



Aquaculture Stewardship Council Audit Report for Farms Pangasius

DOCIFISH CORPORATION

Date:	23, 24 Nov 2012	By:	BUREAU VERITAS CERTIFICATION VIET NAM
CLIENT :	DOCIFISH CORPORATION	ASSESSORS TEAM :	DO THANH MUON HUYNH VAN THUAN NGUYEN HUY
MAIN CONTACT (Audited person):	Mr. NGUYEN TAN TOI		
REPORT REFERENCE :	ASC- PANGASIUS STANDARD V 1.0	REPORT WRITING DATE :	initial : 27, 28, 29 Aug 2012, complementaries : 19 Oct 2012 and 23,24 Nov 2012
LEAD ASSESSOR :	DO THANH MUON	REPORT REVIEWING DATE :	28-nov-12

ASSESSMENT / MISSION	INITIAL	
	SURVEILLANCE	
	COMPLEMENTARY / SUPPLEMENTARY	Complementary

Summary:

Farms located in a good positions for Aquaculture developing area, farm owner have strategy view & accept to invest for farm to get certify with ASC Pegasus standard. However, ASC Pangasius is a new standard and quite difference with other present farming standard like many calculation in water quality, feed use, mortality and especially with social criteria, beside that farm staffs don't have much experience so they have quite a lot of non-conformity for these points. Another point is, Docifish have two audited farm but some NCs was found in this farm & not in the other fram and opposite, it is showing that they don't have QMS and cross internal audit between frames.

A complementary Audit has been planned in order to check the efficiency of corrective actions. All the NC where closed based on the audit findings and evidences provided

A complementary witness audit has been conducted by Ms. Edith Lam - ASI Lead Esector in order to onsite verify and close NCs of BVC raised by ASI witness audit on 27-29 Aug 2012. Result all NCs raised by ASI were accepted and closed by Ms. Edith Lam.

In this complementary witness audit, BVC also raised 04 minor non conformities to the Farm, Farm did the root cause analysis and proposed the corrective action and preventive action, this corrective action report was checked and accepted by BVC about the corrective action plan but these minor NCs still be open and will be onsite check the effectiveness at the surveillance audit next year.

Scope:

STANDARD	ASC Pangasius Standard Version 1,0 - Jan 2012.
Activity & scope of the audit:	Farming of Pangasius species
Species :	Pangasianodon hypophthalmus / Pangasius hypophthalmus
Description of receiving water body :	Mekong River - Tien Giang Branch

Background on applicant and Audit Plan:

Desk reviews and other activities undertaken before or after any site visits.	Preview of Quality Manual & all calculation of Harvested Ponds
Stakeholder submissions, including written or other documented information and CAB written responses to each submission.	Bureau Veritas will notify potential stakeholders of the planned and invite their participation in writing prior to the audit or in person during the on-site visit. All stakeholders, even if not directly addressed by Bureau Veritas are invited to become

		involved
Sites of the Company concerned by the ASC. For each site show:	Name :	Docifish Farm 1 and Farm 6
	Adress :	Docifish Farm 1: Binh Tan Hamlet, Binh Thanh Commune, Cao Lanh District, Dong Thap Province Docifish Farm 6: Dong Hue Hamlet, Tan Khanh Dong Commune, Sa Dec District, Dong Thap Province
	Contact :	Mr. Nguyen Tan Toi
	Other certifications held :	Farm 1: GlobalGAP Certified
	Names and affiliations of individuals consulted or otherwise involved in the audit (representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit):	<p>Initial audit:</p> <ul style="list-style-type: none"> * ASI: Ms. Edith Lam; Dang Anh Hang - Translator. * Bureau Veritas: Do Thanh Muon, Huynh Van Thuan - Auditors; Huynh Thien Khiem, Nguyen Huy - Observers. * Docifis Manager brand: Nguyen Tan Toi - Technical Vice Manager, Nguyen Ba Thong - Human resource Vice Manager * Farm 1: Huynh Chinh Trung - Farm manager /AAH specialist, Nguyen Ba Thong - Human resource management, Nguyen Thi Dieu Hien and Ngo Thi Kim Ngan - Quality management system staff, Vo Hoang Thai - farm technician * Farm 6: Phan Van Minh - Farm Manager / AAH specialist, Le Hai Lam: Human resource management, Nguyen Thi yen Nhi & Nguyen Thi Kieu Trang: Quality management system staff, Le Huu Hieu - farm technician. <p>Complementary Audit:</p> <ul style="list-style-type: none"> * Bureau Veritas: Do Thanh Muon, Huynh Van Thuan - Auditors; Nguyen Huy - Technical expert. * Docifis Manager brand: Dang Thien Luan - Docifish Farms' manager, Nguyen Tan Toi - Technical Vice Manager, Nguyen Ba Thong - Human resource Vice Manager * Farm 1: Dang Thien Luan - Farm manager, Dang Thi Thu Huong - AAH specialist, Nguyen Ba Thong - Human resource management, Nguyen Thi Dieu Hien & Ngo Thi Kim Ngan - Quality management system staff, Vo Hoang Thai - farm technician * Farm 6: Phan Van Minh - Farm Manager / AAH specialist, Le Hai Lam: Human resource management, Nguyen Thi Yen Nhi & Phan Thi Kieu Trang: Quality management system staff, Nguyen Trong Viet - Farm technician. <p>Complementary Audit on 23,24Nov 2012:</p> <ul style="list-style-type: none"> * ASI: Ms. Edith Lam - Lead Essessor; Ms. Dang Anh Hang and Ms. Lam My Lam - Translators. * Bureau Veritas: Do Thanh Muon, Huynh Van Thuan - Auditors; Nguyen Huy - Technical expert. * Docifis Manager brand: Dang Thien Luan - Docifish Farms' manager, Nguyen Tan Toi - Technical Vice Manager. * Farm 1: Dang Thien Luan - Farm manager, Dang Thi Thu Huong - AAH specialist, Nguyen Thi Dieu Hien & Ngo Thi Kim Ngan - Quality management system staff, Vo Hoang Thai - farm technician * Farm 6: Phan Van Minh - Farm Manager / AAH specialist, Le Hai Lam: Human resource management, Nguyen Thi Yen Nhi & Phan Thi Kieu Trang: Quality management system staff, Nguyen Trong Viet - Farm technician.
Date & Duration of the visit :	Initial Audit: 27, 28 & 29 Aug 2012 Complementary audit: 19 Oct 2012 Complementary ASI witness audit: 23,24 Nov 2012.	
<u>Previous Audits (if applicable):</u>		
NA		
<u>Findings</u>		
PREVIOUS ASSESSMENTS REVIEW		CURRENT ASSESSMENT CONCLUSION

