of audit
6.5 Criteria: Fish Welfare		Auditor Evaluation (Required CB Actions).			Compliance	Finding
		Yes	No	N/A		
6.5.1	Indicator: Minimum average growth rate Requirement: 3.85 g/day Applicability: All	Instructions to Clients for Indicator 6.5.1- Calculating Average Growth Rate 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: $\text{Yield (from Pond1)} = \text{total weight of fish harvested (from Pond1)} - \text{total weight of fish stocked (Pond1)}$ $\text{AGR}_{P1} = \text{Yield}_{P1} / \text{duration of production cycle (Pond1)}$ 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. 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: $\text{Weighted Average AGR} = (\text{AGR}_{P1} \times \text{Yield}_{P1}) + (\text{AGR}_{P2} \times \text{Yield}_{P2}) \dots + (\text{AGR}_{Pn} \times \text{Yield}_{Pn}) / (\text{Yield}_{P1} + \text{Yield}_{P2} \dots + \text{Yield}_{Pn})$ Note of clarification from the pangasiusAquaculture Dialogue Steering Committee: Indicator 6.5.1 was developed under the assumption that: - fish are stocked at 80 grams, - harvested at 1,000 grams and - average production cycle is 8 months. 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). 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.				records (e.g. receipts from seed suppliers)

		B. Verify farm maintains records of the weight of fish harvested from each enclosure. C. Review calculation to confirm accuracy and completeness. D. Verify that the farm-wide weighted average AGR complies with the requirements.	X			records of the weight of fish harvested of pond Review calculation Pond 5: 3.853g/day; pond 07: 3.869g/day; aveage is 3.861g
6.5.2	Indicator: Maximum fish density at anytime Requirement: 38 kg/m2 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. B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen. C. Review calculations for fish density at harvest to verify compliance D. Review monthly estimates of fish density to verify compliance.	X			Pond 5: 3.853g/day; pond 07: 3.869g/day Pond 5: 3.853g/day; pond 07: 3.869g/day monthly estimates of fish density is in place monthly estimates of fish density : "pond 5: during faring from 1.3-30.5kg/m2 Pond 11: during faring from 1.1- 20.7kg/m2"
6.5.3	Indicator: Maximum fish density at anytime Requirement: 80 kg/m3 for cages Applicability: Cages	A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit. B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage. C. Review calculations for fish density at harvest to verify compliance D. Review monthly estimates of fish defisity to verify compliance.			X	N/A N/A N/A N/A
<b>6.6 Criteria: Predator control</b>			<b>Compliance</b>			<b>Finding</b>
			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. B. Inspect site to verify no use of lethal predator controls.	X			a procedure describing how the farm controls predators, and maintain a list of all predator control devices and their locations by Mr. Nguyen Dinh Tung 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 types of predators during						
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. B. Verify that farm procedures are appropriate and implemented (as applicable) 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)]	X			please more at point 2.2.4 please more at point 2.2.4 Interviewed Ms. Le Thi Co, Mr. Tran Van Doi, Ms. Pham Thi Be Ba, Mr. Mai Van Mi, Mr. Ngo Minh Loi., no evidence of the farm causing mortality of IUCN red listed specie
<b>7.1 Criteria: Labor Law</b>			<b>Compliance</b>			<b>Finding</b>
			Yes	No	N/A	
7.1.1	Indicator: Compliance with labor laws in the country where pangasius is produced Requirement: Yes Applicability: All		X			Circular 70/2011/ND-CP for minimum wage dated 22/08/2011. This area belong to Area 02 - 1780.000 VND. All information related to benefit, wage are available in The notice board. Eg: working time regulation; annual leave ...
<b>7.2 Criteria: Child labor [62] and young workers [63]</b>			<b>Compliance</b>			<b>Finding</b>
			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 work or mandatory schooling, 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 Applicability: All		X			the list of employees dated 13.08.2012 maintained. Checked ID of Vo Tran Chau Kha- born on 15.03.1993 No children and young workers found Commitment letter No 82/TCK-TM,HV dated 01.09.2011 for not using young workers under 18 years old.

