



ASC Audit Report

Tilapia ___ Pangasius XInitial X Surveillance ___ Recertification ___

Name client	NGOC HA COMPANY LIMITED FOOD PROCESSING AND TRADING
Client number	821870
Name contact person	Mr. LE TRONG HAI
Address client	Hoi Hamlet, Kim Son Village, Chau Thanh District, Tien Giang Province
Telephone, fax, e-mail	Telephone: +84 733894553 Fax: +84 733894553 Email: letronghai56@yahoo.com.vn
Certificate code	
Date of issue of certificate	27-11-12
Date and length of audit	02 days
Name of auditor(s)	Ms. LE TRAN TRUONG THUY – Environmental part Mr. LE ANH NGOC – Social part Ms. LY VI CUONG – Technical expert
Inspected unit (s)	01 unit
Number and % of members evaluated (in case of group certification)	N/A
Issued by	Control Union Peru SAC
Address	Av. Dos de Mayo 1205, San Isidro. Lima, Perú
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Certifier	Pilar Kuriyama
Date	November 27th, 2012
Signature	



1. METHODOLOGY

Control Union Peru (CUP), a member of the Control Union World Group is an international inspection and certification body and is accredited by ASI on behalf of the Aquaculture Stewardship Council (MSC) to carry out inspection and certification according to the ASC farm certification standards.

CUP performs inspection and certification in the fields of FSC, organic production, input, Sustainable Textile production, GLOBALGAP, HACCP, BRC, GMP and GTP.

Audits and certification is carried out in conformity with the procedures as laid down in the Procedure Manual and the program manual for the auditor and certifier. During the audit the qualified CU auditors use standardized audit forms to record their findings.

Based on the information provided by the auditor and by the client, the certifier reviews and evaluates all information provided and certify the products when all conditions of the regulations are fulfilled. The result of the evaluation is documented in Chapter 7. Audit work by the auditor and certification by the certifier are clearly separated activities.

2. REPORT

This certification report is made in accordance with the ASC Certification and Accreditation requirements, Version 1.0, Annex C.

2.1 Background of the assessed company:

The registered unit is named Ba Lai Pangasius Farm of Ngoc Ha, which was completely constructed on 14 March 2007 and located at Village 4, Tan Xuan Hamlet, Ba Tri District, Ben Tre Province, Vietnam. The total area of this land is 20.6 ha. The receiving water body of the farm is Ba Lai River. The species farmed is mainly Pangasius tra. From 2010, the farm is certified against GLOBALG.A.P. standard and this certification has been kept until now (2012). The estimated yearly production is 10,000 MT

2.2 Summary

Scope:

Standard: ASC Pangasius standard V 1.0 April 2012

Specie: Pangasius, single site certification

Unit of certification: Ba Lai Pangasius Farm of Ngoc Ha

Receiving water body: Ba Lai River

Summary of the report

Finishing the audit, the farm mostly complies with the standard's requirement with criterias:

PRINCIPLE I: LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMWORKS

The farm has operated according to Vietnam laws such as land ownership, tax of Vietnam Tax Department, water discharge regulation of Ministry of Agriculture and Rural Development (MARD)

PRINCIPLE II: FARMS MUS BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT

The farm is located in the land which is not planned for aquaculture. However, the farm is approved for operating fish farming by the Branch of The Ministry of Agriculture and Rural Development of Ben Tre Province. The construction and operating of the farm show that all earth has not been discharged into common water bodies and no negative impacts on endangered species.

The water abstraction of the farm is in the limitation of the ASC pangasius standard which is $5,000\text{m}^3\text{/metric ton}$ of fish produced and also complies with the water allocation limitation set by local authority.

PRINCIPLE III: MINIMIZE THE NEGATIVE IMPACT OF PANGASIUS FARMING ON WATER AND LAND RESOURCES

The parameters such as:

- Amount of total phosphorus (TP), total nitrogen (TN) discharged per metric ton of fish produced
- Diurnal Dissolved Oxygen (DDO) of receiving waters
- Dissolved Oxygen (DO) concentration in water discharged



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are in the allowable range of the standard.

However, the settlement pond is leaked, could not meet the requirement as the Circular no. 45/2010/TT-BNNPTNT of MARD. Beside, this problem also effects to the result of testing TP and TN in discharge water, consequently the provided result of average percentage change of TP and TN between inlet and outlet is not correct.

After the audit, the farm has already built new bunds for the settlement pond and leakage is closed, they also provide the new analytical testing results for TP and TN of inlet and outlet water. The average percentage change of TP and TN between inlet and outlet is in range of the standard.

There is the sludge pond to keep and treat sludge on the purpose of not disposing them into receiving water or natural ecosystems. Dead fishes are collected and sold to other parties to use as fertilizer. The farm also designed the septic toilets for all workers.

PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

Pangasius farmed is native in the river basin where the farm is located and no wild-caught as well as genetically engineered or hybrid seed.

PRINCIPLE V. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED

Feed is the commercial feed. It means there is no hand-made feed. The main ingredient is generated from no Pangasius fish processing aquaculture by-products such as trimmings, viscera, heads and frames. These fishes are not in IUCN and CITES list.

PRINCIPLE VI. MINIMIZE ECOSYSTEM AND HUMAN HEALTH IMPACTS, WHILE MAXIMIZING FISH HEALTH, WELFARE AND ENSURING FOOD SAFETY

In the initial audit, the mortality of the farm is in range of the standard. The farm has applied antibiotic in the approved list of MARD and under Aquatic animal health specialist (AAH specialist) qualified.

PRINCIPLE VII. BE SOCIALLY RESPONSIBLE

The workers in the farm are all well treated with fair and respect. There is no child labor, forced labor as well as discrimination. Workers can have freedom of association and right to collective bargaining, freely leave the farm when finishing their work.

For detailed information about compliance, please see the audit checklist report attached to this report.

Summary of findings:

Completing the audit, the farm has 2 Major NCs which are already closed and 4 Minor Non-conformities that need to be settled for the next surveillance audit in October 2013. (see more details about findings in the audit result)

2.3 Decision

A certificate has not been issued but Ba Lai Pangasius Farm of Ngoc Ha belonging to NGOC HA COMPANY LIMITED FOOD PROCESSING AND TRADING is recommended for the ASC farm certification. The certification process will be completed after public consultation of this draft report.

2.4 Audit background

Author(s): LE TRAN TRUONG THUY

Audit dates: 04-05/10/2012

Report finished at: 20/10/2012

Report reviewed at: 27-11-12

Date of the certification decision: 27-11-12

Persons involved in the audit:

- Mr. Le Trong Hai – Quality Manager of the Farm

- Mr. Le Trung Hieu – Farm Manager

- Mr. Vo Quoc Huy – Technician of the Farm

- Farm's employees

- Interviewed local community: Mr. Truong Van Hoan, Mr. Le Minh Hieu, Mrs. Nguyen Thi Gai, Mr. Dang Van Thanh

- Mr. Dang Cong Em – People's Committee of Tan Xuan Hamlet

- Mr. Vo Van Tran – Vice-chairman of Farmer Association of Tan Xuan Hamlet



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- Mr. Lu Van Ngan – Vice-chairman of Veteran Association of Tan Xuan Hamlet
- Mr. Tran Van Nghiep – Ba Lai River Management Team

Stakeholder participation: *there is no any comments from stakeholders received before the audit.*

Previous Audits (if applicable): N/A

Other activities:

ASC audit announcement date: 05-09-12

Stakeholders consultation opened: 05-10-12

Pre-audit checklist information desk review: 28-09-112

2.5 Scope

ASC Pangasius standard version: 1.0 April 2012

Species: Pangasius

Type of certification: Single site certification

Unit of Certification

Production Unit name	Production Unit number	Address and geographical positions	Receiving water
Ba Lai Pangasius Farm of Ngoc Ha	PRD039551	* Village 4, Tan Xuan Hamlet, Ba Tri District, Ben Tre Province, Vietnam *Geographical positions: A. N10o08'28" - E106o37'39" B. N10o08'20" - E106o37'53" C. N10o08'26" - E106o37'36" D. N10o08'07" - E106o37'52" E. N10o08'15" - E106o37'48" F. N10o08'19" - E106o37'41"	Ba Lai River

Receiving water:

The Ba Lai River is the natural water body, see the attached scheme map of the farm.

2.6 Description of the start of the Chain of Custody.

Products included in the scope of certification detailed in this report may enter further certified chains of custody and are eligible to apply to carry the ASC label

Considerations for the decision:

- **Tracking, tracing and segregation systems within the aquaculture operation:**
The farm has the form of following harvesting and transporting the fish to the processing unit. Based on this form, the farm Traceability - can know which the processing unit fish is transported to. Currently, there is no fish selling to other processing units with the exception of NGOC HA Processing unit (processing plant) – the same legality. Besides, NGOC HA Company has only one farm which is on the ASC certification route.
- **Use of transshipment:**
The farm has been using well-boat in order to transport to the processing unit.
- **Eligible operators and point(s) of landing:**
Using well-boat for fish and there is only one point of harvesting at this farm to the NGOC HA processing unit point of landing.
- **The opportunity of substitution of certified with non-certified product within the unit of certification:**
There is no chance of substitution and only certified products are produced by the legal entity (Ba Lai Pangasius Farm of Ngoc Ha belonging to NGOC HA)
- **Point from which Chain of Custody certification is required:**
Chain of custody certification is required after harvest when fish is received in processing plant also owned by NGOC HA COMPANY LIMITED FOOD PROCESSING AND TRADING

2.7 Evaluation results

See audit checklist attached to this report

2.8 Non-conformity report(s)

See audit checklist attached to this report



Report number: 821870-ASCRPT-2012-01-LTTT

Comments:

Name and signature of authorized representative:

Position:

Date:

Please return a copy of this report by mail to CU.

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Control Union Certifications

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ASC audit checklist			
ASCASS-PAD.F01(01)			
Reportnumber:		821870-ASC.2012.01.LTTT	
1.1 Client contact data			
CUC number:	821870		
Company name:	NGOC HA COMPANY LTD. FOOD PROCESSING AND TRADING		
Contact person:	Mr. LE TRONG HAI		
Address:	Hoi Hamlet, Kim Son Village, Chau Thanh District, Tien Giang Province		
Postal code:	84		
City:	N/A		
Country:	Vietnam		
Telephone number:	+ 84 73 3984553	Fax Number:	+ 84 73 3984554
e-mail:	letronghai56@yahoo.com.vn		
1.2 Audit information			
Date of last external audit :	The first audit		
Audit date :	04-05/10/2012		
Full name of the lead auditor:	LE TRAN TRUONG THUY		
Audit team:	Auditor 1: Ms. LE TRAN TRUONG THUY (Environment Part)		
	Auditor 2: Mr. LE ANH NGOC (Social Part)		
	Technical Expert: Mr. LY VI CUONG		
Type audit :	Announced / Unannounced Initial / Surveillance / Recertification		
1.3 Scope of ASC			
Scope: AQUACULTURE	Standard Version: 01	Specie: PANGASIUS	

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Production units

	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
F-01	Ba Lai Pangasius Farm of Ngoc Ha	* The address: Hamlet 4, Tan Xuan Commune, Ba Tri District, Tien Giang Province * GPS coordinates A. N10o08'28" - E106o37'39" B. N10o08'20" - E106o37'53" C. N10o08'26" - E106o37'36" D. N10o08'07" - E106o37'52" E. N10o08'15" - E106o37'48" F. N10o08'19" - E106o37'41"	Ba Lai River	N/A	Vietnam	Pangasius

Changes since last audit: N/A. The first auditYES NO

If YES, Description:

1.4 Other information

Brand name of the company: NGOC HA

Mention other existing certification schemes of licensee: No

Lead Auditor : LE TRAN TRUONG THUY

Company representative :

signature

signature

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2. Assessment of Pangasius Standard