7.2.2	Indicator: For workers under 18 years old 1 - Work does not jeopardize schooling 2 - Work, when added to the hours of schooling, does not exceed 10 hour/day 3 - Work is restricted to light work [64] 4 - Work is restricted to non-hazardous work [65]	X				No children and young workers found
	Requirement: Yes					No children and young workers found
	Applicability: Farms with employees younger than 18 years old.					N/A
						N/A
Foodnote [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.						
Foodnote [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
7.3.1	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]	X				Even the labour contract already written as per law including benefit, working time, etc..However, a salary column they say that ACCORDING TO THE REGISTERED SALARY SCALE. The advise is they should declare the clear digit of salary.
	Requirement: Yes					Labour contract of Le Van Tai signed from 01.09.2011 including all regulation as Vietnam labour law
	Applicability: All					No evidence of keeping the original documentation
						No evidence of keeping the part of salary
						Interview Mr. Tran Van Doi and found that workers can be free from leaving the job.
Foodnote [67] As stated in the contract.						
Foodnote [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	Indicator: The employer provides a non-hazardous working and living environment.	X				List of hazard identification dated 01.09.2011. However, some of points have been identified fully. Eg: swimming
	Requirement: Yes					Regulation on health and safety dated 01.09.2011.
	Applicability: All					Regulation on health and safety dated 01.09.2011. Certificate of swimming - Dinh Van Tung dated 17.08.2012 by Tien Giang Sport Center
						Poratbal water is from bottle of water
						Waste Water Treatment system is available
	Dormitory is provided with clean and safe thorough being observed.					
7.4.2	Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them.	X				List of employees attended the course of health and safety dated 01.11.2012. The lifebuoys are available in the ponds for safety
	Requirement: Yes					
	Applicability: All					
Foodnote [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.						
	Indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action for					The accident book has been checked. However, in the past six months nothing happen.

7.4.3	each. Requirement: Yes Applicability: All, Farm-Wide		X			N/A
Foodnote [70] Accidents that could not be handled in-house, the person was taken to the closest clinic						
7.4.4	Indicator: Employer ensures that all permanent workers have health insurance [71] Requirement: Yes Applicability: All		X			List of employees is available  List of employees for insurance of July 2012 - 18 people dated 14.08.2012
Foodnote [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	
Foodnote [72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to establish the terms and						
7.5.1	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]. Requirement: Yes Applicability: All		X			Labour contract of Le Thi Vien signed from 01.09.2011 including all regulation as Vietnam labour law  labour collective bargain dated 20.09.2011 and Trade Union Leader is Ms. Nguyen Thanh Tho  Trade Union meeting minutes dated 01.08.2012  Interview and found that she can access the workplace at reasonable time  Trade Union meeting minutes dated 01.08.2012
Foodnote [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.						
Foodnote [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	Indicator: Workers do not suffer any discrimination [75] from the employer or other workers Requirement: Yes Applicability: All			X		The Regulation of anti-discrimination No 84/QD-TM,HV dated 01.09.2011 .  Record of bonus is available. However, the more regulation on increasing salary, award is considered  Policy of Pregnant women dated 01.09.2011
Foodnote [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	
7.7.1	Indicator: Employers treat all workers with dignity and respect Requirement: Yes Applicability: All		X			Interview and found that all employees have been treated fairly  Check the record of salary paid and found no deduction.
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				Interview Ms. Le Thi Co and found that she can leave job when finishing work.	
	Requirement: Yes		X		Labour contract of Le Van Tai signed from 01.09.2011 including all regulation as Vietnam labour law	
	Applicability: All, Farm-Wide					
7.8.3	Indicator: Minimum time off				Working time regulation No 086/QD-TM,HV dated 01.09.2011	
	Requirement: Two nights/week off if residing on the farm and a total four days/month off for all workers		X		Working time regulation No 086/QD-TM,HV dated 01.09.2011	
	Applicability: All, Farm-Wide				Timesheets are available	
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)				some records checked and found that it is OK	
	Requirement: Yes		X		eg: case of Danh Be - salary 2.000.000 VND/month	
	Applicability: All, Farm-Wide				No overtime is available as only few pond of fish are being fostered. The capacity is stil weak.	
					N/A	
Foodnote [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					Circular 70/2011/ND-CP for minimum wage dated 22/08/2011. This area belong to Area 02 - 1780.000 VND.
	Requirement: Yes		x			No basic need calculation in consulttation with workers and their representative has been established.
	Applicability: All, Farm-Wide					Labour contract of Danh Be signed from 01.09.2011 - salary 1.780.000 VND
						Salary sheets with the signature of employees are available
Foodnote [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. However, the calculation method is still not in details.
	Requirement: Yes			X		the salary method is available in Noticeboard
7.9.3	Indicator: Wages shall be paid in cash or in a manner most convenient to workers					Paying in cash and in salary sheet.
	Requirement: Yes		X			Verified the salary sheet of July 2012 dated 31.07.2012
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]					Article 28 of Vietnam Labour law: The labour contract should be signed into 02 copies. Each side keeps one. It was found that the case of Le Phuoc Danh has not got the copy of labour contract. The auditor checked 18 contracts of 18 workers

	Requirement: All				Interview Ms. Le Thi Co and found that she understood the requirements
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. Requirement: 1 month Applicability: All		X		Probation labour contract of Huynh Van Hai That signed in 01.09.2011 and after one month signed 01.10.2011  It is regulated in working regulation and available in the noticeboard
7.10.3	Indicator: Maximum length of probation period stated in the contract for farm managers and workers with an university degree. Requirement: 2 months Applicability: All		X		Probation labour contract of Duong Thanh Tung signed in 01.07.2011 and after two months signed 01.09.2011  It is regulated in working regulation and available in the noticeboard
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. Requirement: Yes Applicability: All		X		Complaint box is available in the front of the gate.  Complaint book is also there. However, No complaint cases as workers feel quite OK
7.11.2	Indicator: Percentage of issues raised by workers which are registered, tracked and responded to by the employer Requirement: 100% Applicability: All		X		Diary of complaint is available. However, no complaint received from employees.  Complaint box is available in the front of the gate.
7.11.3	Indicator: Percentage of complaints that are resolved [80] within one month after being received [81] Requirement: 90% Applicability: All		X		There is no complaint until to now  There is no complaint until to now  There is no complaint until 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
	Indicator: Timeframe for the contracting [82] of suppliers and service providers that ensure suitable health and safety conditions for their workers [83]				Diary of complaint is available. However, no complaint received from employees.



7.11.5	Requirement: Within 1 year from achieving certification  Applicability: All		X			N/A
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.  The list of employees dated 01.08.2012 maintained.
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 15.06.2012 by Ha Noi Center of Resources and rural development  The content of P-SIA includes the feasibility of Team of Professional Experts
Foodnote [84] p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project (e.g., a farm or farm						
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 dated 15.08.2012 to Phu Tuc People's committee  List of receiving P-SIA dated 15.08.2012 -Total 17/25 people - over 50%
Foodnote [85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and						
7.14 Criteria: Complaints by local communities			Compliance			Finding
			Yes	No	N/A	
7.14.1	Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied  Requirement: Yes  Applicability: All		X			a conflict resolution procedure No ASC/QT7 dated 01.09.2011  List of receiving a conflict resolution procedure No ASC/QT7 dated 05.08.2012  N/A
Foodnote [86] The policy shall state how conflicts and corn plaints will be tracked transparently and explain how to respond to all received complaints.						
Foodnote [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.  Requirement: Yes  Applicability: All		X			Monitoring book for conflict resolving is kept. No complaint up till now  Monitoring book for conflict resolving is kept. No complaint up till now  N/A as no complaint  N/A as no complaint
	Indicator: Percentage of conflict resolved within the date of being filed.  Requirement:					N/A as no complaint

7.14.3	Requirements: Within 6 months 50% Within 1 year 75% Within 2 years 100%  Applicability: All		X			N/A as no complaint
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.  Requirement: Yes  Applicability: All		X			The list of employees indicating also place of origin dated 13.08.2012.  The list of employees indicating also place of origin dated 13.08.2012.  The list of employees indicating also place of origin dated 13.08.2012.
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.  Requirement: Yes, if workers outside the local community are employed  Applicability: All		X			The list of employees indicating also place of origin dated 13.08.2012.  Recruitment notice dated 01.08.2011 no mention on discrimination