PRINCIPLE 1: LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS		Compliance			Finding
1.1 Criteria: Local and national regulations		Yes	No	N/A	
<p>Scope: <i>Pangasianodon hypophthalmus</i>, <i>Pangasius bocourti</i></p> <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>					
1.1.1	<p>Indicator: Presence of all pertinent permits and registrations required by local and national authorities</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records to show the farm has all registrations as required by local and national authorities.</p> <p>b. Obtain an aquaculture farming licence (if applicable).</p> <p>c. Obtain a commercial licence (as applicable).</p> <p>d. Obtain any other contracts, licenses, or permits as required by local and national authorities (also see 1.1.3 and 1.1.4)</p>	<p>A. Verify farm has all registrations as required by local and national authorities.</p> <p>B. Verify farm has aquaculture farming licence (as applicable).</p> <p>C. Verify farm has a commercial licence (as applicable).</p> <p>D. Verify compliance</p>	x	<p>"Environment Impact Assessment Report" on 06/01/2011, approved by The Branch of Natural Resource and Environment "Decision of Approving Environment Impact Assessment Report" no. 677/QD-UBND, on 28/03/2011 by The People's Committee of Ben Tre Province "Certificate of complying veterinary hygiene condition" no 87/GCN-TNTS, issued on 30/12/2011, by The Branch of Fishery Department of Ben Tre Province "Form of Approving the Master Plan of Pangasius Fish Farm" no. 678/SNN-PTNT issued on 09/08/2012 by Branch of The Ministry of Agriculture and Rural Development (MARD) of Ben Tre Province "Business licence" no. 5302002105 issued on 20/05/2004, re-modifying second time on 21/02/2008 "Land-owner ship" for the farm's land, issued by The People's Committee of Ben Tre Province "Contract of transferring land-owner ship" on 26/06/2010 of land number 253 "Confirmation letter" on 05/10/2012, by The People's Committee of Tan Xuan Hamlet, Ba Tri District, Ben Tre Province confirms the right of using the discharge canal</p>
1.1.2	<p>Indicator: Presence of documents proving compliance with pertinent tax: laws</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax) for the last 12 months. For first audits, farm records must cover ≥ 6 months</p> <p>b. Keep updated information on applicable tax laws for the Jurisdiction in which the farm is operating.</p>	<p>A. Verify client has records of tax payments to appropriate authorities. [Note: For integrated systems, tax may only apply at the processing level. Nonetheless clients must show evidence of tax payment]</p> <p>B. Verify client has current tax law information and a basic understanding of tax requirements.</p>	x	<p>"Tax payment receipt" states that all taxes are full-filled The current tax laws</p>
1.1.3	<p>Indicator: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations</p> <p>Requirement: Yes</p> <p>Applicability: Ponds</p>	<p>Instruction to Clients for Indicator 1.1.3 -Showing Compliance with Water Discharge Regulations Indicator 1.1.3 requires the farm to show compliance with all water discharge regulations at the local and national level. If the authoritative regulatory agency has imposed limits on farm water discharge (i.e. by issuing a discharge permit or other comparable mechanism) the obligation shall rest with the client to demonstrate compliance. Four types of evidence are acceptable: a. Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge; b. Results of water testing from a fully independent ISO 17025 accredited laboratory; c. Relevant legal documents showing compliance; or d. Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance. Where regulations require monitoring of farm water discharge, that monitoring shall be conducted annually (at a minimum) or more frequently if required under local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will raise a non-conformity. Note 1: The ASC Pangasius Standard also specifies criteria for some water quality parameters. These are considered separately under Principle 3 below:</p>	<p>A. Verify compliance. If (b), (c) or (d), then enter not applicable for (a).</p> <p>B. Verify compliance. If (a), (c) or (d), then enter 'not applicable for (b)</p> <p>C. Verify compliance. If (a), (b) or (d), then enter not applicable for (c)</p> <p>D. Verify compliance. If (a), (b) or (c), then-enter not applicable for (d)</p>	x	<p>The Center of Analysis and Testing of Ho Chi Minh City - VILAS 092 "Form of taking samples for ASC/PAD Standard", sample number 06 - discharge water, on 18/03/2012. Sample was taken by Lab's staff "Analytical testing result" of discharge water, sampled on 18/03/2012 Circular No. 45/2010/BNN-PTNT on 22/07/2010 of The Ministry of Agriculture and Rural Development (MARD) N/A</p>
1.1.4	<p>Indicator: Presence of documents proving compliance with local and national legal regulations on land and water use.</p> <p>Requirement: Yes</p>	<p>a. For ponds, maintain copies of land ownership or contract of lease. For pens or cages, maintain permits showing allowance to farm in the designated location.</p> <p>b. Obtain required permits to use and discharge water for the purposes of operating a farm. Comply with any and all permit restrictions stated therein (e.g. maximum capacity of production, water allocation volumes, etc).</p>	<p>A. Verify client has documents to show legal access to and use of land and water.</p> <p>B. Verify farm has permits and complies with the farm.</p>	x	<p>The related documents are in 1.1.1d "Analytical testing result" of discharge water, sampled on 18/03/2012 "Analytical testing result" of abstract water, sampled on 03/10/2012 Comparing with Circular No. 45/2010/BNN-PTNT on 22/07/2010 of The Ministry of Agriculture and Rural Development (MARD), confirm compliant</p>

	Applicability: All	c. If the farm operates in a country and region with no permitting system for land and water-use, provide documentary evidence (e.g. letter from authorities) attesting to this fact.	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.				"Confirmation letter about quantity of abstract and discharge water" confirm that the farm does not need permits water use in the country and region, issued by The People's Committee of Tan Xuan Hamlet, Ba Tri District, Ben Tre Province
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 Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
2.1.1	Indicator: Farms [4] located in approved aquaculture development areas Requirement: Yes Applicability: All	a. Provide a detailed map of the farm with at least 4 GPS coordinates	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.	x			Farm Plan with GPS coordinate of each corner: A. N10o08'28" - E106o37'39" B. N10o08'20" - E106o37'53" C. N10o08'26" - E106o37'36" D. N10o08'07" - E106o37'52" E. N10o08'15" - E106o37'48" F. N10o08'19" - E106o37'41"
		b. Provide official plans that identify approved aquaculture development areas. If there are none, be in possession of a statement from the authorities as confirmation.	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.				"Form of Approving the Master Plan of Pangasius Fish Farm" no. 678/SNN-PTNT issued on 09/08/2012 by Branch of The Ministry of Agriculture and Rural Development (MARD) of Ben Tre Province
		c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	C. Verify farm is located in an approved aquaculture area If there is no such areas, auditors response is 'not applicable'.				Farm address: Village 4, Tan Xuan Hamlet, Ba Tri District, Ben Tre Province The same as the address in "Form of Approving the Master Plan of Pangasius Fish Farm" no. 678/SNN-PTNT
Footnote [4] Pond, cage and pen-based facilities							
2.2 Criteria: Conversion of natural ecosystems							
		Compliance Criteria (Required Client Actions)	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 for farm expansion Requirement: Yes Applicability: Ponds established after August 31, 2010	a. Provide a declaration that identifies the month and year of farm construction, and specify dates of any subsequent farm expansions	A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010.	x			"Confirmation letter of registering the Declaration of Environment Protection" confirmed by the Branch of Natural Resource and Environment Department - the farm was established on 14/03/2007 and there is no expansion
		b. If the farm (or any of its expansions) was constructed after August 31, 2010, be in possession of a statement/historical land use map from a government organization indicating that the land was agriculture or aquaculture land for 10 years prior to their construction.	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.				
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 offish produced has been paid to the environmental and social restoration fund [7] annually Requirement: Yes Applicability: All	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.	A. Verify the farm has signed a letter stating commitment to contribute to the fund.	x			The fund has not been established yet, however, the farm has already sent a commitment letter to ASC about funding
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.				
		c. Retain evidence of all payments made into the fund.	C. Verify farm has made payment[s] into the fund. As soon as ASC has set-up the fund, this information will be posted on the ASC website.				
Footnote [7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered.							
2.2.3	Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies Requirement: Yes Applicability: Ponds established after August 31, 2010	a. Provide a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010.	A. Verify the farm has made a declaration.	x			"Confirmation letter" on 28/09/2012, earth is used to construct pond's bund
		b. For construction activities listed in 2.2.1 a that involved earth moving and that occurred after August 31, 2010, provide a statement indicating where the earth was moved to or how it was disposed of	B. Review list of construction activities and means of disposing of earth.				Interview local community Mrs. Nguyen Thi Gai and Mr. Dang Van Thanh, there is no evidence that the farm has discharged earth into common water bodies.
			C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.				
Footnote [8] For ponds established after the publication of the PAD standards.							
Footnote [9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users.							
2.2.4	Indicator: Evidence [10] of no negative Impacts on endangered species [11] Requirement: Yes	a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.	A. Review search results for adequacy and completeness.	x			"Report of assessment and specification engangered species" on 07/08/2012
		b. Determine whether any species occurring in the area are listed as endangered by relevant national authorities.	B. Review the source and accuracy of the list.				Circular No. 48/2002/ND-CP in 22/04/2002 about Vietnamese Redlist
		c. Prepare a list of all endangered species occurring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2).	C. Review list for completeness. Compare with results from search of IUCN database of red list species (see 6.6.2).				"Searching result on IUCN" "Detailed information of all IUCN species occurring in the area"

Requirement: All	d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	D. Review procedures for adequacy.				"Report of assessment and specification endangered species" on 07/08/2012, page 31. - "Protecting method"
		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).				Interviewed local community - Mr. Truong Van Hoan, Mr. Le Minh Hieu, Mrs. Nguyen Thi Gai, Mr. Dang Van Thanh and interviewed worker - Mr. Le Van Phu, there is no evidence that: - the farm is presently having a negative impact on endangered species -the farm has recently had a negative impact (since August 2010).

Footnote [10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.

Footnote [11] As set by IUCN and national authorities.

2.3 Criteria: Site connectivity							
	Indicator	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding
				Yes	No	N/A	
2.3.1	Indicator: Farm does not impede navigation, aquatic animals or water movement.	a. Obtain community testimonials or similar evidence to show the 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	Pond
	B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.					Pond	
2.3.2	Indicator: Minimum width of the water body [15] without cages, (see Diagram 1, Annex C)	a. Provide a map or diagram showing measurement of cages and width of the water body.	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	Pond
	Requirement: ≥ 50%	b. Provide measurements and calculations sufficient to show compliance (see Diagram 1 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are accurate and confirm compliance				Pond

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. Provide a map or diagram showing measurements of pens and width of the water body.	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	Pond
	Requirement: ≤ 20% percent of the width of the water body	b. Provide measurements and calculations sufficient to show compliance (see Diagram 2 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are accurate and confirm compliance.				Pond
	Applicability: Pens		C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.				Pond
2.3.4	Indicator: Maximum number of contiguous pens allowed (see Diagram 3, Annex C)	a. Provide a map or diagram showing the size and numbers of pens and showing the shoreline distance between pens.	A. Inspect site to verify the farm's diagrams accurately show the size and position of pen, and the shoreline distance between pens.			x	Pond
	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	b. On the map, show how the arrangement of pens complies with the requirement for number and separation distance (see Diagram 3, Annex C)	B. Verify the farm's arrangement of pens is in compliance				Pond

2.4 Criteria: Water use							
	Indicator	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding
				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]	a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Verify the farm keeps complete records of water intake.				"Water intake quantity" for each pond
		b. Obtain a statement from local authorities indicating the water allocation limits (units given) for the farm. If local authorities do not set water allocation limits for farms operating in the region, be in possession of a statement from local authorities attesting to this fact	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.				"Confirmation letter about quantity of abstract and discharge water" no. 25/2012 CV-NH, on 27/09/2012, issued by The People's Committee of Tan Xuan Hamlet, Ba Tri District, Ben Tre Province
		c. If water allocation limits are not set by local authorities (see 2.4.1b), be in possession of a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given) for the farm.	C. Review evidence that water allocation limits have been set for the farm- by a reputable independent institution (as applicable).	x			N/A. There is the local legislation of water allocation limit set in "Confirmation letter about quantity of abstract and discharge water" no. 25/2012 CV-NH
		d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable).	D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).				The organization is the People's Committee of Tan Xuan Hamlet, Ba Tri District, Ben Tre Province
		e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits	E. Check the farm's water intake against the water allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).				"Water intake quantity", cross-check with the document "Confirmation letter about quantity of abstract and discharge water", confirm that the farm is complied with limits set by local authority

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	<p>Indicator: For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in Annex D)</p> <p>Requirement: 5,000 m3/metric ton of fish produced</p> <p>Applicability: Ponds</p>	<p>Instruction to Clients for Indicator 2.4.2 -Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced 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 Q_{avg}</p>		x					
		a. Using records of water intake (see 2.4.1a), calculate total water abstracted (m3) for each pond harvested by the farm. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review calculations against intake records to Confirm accuracy.						"Water intake quantity" of pond 10 with total quantity of water intake for full crop
		b. Maintain records showing weight of fish harvested from each pond.	B. Verify the farm keeps records showing the weight "of fish harvested.						"Form of hand-over harvested fish" of pond 10, harvested on 27-29/09/2012, quantity: 189,469kg
		c. Calculate the total, weight of fish produced (in metric tons) from each pond	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).						"Pond report" of pond 10 and every other harvested ponds
		d. For each pond, calculate the ratio of total water abstracted per ton of fish produced (see above instructions and Annex D of the ASC Pangasius Standard as an example).	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).						"Pond report" of pond 10, ratio of water abstracted is <5,000m3/ton of harvested fish
e. Using results from all harvested ponds, calculate the farm-wide average ratio of total water abstracted per ton of fish produced (see Instructions above).	E. Confirm the farm-wide, average Q is < 5,000m3/metric ton of fish produced.	"Average ratio of farm" ratio of water abstracted of whole farm is <5,000m3/ton							

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 PANGASIIUS FARMING ON WATER AND LAND RESOURCES

3.1 Criteria: Nutrient utilization efficiency

	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding		
			Yes	No	N/A			
3.1.1	<p>Indicator: Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced.</p> <p>Requirement: 20 kg/t</p> <p>Applicability: Pens and Cages</p>	<p>Instruction to Clients for Indicators 3.1.1 and 3.1.2-Laboratory Analysis of TP and TN in Feed 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.</p>		x				
		a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used					Pond
		b. Obtain relevant declarations of TP content from feed suppliers for a II feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm possesses all declarations for TP content in feed.					Pond
		c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable).					Pond
		d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble)	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.					Pond
e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	E. Review farm's calculations to confirm the farm complies with the Requirement	Pond						

Footnote [19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).

	<p>Note: see instructions for Indicator 3.1.1</p>					
	<p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	A. Confirm the farm has complete and accurate records for feed used				Pond

3.1.2	Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton offish produced. Requirement: 70 kg/t Applicability: Pens and Cages;	b. Obtain relevant declarations of TN content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm possesses declarations for TN content in feed.	x	Pond
		c. Provide evidence that the farm tested TN from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).		Pond
		d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.		Pond
		e. Using total weight offish produced (answer from 2.4.2c), calculate the amount of TN added as feed per metric ton offish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	E. Review-farm's calculations to confirm the farm complies with the Requirement		Pond

Footnote [20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of nitrogen (Australian Government, Department of Meteorology).

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. Farms that meet the requirements should be able to demonstrate compliance, regardless of whether their feed is made by a commercial feed mill or on site. See Principle 5 for further details.

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 a minimum of 1 pond in production; 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 following the methodology provided by a fully independent ISO 17025 accredited laboratory and will be available to the certifier at the day of the audit. The accredited laboratory will be required to verify that sampling was conducted in accordance with this methodology. - all water samples are collected in second half of crop production (ie. ≥ 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 farms records for monitoring TP and TN discharged must cover ≥ 6 months. To prepare for first audit: - farm invites accredited laboratory to the farm to have the water sampled - if samples are out of compliance, farm takes corrective actions prior to ASC audit - in case of non-compliances, farm does have the water sampled by accredited laboratory after implementation of corrective actions to show compliance - all sampling results are supplied to auditor by the accredited laboratory to show that corrective action has been taken and that farms is now in compliance with the ASC Standard				
		a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring and a copy of the contract specifying that water sampling and analyses are to be conducted in line with constructions for 3.1.3	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.	x		The Center of Analysis and Testing of Ho Chi Minh City - VILAS 092 "Form of taking sample onsite" on 18/03/2012, specifies that water sampling and analyses are to be conducted in line with constructions for 3.1.3
		b. Obtain laboratory results for TP concentration in pond water sample and intake water samples.	B. Review laboratory results for TP concentration			Analytical result of pond 2: "Tesis Analytical result" of intake water and pond water of pond 2: - Pond water: TP=0.16mg/L - Intake water: TP=0.14mg/L
		c. For each pond, identify the total weight of fish produced (result from 2.4.2b) and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm's data			"Form of hand-over harvested fish" and "Pond report" of pond 2, about total quantity of water use in full crop
		d. Enter the values from b and c (above) into the Total TP Discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TP discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.	D. Review farm's calculations to confirm accuracy.			"Pond report" of pond 2, TP<7.2kg/ton
e. Use the TP values (answer d) from different ponds to calculate the farm wide average amount of TP discharged per metric ton of fish produced	E. Review farm's calculations of average TP to confirm compliance with the Requirement.	"Pond report" about farm wide average, TP<7.2kg/ton				

Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D)	Note: see instructions for Indicator 3.1.3			
	a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.		
b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration	Analytical result of pond 2: "Tesis Analytical result" of intake water and pond water of pond 2: - Pond water: TN=1.16mg/L - Intake water: TN=0.94mg/L		

3.1.4	<p>Requirement: 27.5 kg/t</p> <p>Applicability: Ponds</p>	<p>c. For each pond, identify the total weight of fish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.</p> <p>d. Enter the values from b and c (above) into the Total TN discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TN discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.</p> <p>e. Use the TN values (answer d) from different ponds and to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.</p>	<p>C. Review accuracy of farm data</p> <p>D. review farm's calculations to confirm accuracy</p> <p>E. Review farm's calculations of average TN to confirm compliance with the Requirement.</p>	x		<p>"Form of hand-over harvested fish" and "Pond report" of pond 2, about total quantity of water use in full crop</p> <p>"Pond report" of pond 2, TN<27.5kg/ton</p> <p>"Pond report" about farm wide average, TN<27.5kg/ton</p>
3.2 Criteria: Measuring water quality in receiving water body				Compliance		
Compliance Criteria (Required Client Actions)		Auditor Evaluation (Required CB Actions)		Yes	No	N/A
3.2.1	<p>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)</p> <p>Requirement: ≤ 65%</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 3.2.1 -Measuring Percent Change in Diurnal Dissolved Oxygen</p> <p>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:</p> <ul style="list-style-type: none"> - 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. <p>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.</p>	<p>a. Provide DO measurements .</p> <p>b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.</p> <p>c. Calculate percent change in DDO for each monitoring date using the equation in AnnexD.</p> <p>d. Use results of 3.2.1c to calculate the average percent change in DDO over the entire 12 month monitoring period. For first audits, farm records must cover > 6 months.</p> <p>e. Arrange to take DO measurements while the auditor is at the farm</p>	x		<p>"Table of Calculation % Change of Diurnal DO" on 02/01/2012 to 24/09/2012, checked every two weeks</p> <p>DO is measured by Mr. Vo Quoc Huy, he calibrates the equipment by ToC, Salinity and Altitude</p> <p>"Table of Calculation % Change of Diurnal DO" the calculation is based on Annex D of this Standard</p> <p>"Table of listing DDO of receiving water body" %DDO average for monitoring period is <65%</p> <p>Masurement at the audit date, the value is in range</p>
Footnote [22] DO is the concentration of oxygen dissolved in water, expressed in mg/L or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given salinity and temperature.						
Footnote [23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.						
3.3 Criteria: Measuring quality of pond effluents (Water quality of pond effluents) [24]				Compliance		
Compliance Criteria (Required Client Actions)		Auditor Evaluation (Required CB Actions)		Yes	No	N/A
Footnote [24] This criteria is not pertinent to either cage or pen cultures		<p>Instruction to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet</p> <p>Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. 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 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"> - samples are collected by staff from the fully independent accredited laboratory; - samples are taken from the 'inlet' and the 'outlet' (inlet = the water in the intake canal, as close as possible to the farm being certified. Outlet =the actual water being discharged not the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged); - samples are collected from pond inlets and outlets during the second half of crop production (i.e. > 90 days after stocking); - on each sampling day, at least two samples are collected from the outlet and these are taken at least 1 hour apart (use the average value in calculations below); and - at a minimum the farm must sample from one pond per year. <p>Percent Change in TP =(Outlet TP Conc.)- (Inlet TP-Conc.) / (Inlet TP Conc.)x100</p> <p>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.</p> <p>For first audits, farm records for monitoring percent change in TP and TN must cover ≥ 6 months</p>				

3.3.1	<p>Requirement: 100%</p> <p>Applicability: Ponds</p>	<p>a. Provide laboratory results for TP in water samples from inlet and outlet.</p>	<p>A. Review laboratory results for TP.</p>	x		<p>Analysing result of pond 1: Abstract water: - "Testing analytical result" no 22/10-05/10/PKQTN-TT Discharge water: - First time: "Testing analytical result" no 20/10-05/10/PKQTN-TT - Second time: "Testing analytical result" no 20/10-05/10/PKQTN-TT * Settlement pond is spillage, could not meet the requirement as the Circular no. 45/2010/TT-BNNPTNT of MARD because of the leaked settlement pond</p>	
		<p>b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above.</p>	<p>B. Review calculations to verify accuracy.</p>			<p>"Table of calculation percent change in TN and TP", of pond 1, % change TP <100%</p>	
		<p>c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.</p>	<p>C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.</p>			<p>"Table of calculation average percent change of TN and TP" average percent change in TP over the entire monitoring period is <100%</p>	
		<p>d. Provide evidence of the on-site visit for the sampling of pond effluents f or TP and TN staff from the accredited laboratory.</p>	<p>D. Review visit evidence for sampling for TP and TN to confirm compliance with procedures.</p>			<p>The Lab. staffs are complied with the procedure of sample taking</p>	
3.3.2	<p>Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN measurement methodology and TN discharge formula in Annex D).</p> <p>Requirement: 70%</p> <p>Applicability: Ponds</p>	<p>Note: see instructions for Indicator 3.3.1</p>	<p>a. Provide laboratory results for TN in water samples from inlet and outlets</p>	x		<p>Analysing result of pond 1: Abstract water: - "Testing analytical result" no 22/10-05/10/PKQTN-TT Discharge water: - First time: "Testing analytical result" no 20/10-05/10/PKQTN-TT - Second time: "Testing analytical result" no 20/10-05/10/PKQTN-TT * Settlement pond is spillage, could not meet the requirement as the Circular no. 45/2010/TT-BNNPTNT of MARD because of the leaked settlement pond</p>	
		<p>b. For each pond, calculate the percent change of TN between inlet and outlet on each sampling day using the equation shown above.</p>	<p>B. Review calculations to verify accuracy.</p>			<p>"Table of calculation percent change in TN and TP", of pond 1, % change TN <70%</p>	
		<p>c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period.</p>	<p>C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity.</p>			<p>"Table of calculation average percent change of TN and TP" average percent change in TN over the entire monitoring period is <70%</p>	
		<p>d. During the on-site visit, arrange for the auditor to contact observe sampling of pond effluents f or TP and TN.</p>	<p>D. Witness sampling for TP and TN to confirm compliance with procedures.</p>			<p>The Lab. staffs are complied with the procedure of sample taking</p>	
Footnote	[25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.						
Footnote	[26] Outlet: The actual water being discharged, not the receiving water.						
3.3.3	<p>Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)</p> <p>Requirement: 3 mg/l</p> <p>Applicability: ponds</p>	<p>Instruction to Clients for Indicator 3.3.3-Measuring DO in Water Discharged See Indicator 3.2.1 for a general description of the equipment and method used to measure dissolved oxygen (DO). Take DO measurements at the outlet where water is discharged (i.e. measure DO in the actual water being discharged, not in the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged). Test DO at least once per week.</p>	<p>a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months</p>	x		<p>"DO measuring result in settlement pond"</p>	
		<p>b. Use data from all weekly measurements to calculate the average DO in water discharged over the entire monitoring period. For first audits, farm records must cover ≥ 6 months</p>	<p>B. Confirm DO in water discharged by farm is > 3 mg/l. If any single value falls outside limits, raise a non-conformity.</p>			<p>"Table of listing DDO of receiving water body" in the column of DO of discharge water, DOavg=4.99mg/L</p>	
		<p>c. During the on site visit, make arrangements for the auditor to observe calibration of equipment and measurements.</p>	<p>C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.</p>			<p>At the audit date *05/10/2012), measuring DO=3.57mg/L</p>	
3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]						Finding	
Compliance Criteria (Required Client Actions)			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.						
	<p>Indicator: Evidence that sludge is not discharged</p>	<p>a. Provide a detailed sludge management plan (also see 3.5.1). The plan will ensure that no sludge in any form is discharged directly into receiving waters or natural ecosystems.</p>	<p>A. Review the farm's sludge management plan.</p>			<p>"Report of Environment Impact Assessment" Item 4.3.2.3 "Method of minimizing pollution by Solid waste"</p> <p>"Contract of renting sludge disposing service" on 10/01/2012</p> <p>"Form of monitoring sludge in pond"</p> <p>"Volume of Sludge disposing"</p>	
		<p>b. Maintain records of sludge disposal to show volume or weight and condition (i.e. Fresh or dried) when disposed. For first audits, farm records must cover ≥ 3 months.</p>	<p>B. Review records to confirm appropriate disposal according to plan..</p>				