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<b>ASC audit checklist</b>		
ASCASS-PAD.F01(01)		
<b>Reportnumber:</b>	<b>821749-ASC-2012-01-LTTT</b>	
<b>3. Summary and Conclusion</b>		
<b>3.1a . Outstanding non-conformities since previous audit report</b>		
<b>No NC: N/A (The first audit)</b>	<b>Standard and Requirement:N/A (The first audit)</b>	<b>Category: N/A (The first audit)</b>
<b>Date found: N/A (The first audit)</b>	<b>Dead line for correction: N/A (The first audit)</b>	
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)		
<b>3.1b Identified non-conformities during present evaluation</b>		
<b>Finding: 01</b>	<b>Standard and Requirement: ASC pangasius standard 2.2.2</b>	<b>Category: OBSERVATION</b>
<b>Date found: 02/08/2012</b>	<b>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.</b>	
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 been sent to ASC but provide the auditor the confirmation of Bas		
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		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 02</b>	<b>Standard and Requirement: ASC pangasius standard 1.1.3</b>	<b>Category: Major</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction: within 03 months 20/11/2012</b>	
Description of requirement: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations		
Description of non-conformity: There is no testing analysis for discharged water of the settlement pond for pond 1		
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 discharged water of settlement pond 2		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: The analysis result is available		
Status: CLOSED		

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<b>Finding: 03</b>	<b>Standard and Requirement: ASC pangasius standard 3.2.1</b>	<b>Category: Minor</b>
<b>Date found: 02/08/2012</b>	<b>Dead line for correction: in one year 20/08/2013</b>	
Description of requirement: Percentage change in diurnal dissolved oxygen (DO) of receiving waters 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)		
Description of non-conformity: DO record in receiving waters of the first settlement pond for pond 1 to 11 with more than 6 months from Jan to July 2012 and comply with this instruction. However, from the mid-july of 2012, the second settlement pond has been used for pond 1 because the discharged pipe from pond 1 to the first settlement pond for pond 1 to 11 was broken. From that day until now, there is no record of DO measurement at the receiving water		
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.		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 04</b>	<b>Standard and Requirement: ASC pangasius standard 3.3.3</b>	<b>Category: Minor</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction: in one year 20/08/2013</b>	
Description of requirement: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)		
Description of non-conformity: "The DO record of discharged water in weekly" of the first settlement pond for pond 1 to 11 with more than 6 months from Jan to July 2012 and comply with this instruction. However, from the mid-july of 2012, the second settlement pond has been used for pond 1 because the discharged pipe from pond 1 to the first settlement pond for pond 1 to 11 was broken. From that day until now, there is no record of DO measurement in the second settlement pond		
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		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 05</b>	<b>Standard and Requirement: ASC pangasius standard 3.4.2</b>	<b>Category: MINOR</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction: in one year 20/08/2013</b>	
Description of requirement: Evidence of a sludge repository of appropriate size (See sludge repository formula in Annex D) A. Review farm's calculations to verify accuracy. Confirm compliance. B. During on-site visit, inspect the farm's sludge repository.		

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Description of non-conformity: a. The farm used the area of sludge pond multiplying by the depth and by this calculation, this sludge can be enough space to contain sludge but not base on the calculation of Annex D b. By observation on site and the area provided by the farm, the sludge pond will based on the depth of sludge pond. But now the sludge pond is full. However, from the day is full and until now is not over 2 months without pumping sludge. Besides, the farm is digging up the new sludge pond. The farm needs to provide the plan with the area of new sludge pond and the plan to keep sludge as annex D		
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		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 06</b>	<b>Standard and Requirement: ASC pangasius standard 3.5.1</b>	<b>Category: MINOR</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction: in one year 20/08/2013</b>	
Description of requirement: Evidence of farm solid wastes being discharged into the natural environment A. Review the farm's solid waste management plan C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate If there is a risk or potential for discharges.		
Description of non-conformity: a. "the farm's solid waste management plan" no. 006/KH-TM,HV on 16/08/2011, by Mr. Ngo Thanh Van Phuc Toai. The management of feed packing used as coat when mixing feed is in lack. b. Inspect the farm, solid waste is around pond 6, 8, 10 and domitory of worker.		
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		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 07</b>	<b>Standard and Requirement: ASC pangasius standard 3.5.4</b>	<b>Category: MINOR</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction: in one year 20/08/2013</b>	
Description of requirement: Evidence of proper disposal of dead/moribund fish G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposal followed the plan.		
Description of non-conformity: Dead fish around pond 6		
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		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 08</b>	<b>Standard and Requirement: ASC pangasius standard 7.3.1.a</b>	<b>Category: OBSERVATION</b>
<b>Date found: 21/08/2012</b>	<b>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.</b>	