3.4.1	directly into receiving waters or natural ecosystems [28] Requirement: Yes Applicability: All	c. If sludge is transferred (e.g. for agricultural use), be in possession of a declaration from the receiving party that specifies the sludge volume, delivery date, and expected use. The party shall declare that the sludge will not be discharged directly into receiving waters or natural ecosystems.	C. If yes to (c), confirm farm has appropriate documentary evidence.	x			N/A. Farm does not transfer sludge to other party
		d. If a sludge repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership or statement from the owner or right of use).	D. If yes to (d), inspect sludge repository during on-site visit.				Onsite inspection, confirm that the sludge pond has the legal access.
			E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems				Interviewed local community - Mr. Truong Van Hoan, Mr. Le Minh Hieu, Mrs. Nguyen Thi Gai, Mr. Dang Van Thanh and interviewed worker - Mr. Le Van Phu, 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 size).		x			Based on the information at the onsite audit, confirm that the size sludge pond is appropriate
		a. Provide calculations showing the sludge repository is of appropriate size	A. Review farm's calculations to verify accuracy. Confirm compliance.				Onsite observation, confirm that the sludge pond has the legal access with the appropriate size
		b. Provide evidence of legal access to the sludge repository (see 3.4.1c).	B. During on-site visit, inspect the farm's sludge repository.				
3.5 Criteria: Waste management				Compliance			Finding
		Compliance Criteria (Required Client Actions)	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. Prepare a plan for farm solid waste management. The plan may encompass other forms of farm-generated wastes (see 3.4.1, 3.5.2, 3.5.3 and 3.5.4).	A. Review the farm's solid waste management plan	x			"GAP - Solid waste management" signed by Ms. Nguyen Thi Mau on 03/01/2012
		b. During the on-site visit, arrange for the audit or to inspect the farm's solid waste management system.	B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.				There is no any evidence of solid waste 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.				Onsite observation confirm that the solid waste management plan is implemented and effective
3.5.2	Indicator: Evidence of human and animal solid wastes being discharged into the natural environment Requirement: None Applicability: All	a. During the on-site visit, give the auditor a general description of the farm's system for removal of human and animal solid waste. Allow the auditor to inspect.	A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment	x			There are equipped septic toilets to treat human waste. There is no sign of human waste be discharged into the natural environment.
		b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).	B. Verify that emptying and maintenance follow the schedule.				"Procedure of maintainance septic toilet" on 03/01/2012 "Form of monitoring hygiene" records from 05/01/2012 to 04/09/2012
		c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance.	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.				There is no sign of leakage or direct discharge into the natural environment. There is no record of empty septic tank because it has not been on time yet
		d. Provide evidence for burial of animal feces (as applicable).	D. Inspect site to verify that the farm buries any animal feces (if applicable).				Beside fish, there is no any other animal in the farm.
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).				N/A. Farm was constructed for a long time before without any construction contract.
3.5.3	Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment Requirement: None Applicability: All	a. Prepare a plan for farm management of chemical and medicine wastes.	A. Review farm's plan for management of chemical and medicinal wastes.	x			"Plan for disposing expired and non-use chemical" on 03/01/2012
		b. During the on-site visit, allow the auditor to inspect the farm's 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.				There is no 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.				"Commercial Contract" no 325/HDKT.2011, on 04/01/2012 about giving back the chemical/medicine containers and expired chemical to the suppliers.
	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. Provide auditor with the farm's plan for disposal of dead/moribund fish.	A. Review the farm's plan for compliance with Indicator 3.5.4					"Controlling waste product - mortality fish" on 03/01/2012
	b. burial, incineration: plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).					N/A. Farm does not bury dead fish

3.5.4	<p>Indicator: Evidence of proper disposal (30) of dead/moribund fish</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>c. septic tank: plan gives procedures for disposal of fish in septic tanks, specifies the schedule for emptying tanks, and identifies personnel involved (e.g. contracts with external parties).</p>	C. Verify by review of documentary evidence (as applicable).	x			N/A. Farm does not use septic tank to dispose dead fish
		<p>d. production offish meal or fish oil: specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.</p>	D. Verify by inspection (as applicable).				N/A. Dead fish is not used as fish meal or fish oil
		<p>e. feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d"): Option is allowed only if an aquatic animal health specialist concludes that mortality was not caused by an infectious agent or a pesticide/chemical pollutant.</p>	E. Verify that farm possesses written statement(s) from aquatic health specialist (as applicable).				N/A. Dead fish is not used as feed for other animal
		<p>f. sold: Plan identifies the option of sales. For all sales, the farm must prepare a contract that states how the buyer will use the dead fish. If intended as animal feed (either directly or as fish meal/oil) the contract and the statement of the specialist confirm compliance with requirements.</p>	F. Verify review of documentary evidence (as applicable)				<p>"Form of purchasing dead fish" no. 15-12/HD-NH, on 06/01/2012</p> <p>"Form of daily monitoring hand-over dead fish" records from 01/01/2012 to 03/10/2012</p>
			G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposal followed the plan.				Interviewed Mr. Le Van Phu - worker, confirm that dead fishes are used to make fertilizer by the other party
Footnote	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production offish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality was not caused by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for animals other than pangasius. Evidence on the cause of mortality shall be provided by the aquatic animal health specialist (see Principle 6).						
3.6 Criteria: Energy consumption				Compliance			Finding
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
3.6.1	<p>Indicator: Information available on the following variables (per year per farm in the certification unit):</p> <ul style="list-style-type: none"> - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method. <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.</p>	A. Review calculations. Verify the farm keep records of energy consumption.	x			The farm provides all invoices of using energy "Form of calculation total energy use in the farm"
		<p>b. Provide records, of mortality quantities, (see Indicator 6.4.4), and their dispose method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop-per site (see preamble).</p>	B. Verify the farm-maintains accurate records of-mortalities and disposals.				There are the records of dead fishes for each pond. "Farm diary" and "Form of daily monitoring hand-over dead fish"
PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS							
4.1 Criteria: Presence of pangasius in the water drainage system				Compliance			Finding
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
4.1.1	<p>Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruit ins 1321 stock established before 1st January 2005</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	Note: If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established, then Indicator 4.1.1. does not apply. Enter 'not applicable' here and proceed to assess farm compliance against Indicator 4.1.3.					
		<p>a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.</p>	A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.	x			"Statement of seedling production" Records of purchasing seedling: verifying each ponds
		<p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p>	B. Review map to confirm farm location within river basin.				"Map of Cuu Long river basin" with the location of the farm on the map. Cuu Long river is an other name of Meking River in Vietnam
		<p>c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).</p>	C. Confirm that documentation show the farmed species is indigenous to the river basin.				Document: "Distribution and Ecology of Some Important River Fish Species of the River Mekong Basin" on 06/2005. Page 74 - about "Pangasianodon Hypophthalmus". State that the Pangasius Tra is indigenous in Mekong river basin
		<p>d. If the species is not indigenous and has a self-recruiting stock established in the river basin, provide documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references on multiple incidences of different age classes at different times and location) indicating that the stock was self recruiting before 1st January 2005.</p>	D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.				N/A. Fish in the farm is the indigenous specie not the self-recruiting specie
	E. Verify the identity of the farmed species by direct observation during on-site visit.	Onsite observation, confirm that the farm only stocks Pangasius Tra					

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. Provide documentary evidence: peer-reviewed papers, official government (competent authority) statements or other comparable references indicating no negative impacts. Negative impact by a self-recruiting stock includes but is not restricted to: - changing the genetic diversity of wild pangasius through interbreeding - competition (e.g. displacement of local species) - habitat destruction	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	N/A. Fish in the farm is the indigenous species not the self-recruiting 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. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.	A. Review evidence provided by the farm to confirm that the farmed species can not establish in the river basin.			x	N/A. The farmed species is indigenous
Footnote:							
4.2 Criteria: Genetic diversity				Compliance			Finding
		Compliance Criteria (Required Client Actions)	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. Obtain evidence for either of the following: - the species is indigenous to the river basin (result from 4.1.1); or - a self-recruiting stock has established in the river basin (result from 4.1.2). b. Provide a map of the river basin showing the location of the farm (see 2.1.1) c. Obtain a declaration from seed suppliers stating that the seed was generated from broodstock deriving (even if through several generations of spawning in captivity) from the pangasius population naturally reproducing in the river basin. d. For all seed purchases, maintain sufficient records (e.g. receipts) to identify the river-basin source of broodstock. For first audits, farm records must cover ≥6 months	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			N/A. The farmed species is the indigenous species "Map of Cuu Long river basin" with the location of the farm on the map. Cuu Long river is another name of Mekong River in Vietnam "Statement of seedling production" Records of purchasing seedling: verifying each ponds Checked the records of seedling and "Statement of seedling production", confirm that broodstocks are from the pangasius population naturally reproducing in the river basin
Footnote [35] A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary.							
Footnote [36] Throughout these standards, the word "seed" is used for pangasius seed only.							
Footnote [37] This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005.							
4.3 Criteria: Source of seed				Compliance			Finding
		Compliance Criteria (Required Client Actions)	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. Provide a declaration that the farm does not use wild-caught seed for grow out b. Obtain statement from seed suppliers that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity). c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥6 months.	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			"Statement of Ba Lai farm manager" on 10/08/2012 "Statement of seedling production" Records of purchasing seedling: - "Form of seedling quality analysis" and "statement of seedling supplier" on 16/01/2012 - "Declaration letter of seedling original" on 16/01/2012, of fry fish with batch No. BT-15/11 - "Declaration letter of seedling original" of the fry fish with batch No. BT-15/11, this batch of fry fish is generated from the broodstocks of the hatchery, not wild-caught seed.
4.4 Criteria: Genetically engineered and hybridized strains				Compliance			Finding
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
	Indicator: No use of genetically engineered (transgenic) or hybrid seed	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.	A. Verify declaration of no use of genetically engineered or hybrid strains.				"Statement of Ba Lai farm manager" on 10/08/2012

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4.4.1	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover ≥6 months.</p>	<p>B. Verify that farm maintains statements from seed suppliers.</p>	x			<p>"Statement of seedling production"</p>
Footnote [31] A-genetically modified organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC)							
4.5 Criteria: Escapees.							
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding
				Yes	No	N/A	
4.5.1	<p>Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide farm records indicating fish sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Maintain records indicating the size of net mesh or grills for the entire farm. For first audits, farm records must cover ≥6 months.</p>	<p>A. Review records for fish size in different holding units.</p> <p>B. Review records for mesh or grill size.</p> <p>C. During the on-site visit, inspecting the size of net mesh or grills to confirm compliance.</p>	x			<p>"Farm diary" for each pond, fishes are weight every two weeks</p> <p>"Pond General information" records the size of net for each pond</p> <p>Onsite inspection the net, confirm compliance</p>
4.5.2	<p>Indicator: Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection).</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide farm records for daily inspection of net mesh or grills used in production (e.g. grow-out) units.</p> <p>b. Keep records of mitigation and repairs in a permanent register. For first audit, records must cover at least 1 full crop per site (see preamble).</p> <p>c. Arrange for the auditor to observe an inspection during the on-site visit.</p>	<p>A. Review records to verify inspections are regular and timely.</p> <p>B. Review the register to verify repairs are performed and recorded.</p> <p>c. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.</p>	x			<p>"Form of daily monitoring hygiene" records about net checking from 01/01/2012 until 03/10/2012 for each pond. Pond 3, net mesh size is 1cm and the farm does not change the net through-out the crop</p> <p>The record of net cleaning and repairing is in: -"Form of daily monitoring hygiene" records from 01/01/2012 to 03/10/2012</p> <p>Onsite inspection, confirm compliance</p>
4.5.3	<p>Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs.</p> <p>Requirement: Yes</p> <p>Applicability: Ponds</p>	<p>a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 10 years.</p> <p>b. Obtain a statement from local authorities or reputable organisation reporting the altitude (m above sealevel) of the bund in its lowest point. Show location of bund low-point on a map of the farm (see 2.1.1).</p> <p>c. Provide a written statement that there were no incident of significant spillage or escapement due to of flooding in the last 12 months</p>	<p>A. Review records covering ≥= 10 years or statement to establish the maximum height of high water when flooding occurs.</p> <p>B. Review statement and map. During the on-site visit, inspect farm to verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.</p> <p>C. During local community and employee interviews, verify there is no evidence for spillage or escapement from the farm in the last 12 months.</p>	x			<p>"Table of highest water level since 2002 to 2011" of Hydrometeorology Center of Ben Tre Province</p> <p>"Records of checking bund altitude" enclosing the farm map with Point A is the lowest point of the bund. This records is confirmed by the People's Committee of Tan Xuan Hamlet, Ba Tri District, Ben Tre Province</p> <p>Interviewed local community - Mr. Truong Van Hoan, Mr. Le Minh Hieu, Mrs. Nguyen Thi Gai, Mr. Dang Van Thanh and interviewed worker - Mr. Le Van Phu, there is no there is no evidence for spillage or escapement from the farm in the last 12 months.</p>
Footnote [38] Bund: berm containing the water in the pond.							
Footnote [39] Consider 10 years maximum water level (including cases of storms)							
4.5.4	<p>Indicator: Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection)</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Identify the quantity and location of all trapping devices. The term 'trapping device' does not include mesh or grid barriers (see 4.5.1).</p> <p>b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.</p> <p>c. When escapees are detected, record any actions taken to reduce or eliminate escapement. For first audits, these records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review how the farm uses trapping devices to monitor escapees. Verify that trapping devices do not injure/corn promise fish (e.g. gill nets).</p> <p>B. Review records of inspection and observed escapees.</p> <p>C. Review the suitability of any action taken by the farm to reduce escapement</p> <p>D. During the on site visit, inspect to verify that traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees.</p>	x			<p>"Farm map" with the location and quantity of traps</p> <p>"Form of daily monitoring hygiene" records daily inspecting traps from 01/01/2012 to 03/10/2012</p> <p>"Form of daily monitoring hygiene" records daily inspecting traps from 01/01/2012 to 03/10/2012 There is no any found escapee</p> <p>Onsite inspection, traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees.</p>
Footnote [40] These devices should not injure or compromise fish health (e.g., gill nets).							
4.6 Criteria: Pond Maintenance							
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding
				Yes	No	N/A	
4.6.1	<p>Indicator: Evidence that bund has remained intact [41] throughout the culture cycle</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Prepare a procedure for the monitoring and repair of damaged bunds.</p> <p>b. Maintain a record of bund monitoring and repair that identifies date of damage detection and when the farm initiated and completed repairs.</p> <p>c. During the on-site visit, arrange for auditor to inspect farm's bunds.</p>	<p>A. Review farm's procedure for bund monitoring and repair.</p> <p>B. Review records for evidence that the bund has remained intact in the last 12 months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical.</p> <p>C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.</p>	x			<p>"Pangasius health plan" no. GAP, on 03/01/2012, Item F. "Checking pond and feed"</p> <p>"Form of daily monitoring hygiene"</p> <p>Inspect bunds there is no any signs of collapse</p>

			D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.				Interviewed local community - Mr. Truong Van Hoan, Mr. Le Minh Hieu, Mrs. Nguyen Thi Gai, Mr. Dang Van Thanh and interviewed worker - Mr. Le Van Phu, confirm that 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] Requirement: Yes Applicability: All	a. Prepare a declaration that the farm has made no intentional releases in the last 12 months b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble). c. Prepare a written justification for any periods of inactivity lasting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble)	A. Review declaration to confirm compliance. B. Review records to confirm that all stockings can be accounted by harvest or disposal C. Review annual production records to determine if there are significant discrepancies that could indicate the possibility of intentional release.	x			"Statement of Ba Lai Farm Manager" on 10/08/2012 Checked these records, confirm compliance: "Farm diary" about stocking and harvesting date "Form of seedling quality analysis" about records of purchasing seedling "Form of hand-over harvested fish" about harvested fish There is no any pond with periods of inactivity lasting longer than 3 months
Footnote [42]	The original intent of footnote [42] from the Pangasius Aquaculture Dialogue Standards has been clarified here for auditing purposes. It now reads: "Significant discrepancies between the number (or biomass) of fish-stocked and the number (or biomass) of fish sold in the absence of disease outbreaks, major theft or escapes would indicate the possibility of intentional release."						
PRINCIPLE 5. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED							
5.1 Criteria: Sustainability of feed ingredients							
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding
				Yes	No	N/A	
5.1.1	Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed Requirement: No Applicability: All	a. Maintain records (e.g. receipts) for all purchases of commercial feed in the last 12 months. For first audits, farm records must cover ≥ 6 months. b. If any farm-made feed was used, provide a description of ingredients and preparations. Maintain evidence of purchase (e.g. Receipts) or ownership of all ingredients. For first audits, farm records must cover ≥ 6 months.	A. Review farm's records for commercially sourced feeds B. Review ingredients to verify that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish). C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.	x			"VAT Invoice" of purchasing feed, keep from 03/03/2012 to 24/09/2012 N/A. There is no farm made feed, farm only uses Commercial Feed Checked: - "Farm diary" about records of feed given - "Feed inventory records" about records of storing and out-taking feed - "Form of monitoring input chemical and feed" about records of input feed into farm - "VAT Invoice" of purchasing feed Confirm there is no unexplained sources of 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 Requirement: No Applicability: All	a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at anytime during the last 12 months. b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 month and all the feed requirements apply only to fish on site. c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used as feed ingredients. If fish meal or fish oil was used, obtain a statement from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish used as feed for pangasius B. Review manufacturer's declaration to confirm no pangasius by-products were in feed C. Review farm documentation to confirm that no pangasius by-products were used in feed preparation (if applicable)	x			"Statement of Ba Lai Farm Manager" on 10/08/2012 "Declaration of pangasius feed quality" from Feed supplier on 16/03/2012 N/A. There is no farm-made feed, farm only uses Commercial Feed
Footnote [44]	Trimming, 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] Requirement: Yes Applicability: All	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, This restriction extends to feeds, that use by-products (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 the IUCN Red list as follows: - goto http://www.iucnredlist.org/ - in the primary search field enter the genus and species - click on "run search" and record the status of the species, 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 included from further analyses.		a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	A. Confirm that farm has records of ingredients from all commercially sourced feeds.		"Table of fish species" of feed supplier, on 27/04/2012, lists the ingredient of feed in the farm "Health certificate" of feed supplier, on 14/09/2011, states the latin name and region of harvest of the specie of fish in fishmeal

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		b. Verify that none of the species identified in 5.1.3 (a) are in "threatened categories" on the IUCN Red List of Threatened Species.	B. Repeat search of IUCN database to verify that farm is in possession of accurate result	x		Repeat the search on IUCN Redlist, states that the result of farm is compliance
		c. If farm-made feed was used, verify that no species are in "threatened categories" on the IUCN Red List. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance.	C. Confirm that farm has provides sufficient evidence of compliance			N/A. There is no farm-made feed, farm only uses Commercial 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. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site b. Determine if any species identified in 5.1.4(a) is listed in CITES appendix I, II, or III by doing the following: - go to http://www.cites.org/eng/resources/species.html - select option "Species", enter genus and species, and click "find it" c. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance.	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		"Table of fish species" of feed supplier, on 27/04/2012, lists the ingredient of feed in the farm "Health certificate" of feed supplier, on 14/09/2011, states the latin name and region of harvest of the specie of fish in fishmeal Repeat the search on IUCN Redlist, states that the result of farm is compliance N/A. There is no farm-made feed, farm only uses Commercial Feed
Footnote	[47] http://www.cites.org/eng/app/appendices.shtml					
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. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site. b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.	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		"Table of fish species" of feed supplier, on 27/04/2012, lists the ingredient of feed in the farm "Health certificate" of feed supplier, on 14/09/2011, states the latin name and region of harvest of the specie of fish in fishmeal N/A. Currently, there is no any ISEAL certified fishmeal and fishoil in Vietnam
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. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirement apply only to fish on site. b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5,	A. Confirm that farm possesses information about feed ingredients. B. Re view evidence and confirm compliance.	x		"Table of fish species" of feed supplier, on 27/04/2012, lists the ingredient of feed in the farm "Health certificate" of feed supplier, on 14/09/2011, states the latin name and region of harvest of the specie of fish in fishmeal N/A. The certification audit is in 2012, before 08/2015
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	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.				"Table of fish species" of feed supplier, on 27/04/2012, lists the ingredient of feed in the farm "Health certificate" of feed supplier, on 14/09/2011, states the latin name and region of harvest of the specie of fish in fishmeal
		a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	A. Verify that farm possesses information about feed ingredients.			

	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	b. Provide an FS score or verification of IFFO certification for each species used as a feed ingredient in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	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			IFFO Certificate no. IFFO 121A and no. IFFO 122A for the two species of fish use in fishmeal. At the audit date, the certificate is expired, however, checked the "Packing list" of feed supplier about importing fishmeal, at the date of importing, the certificate has not been expired yet
5.2. Criteria: Efficient management of feed use on the farm							
Compliance Criteria (Required Client Actions)			Auditor Evaluation (Required CB Actions)			Compliance	
			Yes			No	
			N/A			Finding	
5.2.1	Indicator: Maximum weighted [50] average of economic Feed-Conversion Ratio (eFCR) for the complete production cycle. Requirement: 1.68 Applicability: All	a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble). b. Maintain records showing the type of feed and the total weight used (see 3.1.1a) c. Maintain records (e.g. receipts) showing weight of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble). d. Calculate eFCR and yield for each crop harvested during the last 12 months using the formulas given in Annex D of the Pangasius Standard. For first audits, records must cover at least 1 full crop per site (see preamble). e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.	A. Review records to confirm that farm has records for all seed B. Confirm that farm has complete and accurate record for feed. C. Verify the farm keeps records showing weight of fish harvested. D. Review calculation for accuracy and completeness E. Review calculations for accuracy. Confirm compliance.	x			"Farm diary" of pond 2 "Form of seedling quality analysis" "Farm diary" of pond 2 "Form of hand-over harvested fish" "Pond report" of pond 2, eFCR=1.43 "eFCR calculation table" Farm wide average eFCR is 1.48
Footnote [50]	Weighting to be conducted by the amount of fish produced in different farming units (e.g. ponds, pens and cages).						
5.2.2	Indicator: Maximum Fish Feed Equivalence Ratio (FFER) Requirement: 0.5 Applicability: All	a. Obtain statement(s) from feed manufacturer indicating the maximum inclusion percentage of fish meal and fish oil in each type of feed used. For first audits, farm records must cover ≥ 6 months. b. Calculate the FFER using the formula given in Annex D of the Pangasius Standard. By-products from fish processing of species other than pangasius but not on the IUCN Red List or CITES lists can be used and not be factored in as "fish meal or oil" for this calculation	A. Verify that farm possesses information about percent inclusion of fish meal and fish oil for all feed types. B. Review calculation verify accuracy. Confirm compliance.	x			"The commitment onsource and ratio of fishmeal, Fishoil in ASC compliant feed for pangasius culture" on 10/01/2012, of the feed supplier, details about the ingredient of Fishmeal and fishoil of feed in the Ba Lai Farm "Pond report" of pond 2 on 30/09/2012, eFCR=1.43, FFER of fishmeal =0.323. There is no fishoil in the feed
PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety							
6.1 Criteria: Mortalities							
Compliance Criteria (Required Client Actions)			Yes			No	
			N/A			Finding	
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 (RPM) 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 (Note 1). 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 as follows: Weighted Average RPM = [(RPM _{E1} x Yield _{E1}) + (RPM _{E2} x Yield _{E2}) ... + (RPM _{En} x Yield _{En})] / (Yield _{E1} + Yield _{E2} ... + Yield _{En}) Where E1, E2, En are the 1st enclosure; the 2nd enclosure and the nth enclosure For the 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.				"Form of seedling quality analysis"

		b. Maintain harvest records for each crop (e.g. selling receipts or processing plant receipts) that are sufficient to show the total number of fish harvested from each enclosure. For first audit, records must cover at least 1 full crop per site (see preamble)	B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.	x			"Farm diary" of pond 2 Cross-check with "Form of hand-over harvested fish" about total weight at harvest
		c. Calculate the weighted average of the Real Percentage Mortality (see above) using the formula given in Annex D of the Pangasius Standard. Provide calculations to the auditor.	C. Review farm's calculation to verify accuracy. Confirm that average real percentage mortality is ≤ 20%				"Pond report" of pond 2, mortality ratio =9.3%, farm wide average <20%
6.2 Criteria: Veterinary medicines and chemicals							
Compliance Criteria (Required Client Actions).				Compliance			Finding
				Yes	No	N/A	
6.2.1	Indicator: Use only Veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country. Requirement: Yes Applicability: All	a. Prepare a list of all veterinary medicines, chemicals and biological products use on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble). b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on the farm in the last 12 months. For first audit, records must cover at least 1 full crop per site (see preamble). c. For the list provided in 6.2.1a, identify suppliers and contact information. d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities. e. Provide list of farm's export (i.e sales to parties in foreign countries) over the last 12 months. f. If the farm cannot determine the country of export (6.2.1e), prepare a list of top five country importing pangasius from the country where the farm operates (regions operating within the same legislation on this matter, e.g. EU, are considered as a single country). g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumption. h. Show that in the last 12 months, the farm did not use any veterinary medicines, chemical or biological products that are banned or non-approved in the importing country.	A. Review list of medicines, chemicals and biological products. B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies). C. Review list. D. Confirm that listed products used are approved for aquaculture. E. Review list and compare to farm's sales receipts F. Review list (as applicable) G. Review list. H. Review evidence. Cross check the farm export's markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.	x			"List of chemical/medicine which are approved to used in the Ba Lai - Ben Tre fish farm" on 03/01/2012 Chemicals, medicines are recorded in the "Farm diary" Cross checked with: "Chemical/medicine inventory"; "Chemical/medicine and feed input report"; "VAT Invoice" about chemical and medicine "List of approved supplier" updated on 05/01/2012 The chemical/medicine that used in the farm are all in "List of approved veterinary chemical, probiotic, medicine on Vietnam" in the Circular No. 25/2012/TT-BNNPTNT issued on 22/06/2012 by MARD N/A. There is no list of farm's export List of market in - "Pangasius Tra export market of Vietnam during the first 7 month of 2012", by VASEP Decision No. 1471/QD-BNN-QLCL, on 20/06/2012, includes the "List of chemical factor need to be checked for Fishery Product" There are the markets of: EU, Korea, Russia, South America, China, Newzealand Cross-check with the Decision No. 1471/QD-BNN-QLCL, on 20/06/2012, confirm compliance
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. Provide records of prescriptions, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medicines and chemicals used on the farm. For first audits, farm records must cover ≥6 months. b. For each application of veterinary medicines and chemicals for therapeutic use, provide a description of condition and evidence showing endorsement (prescription) from an aquatic animal health specialist. For first audits, farm records must cover ≥6 months. c. If application differs from the label specification, be possession of written justification from aquatic animal health specialist. For first audits, farm records must cover ≥6 months. d. Provide copies of the title(s) of the aquatic animal health specialist showing how s/he is suitably qualified for the position.	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		"Farm diary" of pond 10, from 27/03/2012 to 01/04/2012, used antibiotic "Form of analysing and treatment" on 27/03/2012, used antibiotic, prescribed by AAH Specialist. But there is no record of treatment dosage There is no confirmation from worker state that they receive the prescription There is no explanation about why they use a treatment with higher dosage than the recommend dosage in the chemical's label "University certificate" of AAH Specialist, no. 0078384, on 06/01/2009, issued by Nong Lam University of HCM City "List of Study object" on 09/10/2009
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: • Veterinarians with at least three months of academic training on fish health management (for a total of at least 60 hours). This training may be included with the veterinary degree. • Aquaculturists (with university or vocational degree) who have completed at least three months of training on fish pathology and treatment (for a total of at least 60 hours). This training may be included with the university or vocational degree.						
Footnote	[56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.						