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<b>Description of requirement:</b> Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable notice given to their employer a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment.		
<b>Description of non-conformity:</b> verified labour contract of Tran Van Doi signed from 01.09.2011 including benefit, working time, etc..However, a clear salary is considered marked		
<b>Corrective action request:</b> 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		
<b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b>		
<b>Status:</b> OPEN		
<b>Finding: 09</b>	<b>Standard and Requirement: ASC pangasius standard 7.4.1.a</b>	<b>Category: OBSERVATION</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction:</b> do not have defined timelines for action but the producer may undertake the necessary action to prevent an NC being identified in future.	
<b>Description of requirement:</b> The employer provides a non-hazardous working and living environment. a. Maintain a list of all the health and safety hazards in the working and living environment of employees.		
<b>Description of non-conformity:</b> List of hazard identification dated 01.09.2011. However, some of points have been identified fully. Eg: swimming		
<b>Corrective action request:</b> 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		
<b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b>		
<b>Status:</b> OPEN		
<b>Finding: 10</b>	<b>Standard and Requirement: ASC pangasius standard 7.6.1.b</b>	<b>Category: OBSERVATION</b>
<b>Date found: 21/08/2012</b>	<b>Dead line for correction:</b> do not have defined timelines for action but the producer may undertake the necessary action to prevent an NC being identified in future.	
<b>Description of requirement:</b> Workers do not suffer any discrimination from the employer or other workers b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.		
<b>Description of non-conformity:</b> Record of bonus is available. However, the more regulation on increasing salary, award is considered		
<b>Corrective action request:</b> 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		
<b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b> [only fill in case the NC can be closed during the audit]		
<b>Status:</b> OPEN		
<b>Finding: 11</b>	<b>Standard and Requirement: ASC pangasius standard 7.9.2.b</b>	<b>Category: OBSERVATION</b>

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<b>Date found:</b> <b>21/08/2012</b>	<b>Dead line for correction:</b> 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 a. Provide a declaration stating the mechanism used for setting wages.		
Description of non-conformity: the salary method is available in Noticeboard		
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		
Evidence received, and analysis of corrections and corrective actions provided for NC closure:		
Status: OPEN		
<b>Finding: 12</b>	<b>Standard and Requirement: ASC pangasius standard 7.10.1a</b>	<b>Category: MINOR</b>
<b>Date found:</b> <b>21/08/2012</b>	<b>Dead line for correction:</b> <b>21/08/2013</b>	
Description of requirement: Workers have copies of, and can understand, their labor contract a- Ensure that employees have copies of their labor contracts.		
Description of non-conformity: Article 28 of Vietnam Labour law: The labour contract should be signed into 02 copies. Each side keeps one. It was found that the case of Le Phuoc Danh has not got the copy of labour 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		
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		
<b>Finding: 13</b>	<b>Standard and Requirement: ASC pangasius standard 7.12.1a</b>	<b>Category: OBSERVATION</b>
<b>Date found:</b> <b>21/08/2012</b>	<b>Dead line for correction:</b> 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: Records of the hours worked by every worker employed in the farm are available a. Maintain timesheets for all employees. For first audits, farm records must cover $\geq 6$ months.		
Description of non-conformity: Even the timesheet is available, but no hour worked count on the timesheet.		
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		
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		
<b>3.5 Attachments to this report</b>		
* The map of the farm * The information sent before the external audit: pre-audit checklist		
<b>3.7 Summary and conclusion</b>		

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<b>Does the farm comply with ASC Pangasius standard?</b>			
<input checked="" type="checkbox"/> <b>YES</b>	<input type="checkbox"/> <b>NO</b>		Only Minor Non-Conformities were detected and the applicant is recommended for certification.
<b>4. Valid period of Certificate</b>			
Date of issue			
Date of expiry			
<b>5. Determination of the start of the CoC</b>			
<b>Can the product enter further certified Chains of Custody and eligible to carry the ASC label?</b>			
<input checked="" type="checkbox"/> <b>YES</b>	<input type="checkbox"/> <b>NO</b>		
<b>5. Approval of the assessment report by Client</b>			
Date: 21/08/2012		Date: 21/08/2012	
Auditor: LE TRAN TRUONG THUY signature:		Company representative : signature	
<b>6. Review of the assessment report by the certifier</b>			
Date:		Comments:	
Certifier : Pilar Kuriyama Roca			
Signature:			