6.2.3	<p>Indicator: Follow the aquatic animal health specialist recommendations on:</p> <p>1- how to apply the veterinary medicine and chemicals prescribed</p> <p>2 - how to handle & store the veterinary medicines and chemicals prescribed</p> <p>3 - who needs to be informed about the disease and how</p> <p>4 - how to limit the spread of the disease to neighboring wild or farmed populations</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. For veterinary medicines or chemicals applied and for a ll mortality events notified, provide statements of the specialist indicating his/her recommendation on:</p> <ul style="list-style-type: none"> - how to apply the veterinary medicine and chemicals prescribed; - how to handle & store the veterinary medicine and chemicals prescribed - who needs to be informed about the disease; and - how to limit the spread of the disease to neighboring wild or farmed population. <p>For first audits, farm records must cover ≥6 months.</p> <p>b. Provide a declaration that the farm follows the recommendations of teh aquatic animal health specialist.</p>	<p>A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.</p> <p>B. Review farm's declaration to confirm following recommendations of the AAH Specialist.</p> <p>C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.</p> <p>D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.</p>	x			<p>"Recommend of AAH Specialist" on 03/01/2012, signed by the AAH Specialist</p> <p>"Statement of Ba Lai Farm Manager" on 10/08/2012</p> <p>The chemical/medicine store is appropriate</p> <p>"Recommend of AAH Specialist" is followed in the farm</p>
6.2.4	<p>Indicator: Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label.</p> <p>Standard: None</p> <p>Applicability: All</p>	<p>a. For chemical/medicinal treatments in the last 12 months, provide daily records of product use and water temperature during withdrawal periods. For first audits, records must cover ≥6 months and at least 1 full crop per site (see preamble).</p> <p>b. Provide labels indicating duration of withdrawal periods. If labels do not specify a withdrawal period, provide evidence that withdrawal periods were > 750 degree days.</p> <p>c. Provide evidence (e.g. receipts) to show no fish were harvested before completion of withdrawal period during the last 12 months. For first audits, farm records must cover 6 months.</p>	<p>A. Review records of withdrawals.</p> <p>B. Review labels and completion dates of withdrawal periods.</p> <p>C. Evaluate evidence-to verify that no fish were hasrvested before completion of withdrawal period.</p>	x			<p>"From of analysing and treatment" and "Farm diary" state that the farm monitors Temperature throughout the crop</p> <p>Label and "From of analysing and treatment" record about withdrawal period</p> <p>"From of analysing and treatment" and "Form of hand-over harvested fish" of pond 2, state that on the harvest date, the withdrawal period is finished</p>
6.2.5	<p>Indicator: Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least full crop per site (see preamble).</p> <p>b. Prepare declaration stating that farm did not use any antibiotic critically important to human medicine as categorized by the WHO in the last 12 months.</p> <p>c. Provide the up-to-date list of the WHO [57]</p>	<p>A. Review list of antibiotics used.</p> <p>B. Review declaration. Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine.</p> <p>C. Verify farm holds an up-to-date copy of the WHO list [57]</p> <p>D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p>	x			<p>"List of chemical/medicine which are approved to used in the Ba Lai - Ben Tre fish farm" on 03/01/2012</p> <p>"Statement of Ba Lai Farm Manager" on 10/08/2012</p> <p>"WHO - Critical Important Antimicrobial for Human Medicine" version 2009</p> <p>Onsite inspection, there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p>
Footnote [57] Refer to the second WHO Expert meeting on Critically Important Antimicrobials for Human Medicine: Categorization for the Development of Risk Management Strategies to Contain Antimicrobial Resistance due to Non-human Antimicrobial use, 25-31 May 2007 http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf							
6.2.6	<p>Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem.</p> <p>Standard: None</p> <p>Applicability: All</p>	<p>a. Provide declaration stating that farm does not any unauthorized prophylactic veterinary medicines (prior to evidence of a specific disease problem).</p> <p>b. Obtain 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, for first audits, the period covered by the declaration must be ≥ 6 months.</p> <p>c. Maintain receipts for all purchases of veterinary medicines. For first audits, records must cover at least full crop per site (see preamble).</p>	<p>A. Verify farm holds declaration.</p> <p>B. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.</p> <p>C. Verify farm maintains records of all purchases of veterinary medicines.</p> <p>D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.</p> <p>E. Reconcile the quantities purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.</p>	x			<p>"Statement of Ba Lai Farm Manager" on 10/08/2012</p> <p>"Statement of AAH Specialist" on 03/01/2012, signed by the AAH Specialist</p> <p>"VAT Invoice" about purchasing chemical/medicines from 2011 until the audit date (05/10/2012)</p> <p>Cross-check with the store. There are purchasing records of all input chemical/medicines</p> <p>Cross-checked with: "Farm diary", "Chemical/medicine inventory", "Form of monitoring input chemical/medicine and feed", "VAT Invoice" about purchasing chemical/medicine</p>

6.2.7	Indicator: Allowance for use of veterinary, medicine (excluding vaccines) to serve as growth promoters [58]. Requirement: None Applicability: All	a. Obtain a declaration from the applicant, endorsed by an aquatic animal health specialist indicating that there has been no use of veterinary medicines (excluding vaccines) as growth promoters by the farm in the last 12 months. For first audits, the period covered by the declaration must be ≥ 6 months.	A. Verify the AAH Specialist supports the declaration that there is no use of veterinary medicine as growth promoters.	x			"Statement of Ba Lai Farm Manager" on 10/08/2012 "Statement of AAH Specialist" on 03/01/2012, signed by the AAH Specialist
			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.				Cross-checked with: "Farm diary", "Chemical/medicine inventory", "Form of monitoring input chemical/medicine and feed", "VAT Invoice" about purchasing chemical/medicine
Footnote	[58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).						
6.3 Criteria: Pangasius health plan				Compliance			Finding
Compliance Criteria (Required Client Actions).				Yes	No	N/A	
6.3.1	Indicator: Presence of a written pangasius health plan reviewed yearly; updated and approved by a specified aquatic animal health specialist [59] (See Annex E for health Plan). Requirement: Yes Applicability: All	a. Prepare the farm's written pangasius health plan containing all required elements (Annex E) b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist. c. Review the health plan at least once every 12 months. Update as needed and be in possession of approval by the farm's aquatic animal health specialist.	A. Review health plan for compliance with Annex E B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan. C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audit, the response is "not applicable". D. During on-site visit, verify that the plan is implemented and effective.	x			"Fish health plan" No. GAP, on 03/01/2012, with all required information signed by the AAH Specialist Updated on 03/01/2012 This plan is implemented and effective in the farm
Footnote	[59] GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders.						
6.4 Criteria: Holding-unit specific record-keeping				Compliance			Finding
Compliance Criteria (Required Client Actions).				Yes	No	N/A	
6.4.1	Indicator: Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities Requirement: Yes Applicability: All	a. Maintain records that identify all the veterinary medicines, and chemicals used at the grow-out facility. For first audits, farm records must cover ≥ 6 months. b. Maintain copies of labels showing withdrawal times at the grow-out facilities. For first audits records must cover at least 1 full crop per site (see preamble) c. Maintain signed declarations by the farm's aquatic animal health specialist stating the date, diagnosis, treatment and withdrawal times (if different from the label) of all veterinary medicines and chemical used at the grow-out facility. For first audits, farm records must cover ≥ 6 months. d. Obtain a signed declaration from seed suppliers identifying any chemicals or veterinary medicines that were used in production of seed. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Verify the farm maintains purchase records. B. Verify 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. D. Verify the farm possesses declarations from all seed suppliers.	x			The farm records and identifies all the veterinary medicines, and chemicals used at the grow-out facility The farm maintains all records showing withdrawal times at the grow-out facility. "From of analysing and treatment" of AAH Specialist states the date, diagnosis, treatment and withdrawal times of all veterinary medicines and chemical used at the grow-out facility "Declaration form of seedling origin" of seedling supplier, identifies all chemicals and 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. For all stocking events in the last 12 months, be in possession of a signed letter from the seed supplier reporting: - the source, size and quality of seed supplied; - the date supplied; - a description of any external signs of abnormalities at the time of sale; - list of veterinary medicines, chemicals and biological products used in earlier life stages (i.e-used at any time from spawning onwards); and - results of pathogen testing following legislation (as applicable). For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains records for seed quality as required	x			There is record of fish's origin, fish size and fish-stock quantity
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. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify: - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-para sites, fin erosion, etc); and - number of dead fish. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review daily records to confirm that all reporting elements are included. Verify compliance.	x			"Farm diary" and "From of analysing and treatment" monitor all required daily information of each grow-out pond
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	<p>Indicator: All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>Instructions to Clients for Indicator 6.4.4- Establishing a Threshold for the Reporting of Mortality Events</p> <p>Indicator 6.4.4 requires that farms report all significant mortality events to the aquatic animal health specialist. The ASC Pangasius Standard does not prescribe a specific threshold value for all farms to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their aquatic animal health specialist to develop a threshold for reporting mortality events that is appropriate for identifying significant or "above average" mortality events based on farm data. In establishing a threshold, the farm must consider the following:</p> <ul style="list-style-type: none"> -thresholds must be generated using farm data for mortality and this shall include farm information from at least 1 randomly selected pond; -thresholds must be stage-specific to account for differing mortality rates during the 1st week, the 1st month, and any month after that; -the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and -the farm must describe how the threshold was established in the farm's Pangasius Health Plan. 					
		<p>a. Maintain a daily record of monitoring farm enclosures for mortality (see 6.4.3). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review daily mortality records</p>	x			"Farm diary" records quantity of dead fish of each pond
		<p>b. Have the farm's aquatic animal health specialist review the farm's daily records for mortality. Ask the AAH Specialist to specify a threshold for the reporting of mortality events based on review of farm mortality rates (see instructions).</p>	<p>B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events.</p>				The AAH Specialist monitors and signs on the daily report of dead fish of every ponds in the farm
		<p>c. Describe how the threshold was established in the farm's Pangasius health Plan (see 6.3.1).</p>	<p>C. Review the proposed mortality threshold in the farm's Pangasius health Plan to confirm compliance with requirements.</p>				Based on the "Farm diary" of each pond about dead fish quantity. The AAH Specialist establishes the mortality threshold in: "Notifying about threshold" on 01/04/2012
		<p>d. Maintain records to show that the farm reports all mortality events exceeding threshold to the AAH Specialist. For first audits, farm records must cover ≥ 6 months.</p>	<p>D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements.</p>				There is record of "Mortality events exceeding threshold" with the signature of the AAH Specialist for each event. Cross-check with "Farm diary" confirm compliance
6.5 Criteria: Fish Welfare					Compliance		
		Compliance Criteria (Required Client Actions).	Yes	No	N/A	Finding	
6.5.1	<p>Indicator: Minimum average growth rate</p> <p>Requirement: 3.85 g/day</p> <p>Applicability: All</p>	<p>Instructions to Clients for Indicator 6.5.1- Calculating Average Growth Rate</p> <p>Annex D of the ASC Pangasius Standard provides formulas for calculating yield and average growth rate (AGR). Farms must perform these calculations using harvest and stocking data from individual ponds (i.e. it is calculated on a crop-by-crop basis). It should be done as follows:</p> <p>Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1)</p> <p>AGRP1 = YieldP1 / duration of production cycle (Pond1)</p> <p>Where weights are given in grams (g), duration is given in number of days (d), AGR is computed in units of grams per day (g/d), and enclosure are identified by subscripts P1, P2, P3 etc.</p> <p>Repeat the AGR calculations for the second pond, third pond... etc. until an AGR has been determined for each pond that was harvested. For first audits, records must cover at least 1 full crop per site (see preamble). Next calculate the farm-wide weighted average AGR using the following formula:</p> <p>Weighted Average AGR = (AGRP1 x YieldP1) + (AGRP2 x YieldP2)... + (AGRPn x YieldPn) / (YieldP1 +YieldP2 ...+ YieldPn)</p> <p>Clarification note: 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.</p> <p>Given that specific growth rates of Pangasius are variable with body size (i.e. size and age dependent), formulas will yield a: reduced level of absolute growth if fish are harvested at a substantially smaller size than 1 kg. (e.g. farms that harvest fish at 600-700g average body weight). Auditors are instructed as to evaluate Indicator 6.5.1 as follows. Farms must provide auditors with sufficient information to verify average fish size and weight at stocking, average fish size and weight at harvest, and average duration of production cycle. Auditors shall review the farm's calculations of observed growth rate and monitor whether the farm is in compliance.</p>					
		<p>a. Maintain records (e.g. receipts from seed suppliers) showing the weight of fish stocked into each enclosure (e.g. see 6.1.1). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Verify farm maintains records of the weight of fish stocked in each enclosure.</p>	x			"Form of seedling quality analysis" records the weight of fish stocked in each enclosure.
		<p>b. Maintain records showing the weight of fish harvested from each enclosure (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>B. Verify farm maintains records of the weight of fish harvested from each enclosure.</p>				"Form of hand-over harvested fish" records the weight of fish harvested from each enclosure.
		<p>c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).</p>	<p>C. Review calculation to confirm accuracy and completeness.</p>				"Pond report" for each pond, ex. of pond 10 - average growth rate is 3.94g/day
		<p>d. Using result of 6.5.1c, calculate the farm-wide weighted average AGR.</p>	<p>D. Verify that the farm-wide weighted average AGR complies with the requirements.</p>				"Table of calculation average grow rate" farm wide average grow rate is 3.86g/day
Indicator: Maximum fish density at anytime	<p>a. Provide a plan of the farm showing surface area (m2) of each enclosure.</p>	<p>A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.</p>				Farm map with surface area of each pond	
	<p>b. Maintain records of the total weight (kg) of fish harvested from each pond and/or pen (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble)</p>	<p>B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.</p>				"Form of hand-over harvested fish" records the weight of fish harvested from each enclosure.	

6.5.2	<p>Requirement: 38 kg/m2 for ponds and pen</p> <p>Applicability: Ponds and Pens</p>	<p>c. For each enclosure, divide the weight of fish harvested (result from 6.5.2b) by the surface area of the enclosure (results from 6.5.2a) to calculate fish density (kg/m2). For first audits, records-must cover at least 1 full crop per site (see preamble).</p> <p>d. In addition to calculating fish density at harvest (6.5.2.c), farms shall record monthly estimates of fish density for each enclosure using estimated biomass (e.g. from farm diaries) and surface area (see 6.5.2a). For first audits, farm records must cover ≥ 6 months.</p>	<p>C. Review calculations for fish density at harvest to verify compliance</p>	x			<p>"Pond report" for each pond, ex. of pond 10 - density of stocking at the harvest date is 27.22kg/m2</p> <p>"Table of monthly calculation fish density" of each pond, from 31/01/2012 to 30/09/2012, Ex. Pond 10, from 1.02kg/m2 to 27.22kg/m2</p>
6.5.3	<p>Indicator: Maximum fish density at anytime</p> <p>Requirement: 80 kg/m3 for cages</p> <p>Applicability: Cages</p>	<p>a. Provide a description of the system specifying the total number of cages and volume (m3) of each cage.</p> <p>b. Maintain records of the total weight (kg) of fish harvested from each cage. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. For each cage, divide the weight of fish harvested (result from 6.5.3b) by the volume of the cage (results from 6.5.3a) to calculate fish density (kg/m3). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates of fish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.</p> <p>B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.</p> <p>C. Review calculations for fish density at harvest to verify compliance</p> <p>D. Review monthly estimates of fish density to verify compliance.</p>			x	<p>Pond Aquaculture</p> <p>Pond Aquaculture</p> <p>Pond Aquaculture</p> <p>Pond Aquaculture</p>
6.6 Criteria: Predator control				Compliance			Finding
Compliance Criteria (Required Client Actions):				Yes	No	N/A	
6.6.1	<p>Indicator: Use of lethal predator [61] control</p> <p>Requirement: No</p> <p>Applicability: All</p>	<p>a. Prepare a procedure describing how the farm controls predators, and maintain a list of all predator control devices and their locations.</p> <p>B. Inspect site to verify no use of lethal predator controls.</p>	<p>A. Review list</p>	x			<p>"Risk assessment for fish health" on 03/01/2012 - "Method of prevention"</p> <p>Visual observation, there is no use of lethal predator controls</p>
Footnote							
6.6.2	<p>Indicator: Mortality of IUCN red listed species.</p> <p>Requirement: 0 (zero)</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 6.6.2 -Presence of IUCN Red Listed Species Determine whether IUCN red list species are present in the region as follows: -go to http://www.iucnredlist.org/ -follow to "other search options" -select "Taxonomy" -select "Animalia" -indicate appropriate "Location", "Systems", "habitat", -click on "run search" and record animal species listed and whether they are threatened by the farming activity. 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 a farm complies with indicator 6.6.2, species in the following IUCN categories maybe excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".</p> <p>a. Perform analysis. Record all IUCN red listed species occurring in the area of the farm.</p> <p>b. If any IUCN red listed species are identified in the area of the farm (including receiving and source waters), write a procedure which describes how the farm will avoid causing mortality.</p>	<p>A. Repeat analysis to verify that client possesses an accurate result.</p> <p>B. Verify that farm procedures are appropriate and implemented (as applicable)</p> <p>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)]</p>	x			<p>"Searching result on IUCN" "Detailed information of all IUCN species occurring in the area"</p> <p>"Report of assessment and specification endangered species" on 07/08/2012, page 31. - "Protecting method"</p> <p>Interviewed local community - Mr. Truong Van Hoan, Mr. Le Minh Hieu, Mrs. Nguyen Thi Gai, Mr. Dang Van Thanh and interviewed worker - Mr. Le Van Phu, there is no evidence of the farm causing mortality of IUCN red listed species.</p>
7.1 Criteria: Labor Law				Compliance			Finding
Compliance criteria (Required Client Actions):				Yes	No	N/A	
7.1.1	<p>Indicator: Compliance with labor laws in the country where pangasius is produced</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Obtain all national and local labor regulations applicable to the farm. Regulations should cover at least the following issues: labor contracts, child labor, working time, working/living conditions, minimum wage and benefits/allowance, health and safety, presence of on-farm regulation.</p> <p>b. Ensure that the farm and all employees on the farm comply to the labor regulations.</p>		x			<p>Circular 70/2011/ND-CP for minimum wage dated 22/08/2011. This area belong to Area 04 - 1400.000 VND.</p> <p>All information related to benefit, wage are available in The notice board. Eg: working time regulation; annual leave</p>
7.2 Criteria: Child labor [62] and young workers [63]				Compliance			Finding
Compliance criteria (Required Client Actions):				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, in which case the higher age would apply. If however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO Convention 138, the lower age will apply. Child labor does not include child apprenticeship, where the child is employed in a supervised and limited manner, and the work is not harmful to the child's health.							
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	a. Maintain a list of all employees employed in the farm indicating date of birth b. Maintain copies of the official ID of all the employees listed showing date of birth c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62] d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.	x			the list of employees dated 01.10.2012 maintained. Checked ID of worker - born in 09.09.1994; entry:11.09.2012 No children and young workers found Commitment dated 10.08.2012 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] Requirement: Yes Applicability: Farms with employees younger than 18 years old.	a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job description are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous. b. Maintain records of schooling commitments of each employee younger than 18 years old. c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover ≥ 6 months. d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm.		x		No children and young workers found No children and young workers found N/A N/A
Footnote [64] Light Work: (ILO convention 138, article 7.1) Light work is work that is 1) not likely to be harmful to a child's health or development and 2) not likely to prejudice their attendance at school, participation in vocational orientation or training programs, or diminish their capacity to benefit from instruction received.						
Footnote [65] Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers.						
7.3 Criteria: Forced and compulsory labor [66]						
Compliance criteria (Required Client Actions):			Yes	No	N/A	Finding
Footnote [66] Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents).						
7.3.1	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] Requirement: Yes Applicability: All	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. Ensure that workers' rights as indicated in this Requirement are duly respected. c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers. d. Ensure that the farm does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for the employer. e. Ensure that no employee is obligated to work at the farm to repay debt.	x			verified labour contract of one worker signed from 01.09.2011 including benefit, working time, etc. Labour contract of one worker signed from 01.09.2011 including all regulation as Vietnam labour law No evidence of keeping the original documentation No evidence of keeping the part of salary Interview worker and found that workers can be free from leaving the job.
Footnote [67] As stated in the contract.						
Footnote [68] Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees.						
7.4 Criteria: Health and safety						
Compliance criteria (Required Client Actions):			Yes	No	N/A	Finding
7.4.1	Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes Applicability: All	a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. d. Ensure that employees have constant access to potable/safe drinking water. e. Ensure that sanitary conditions for the safe disposal of human waste are in practice. f. Ensure that the employees' housing is constructed of materials able to withstand local conditions.		x		List of hazard identification dated 03.01.2012. Regulation on health and safety dated 03.01.2012 Site tour observed and found that no life-vest is available in the boat. Water quality test No 316/YTDP-XNN dated 09.07.12 by Ben tre Health center Waste Water Treatment system is available Dormitory is provided with clean and safe through 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. Requirement: Yes Applicability: All, Farm-wide	a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b	x			List of employees attended the course of health and safety dated 06.06.2012.
Footnote [69] Hazard: The inherent potential to cause injury or damage to people's health - for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals.						

7.4.3	Indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action for each.	a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.	x			The accident book has been checked. However, in the past six months nothing happen.
	Requirement: Yes Applicability: All	b. Ensure that corrective action are in place as relevant.				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]	a. Maintain a list of all permanent workers.	x			List of employees is available
	Requirement: Yes Applicability: All	b. Provide evidence showing health insurance coverage for all permanent workers.				List of employees for insurance of August 2012 - 24 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
Compliance criteria (Required Client Actions):			Yes	No	N/A	
Foodnote [72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.						
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	a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.	x			Labour contract of Pham Phu Loc signed from 01.01.2012 including all regulation as Vietnam labour law
		b. Ensure that workers have the freedom to form and join any trade union, are free of any form of interference from employers or competing organizations set up or backed by the employer. ILO specifically prohibits acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control or employers or employers' organizations.				labour collective bargain dated 05.01.2012 and Trade Union Leader is available
		c. Ensure that trade unions and/or civil society organizations involved in Labor rights, are able to access/inform all workers directly (posters, pamphlets, visits).				Trade Union meeting minutes dated 03.09.2012
		d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.				Interview and found that she can access the workplace at reasonable time
		e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.				Trade Union meeting minutes dated 03.09.2012
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
Compliance criteria (Required Client Actions):			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	a. Provide and ensure the implementation of an anti-discrimination policy, stating that the company does not engage/support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.	x			The anti-discrimination policy dated 10.01.2012
		b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.				Record of bonus is available. Annual leave record is maintained
		c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.				Policy of Pregnant women dated 10.01.2012
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
Compliance criteria (Required Client Actions):			Yes	No	N/A	
7.7.1	Indicator: Employers treat all workers with dignity and respect Requirement: Yes Applicability: All	a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).	x			Interview and found that all employees have been treated fairly
		b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)				Check the record of salary paid and found no deduction.
7.8 Criteria: Working hours			Compliance			Finding
Compliance criteria (Required Client Actions):			Yes	No	N/A	
7.8.1	Indicator: Maximum number of regular working hours Requirement: 8h/day or 48h/week (although these do	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.	x			the timesheet is available

7.8.1	not have to be consecutive hours) Applicability: All	b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week.	x			The working time is from 7:00 to 11:00 and 13:00 to 17:00
7.8.2	Indicator: Workers have the right to leave the farm after completing the standard work-day Requirement: Yes Applicability: All, Farm-Wide	a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working). b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave.	x			Interview workers, they can leave job when finishing work. Labour contract of worker signed from 01.09.2011 including all regulation as Vietnam labour law
7.8.3	Indicator: Minimum time off Requirement: Two nights/week off if residing on the farm and a total four days/month off for all workers Applicability: All, Farm-Wide	a. Ensure that all workers residing at the farm have the right to 2 nights off/week. b. Ensure that all workers have at least 4 days/month off. c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.		x		No regulation to ensure that all workers residing at the farm have the right to 2 nights off/week. Working time regulation No 190712-NH/CV dated 19.07.2012 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) Requirement: Yes Applicability: All, Farm-Wide	a. Ensure that for all employees, overtime hours: - are voluntary - do not exceed a maximum of 12h/week - occur on an exceptional basis - are paid at a premium rate (following the local/national regulation and at least 20% more than normal salary) b. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months. c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights. d. Maintain records of payments for overtime hours.	x			some records checked and found that it is OK Random checked the contract- salary 2.650.500 VND/month overtime is paid per law. It is regulated in labor contract. eg: Labor contract of Do Van Co dated 01/09/2012 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		
		Compliance criteria (Required Client Actions):				
7.9.1	Indicator: The employer pays at least minimum wages as defined by law, or ensures that wages cover basic needs [77], plus some discretionary income [78], whichever is higher Requirement: Yes Applicability: All, Farm-Wide	a. Obtain legal documents showing minimum wages for the location where the farm operates. b. If minimum wage has not been established by law, calculate basic needs wages, in consultation with workers and their representative organizations, and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.	x			Circular 70/2011/ND-CP for minimum wage dated 22/08/2011. This area belong to Area 04 - 1400.000 VND. basic need calculation in consultation with workers and their representative has been established dated 01/06/2012. checked labor contract - salary 2.650.500 VND/month 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 Requirement: Yes Applicability: All	a. Provide a declaration stating the mechanism used for setting wages. b. Ensure that employees are aware of the mechanism used for setting wages.	x			the salary method has been established. Premium rate is 1.5 for overtime; 2.0 for weekend and 3.0 for holiday 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 Requirement: Yes Applicability: All	a. Maintain records of the preferred method of payment for each employee. b. Maintain records of payments indicating the method of payment.	x			Paying in cash and in salary sheet. Verified the salary sheet of Sept 2012 dated 01.10.2012

7.10 Criteria: Labor contracts		Compliance			Finding
		Yes	No	N/A	
		Compliance criteria (Required Client Actions):			

7.10.1	Indicator: Workers have copies of, and can understand, their labor contract [79] Requirement: Yes Applicability: All	a- Ensure that employees have copies of their labor contracts.	x			List of receiving the labor contracts dated 01.10.2012
		b. Ensure that employees understand their labor contracts.				Interview workers, they 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 a university degree. Requirement: 1 month Applicability: All	a. Maintain copies of contracts of employees (other than farm managers and workers with a university degree) and ensure that the probation time is clearly stated and does not exceed 1 months.		x		Probation labour contract of worker signed in 01.09.2012 and after one month signed 01.10.2012
		b. Ensure that probation times are understood by employees and respected.				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	a. Maintain copies of contracts of farm managers and workers with a university degree and ensure that the probation time is clearly stated and does not exceed 2 months.	x			Probation labour contract of worker signed in 01.09.2012 and after one month signed 01.10.2012
		b. Ensure that probation times are understood by employees and respected.				It is regulated in working regulation and available in the noticeboard
7.11 Criteria: Management system			Compliance			Finding
Compliance criteria (Required Client Actions):			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	a. Maintain complaint boxes for employees throughout the farm.	x			Complaint box is available in the front of the gate.
		b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management.				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	a. Maintain a register recording issues raised by workers (including complaint forms), date and response taken. For first audit, register must contain all records of the previous ≥ 6 months.	x			Diary of complaint is available. However, no complaint received from employees.
		b. Ensure that employees have access to the register at reasonable times.				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	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.	x			No records are available
		b. Record the issues being resolved in the register as for 7.11.2a				No records are available
		c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month.				No records are available
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	a. Maintain a register recording issues, raised by workers (as for 7.11.2a) and including the plan for addressing yet to be resolved conflicts.	x			Procedure of conflict resolving P 13 dated 03.01.2012
		b. Ensure that the plan is adhered to.				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]	a. For first audit, prepare a declaration of commitment to contract only suppliers and service providers that ensure suitable health and safety condition within 1 year.				Diary of complaint is available. However, no complaint received from employees.

7.11.5	<p>Requirement: Within 1 year from achieving certification</p> <p>Applicability: All</p>	<p>b. For subsequent audits, ensure that all health and safety conditions as indicated in these Requirements (i.e. within Criteria 7.1, 7.2 and 7.4) are respected by all employees of suppliers and service providers who are working in the farm.</p>	x			N/A
<p>Foodnote [82] Including either written or verbal contracts.</p> <p>Foodnote [83] As defined in these Requirements.</p>						
7.12 Criteria: Record-keeping						
Compliance criteria (Required Client Actions):			Compliance			Finding
			Yes	No	N/A	
7.12.1	<p>Indicator: Records of the hours worked by every worker employed in the farm are available</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p>	<p>a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.</p>				Even the timesheet is available, but no hour worked count on the timesheet. (OBS)
		<p>b. Maintain a list of all employees employed in the farm</p>	x			The list of employees dated 01.09.2012 maintained.
7.13 Criteria: Participatory social impact assessment for local communities.						
Compliance criteria (Required Client Actions):			Compliance			Finding
			Yes	No	N/A	
7.13.1	<p>Indicator: A participatory Social Impact Assessment (p-SIA)[84] is conducted (See Annex F for more information)</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide a p-SIA inclusive of all items reported in Annex F. For large scale farms (e.g. vertically integrated operations) the p-SIA should be conducted at least every 3-years.</p>				P-SIA report dated 06.2012 by Aqualfish company
		<p>b. For large scale farms, provide evidence of the experience of the professional commissioned. Evidence must indicate a track record of at least 3 years conducting participatory consultations with rural communities.</p>	x			The content of P-SIA includes the feasibility of Team of Professional Experts
<p>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 development) undertaken in such a manner that all stakeholder groups have been consulted and their views taken into account.</p>						
7.13.2	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records of all the people having received copy of the p-SIA.</p>				List of receiving P-SIA dated 16,17.08.2012 to Tan Xuan, Batri People's committee
		<p>b. Obtain signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).</p>	x			List of receiving P-SIA dated 16,17.08.2012 -Total 20/20 people - 100%
<p>Foodnote [85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and are joined by collective engagements within a geographically confined area. Four common indicators are 1.) a state of organized society in small form (town, village, hamlet) that recognizes a single representative (leader, formal or informal); 2.) the people inside a confined geographical area; small enough to a low face-to-face interaction as the main form of contact between the individuals within the group; 3.) having a common good or a common interest and recognizing that, and been recognized as having that; and 4.) A sense of common identity and characteristics (i.e., "we" versus "them" feeling) on either/or social, cultural, economic, ethnic grounds.</p>						
7.14 Criteria: Complaints by local communities						
Compliance criteria (Required Client Actions):			Compliance			Finding
			Yes	No	N/A	
7.14.1	<p>Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Prepare and ensure the application of a conflict resolution policy for local communities.</p>				Procedure of conflict resolving P 13 dated 03.01.2012
		<p>b. Maintain records of all the people having received copy of the policy.</p>				No evidence of receiving copies of the conflict resolution policy from local community found
		<p>c. Obtain signatures from at least 50% of the people having received copies of policy. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).</p>		x		N/A
		<p>d. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least one meeting (this could be part of the p-SIA process if the p-SIA was conducted less than 6 months before the audit)</p>				Procedure of conflict resolving P 13 dated 03.01.2012
<p>Foodnote [86] The policy shall state how conflicts and complaints will be tracked transparently and explain how to respond to all received complaints.</p>						
<p>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.</p>						
	<p>Indicator: Complaint boxes, complaint registers, and complaint acknowledgement receipts in local</p>	<p>a. Maintain complaint boxes in public locations reachable by the local community.</p>				Monitoring book for conflict resolving is kept. No complaint up till now
		<p>b. Retain-complaintforms.submitted by local communities. For first audits, records must include at least previous ≥ 6 months.</p>				Monitoring book for conflict resolving is kept. No complaint up till now

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7.14.2	language(s) are used.	c. Provide evidence that complaints have been acknowledges to the local community (e.g. through a statement from the local community stating having received acknowledgement or acknowledgement receipts).	x			N/A as no complaint
	Requirement: Yes Applicability: All	d. Maintain a register of the complaints received. Register should include date, complaint and action taken. For first audits, register must contain records from at least previous ≥ 6 months.				N/A as no complaint
7.14.3	Indicator: Percentage of conflict resolved within the date of being filed.	a. Maintain a register of complaints as per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date.	x			N/A as no complaint
	Requirement: Within 6 months 50% Within 1 year 75% Within 2 years 100% Applicability: All	b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved.				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.	a. Maintain a list of all employees employed in the farm indicating also place of origin.	x			The list of employees indicating also place of origin dated 01.10.2012.
	Requirement: Yes Applicability: All	b. For farms where employees are coming from a location other than the location-of the farm (based on 7.15.1a) present copies of the dated advertisements posted around the farm to advertise. For first audit copies must cover more than previous ≥ 6 months.				The list of employees indicating also place of origin dated 01.10.2012.
		c. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present a list containing the name, address and contact number of all the people consulted to advertise the position in the local community. For first audit records must cover more than previous ≥ 6 months.				The list of employees indicating also place of origin dated 01.10.2012.
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.	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 7.15.1a	x			The list of employees indicating also place of origin dated 01.10.2012.
	Requirement: Yes, if workers outside the local community are employed Applicability: All	b. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) provide a written explanation for employing workers outside the local community.				Confirmation letter by Tan Xuan Commune about no discrimination found for this company

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ASC audit checklist		
ASCASS-PAD.F01(01)		
Reportnumber:	821870-ASC.2012.01.LTTT	
3. Summary and Conclusion		
3.1a . Outstanding non-conformities since previous audit report		
No NC: N/A (The first audit)	Standard and Requirement:N/A (The first audit)	Category: N/A (The first audit)
Date found: N/A (The first audit)	Dead line for correction: N/A (The first audit)	
Description of requirement: N/A (The first audit)		
Description of non-conformity: N/A (The first audit)		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: N/A (The first audit)		
Status:N/A (The first audit)		
3.1b Identified non-conformities during present evaluation		
No NC: 01	Standard and Requirement: ASC Pangasius Standard - 3.3.1	Category: Major
Date found: 05/10/2012	Dead line for correction: 04/01/2013	
Description of requirement:		
Description of non-conformity: * Settlement pond is spillage, could not meet the requirement as the Circular no. 45/2010/TT-BNNPTNT of MARD because of the leaked 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 The farm needs to re-built the bund for settlement pond to close all leakaging and provides new analytical testing result for TP of inlet and outlet		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit) The farm has already built new bund for settlement pond and leakaging is closed, they also provide the new analytical testing results for TP of inlet and outlet water. The average percentage change of TP between inlet and outlet is in range of the standard (<100%)		
Status: CLOSED		
No NC: 02	Standard and Requirement: ASC Pangasius Standard - 3.3.2	Category: Major
Date found: 05/10/2012	Dead line for correction: 04/01/2013	
Description of requirement: Maximum average percentage change of TN between inlet and outlet a. Provide laboratory results for TN in water samples from inlet and outlet.		
Description of non-conformity: * Settlement pond is spillage, could not meet the requirement as the Circular no. 45/2010/TT-BNNPTNT of MARD because of the leaked 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 The farm needs to re-built the bund for settlement pond to close all leakaging and provides new analytical testing result for TN of inlet and outlet		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit) The farm has already built new bund for settlement pond and leakaging is closed, they also provide the new analytical testing results for TN of inlet and outlet water. The average percentage change of TN between inlet and outlet is in range of the standard (<70%)		

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Status: CLOSED

No NC: 03	Standard and Requirement: ASC Pangasius Standard - 6.2.2	Category: Minor
Date found: 05/10/2012	Dead line for correction: 04/10/2013	
Description of requirement: Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose A. Review records of prescriptions or written advice for veterinary medicines and chemicals. B. Review written descriptions. Confirm use approved by AAH Specialist. C If application differs from the label specification, be possession of written justification from aquatic animal health specialist.		
Description of non-conformity: a. "From of analysing and treatment" on 27/03/2012, used Trimesul, prescribed by Mr. Vo Quoc Huy. But there is no record of treatment dosage b. There is no confirmation from worker state that they receive the prescription c. There is no explanation about why they use a treatment with higher dosage than the recommend dosage in the chemical's label		
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		
No NC: 04	Standard and Requirement: ASC Pangasius Standard - 7.4.1	Category: Minor
Date found: 05/10/2012	Dead line for correction: 04/10/2013	
Description of requirement: The employer provides a non-hazardous working and living environment. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.		
Description of non-conformity: c. Site tour observed and found that no life-vest is available in the boat.		
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		
No NC: 05	Standard and Requirement: ASC Pangasius Standard - 7.8.3	Category: Minor
Date found: 05/10/2012	Dead line for correction: 04/10/2013	
Description of requirement: Minimum time off Requirement: Two nights/week off if residing on the farm and a total four days/month off for all workers a. Ensure that all workers residing at the farm have the right to 2 nights off/week.		
Description of non-conformity: a. No regulation to ensure that all workers residing at the farm have the right to 2 nights off/week.		

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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	
No NC: 06	Standard and Requirement: ASC Pangasius Standard - 7.14.1
Category: Minor	
Date found: 05/10/2012	Dead line for correction: 04/10/2013
Description of requirement: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied b. Maintain records of all the people having received copy of the policy.	
Description of non-conformity: No evidence of receiving copies of the conflict resolution policy from local community found	
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	
3.5 Attachments to this report	
The farm map	
3.7 Summary and conclusion	
Does the farm comply with ASC Pangasius standard?	
<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
4. Valid period of Certificate	
Date of issue	
Date of expiry	
5. Determination of the start of the CoC	
Can the product enter further certified Chains of Custody and eligible to carry the ASC label?	
<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
5. Approval of the assessment report by Client	
Date: 05/10/2012	Date:
Auditor : LE TRAN TRUONG THUY	Company representative :
signature	signature
6. Review of the assessment report by the certifier	
Date:	Comments:
Certifier :	
Signature:	