	Number	NON-CONFORMANCES REFERENCES	Open/closed	Number	N-CONFORMANCES REFERENC	Open /closed
Observations				2	OB-SC21/OB-SC22	closed
Minor NC				17	NC-EV1/NC-EV2/NC-EV3/NC-EV4/NC-EV5/NC-EV6/NC-EV7/NC-EV9/NC-EV10/NC-EV11/NC-SC12/NC-SC14/NC-SC15/NC-SC16/NC-SC17/NC-SC19/NC-SC20/	closed
				04	NC-EVa1-new/ NC-EVa2-new/ NC-EVa3-new/ NC-SCa4-new	Open
Major NC				3	NC-EV8/NC-EV13/NC-SC18	closed
Summary of Conditions :	All Non conformities raised on initial audit 27-29 Aug 2012 were closed, still have 04 minor NCs raised on 23,24 Nov 2012 to Farm, Farm did the root cause analysis and proposed the corrective action and preventive action, this corrective action report was checked and accepted by BVC about the corrective action plan but these minor NCs still be open and will be onsite check the effectiveness at the surveillance audit next year.					
Certification status of the applicant:	NEW APPLICANT - NOT YET CERTIFIED					

Evaluation Results:

Please see Audit Grid attached

Determination of the start of the CoC**Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter**

Evaluation of the system of tracking, tracing and segregation in the aquaculture operation is sufficient to make sure all aquaculture products identified and sold as certified by the operation originate from the unit of certification certified

Item	Risk Level			comments of the auditor and evidences
	Low risk	Medium risk	high risk	
1. The tracking, tracing and segregation systems in use	X			Harm had clear system for tracking, tracing and segregation.
2. The opportunity of substitution of certified with non-certified product prior to and at harvesting	X			Farm only product one kind of product, all will be certify
3. The possibility of introducing product from outside the unit of certification	X			Farm have good traceability & recording system, it is not easy for introducing product from outside the unit of certification.
4. The robustness of the applicant or certificate holders' management system		X		Management system need to be more improving
5. Any transshipment activities taking place	X			When harvesting fish, use boat to transport fish alive from farm to processing plant.
6. Any subcontracted post-harvest handling or processing	X			Only use subcontracted when harvesting.
Advice of the auditor	YES	NO	JUSTIFICATION	
the systems are sufficient, aquaculture products from the operation may enter into further certified chains of custody and be eligible to carry the ASC label.	X		traceability system is sufficient.	
Describe points of change of ownership after which chain of custody certification is needed	<p>The scope of the certification includes the growing, harvesting. Coc certification is required from the point of first sale to the processing plant. Only products harvested after the date of certification are approved to carry the ASC label.</p>			

CERTIFICATION DECISION**FAVORABLE TO BE CERTIFIED**

Final decision form the decision making entity will be taken after accreditation of Bureau Veritas certification

Date of issuing:

Date of expiring:

Scope of the certificate:

List of all outstanding non-conformities:

All Non conformities raised on initial audit 27-29 Aug 2012 were closed, still have 04 minor NCs raised on 23,24 Nov 2012 to Farm, Farm did the root cause analysis and proposed the corrective action and preventive action, this corrective action report was checked and accepted by BVC about the corrective action plan but these minor NCs still be open and will be onsite check the effectiveness at the surveillance audit next year.

Signature of the client

Signature of the auditor

Non-conformity Report(s)

Please see non-conformity reports attached

Confidential data for commercially sensitive information

*This report doesn't contain confidential annexes for commercially sensitive information.
Bureau Veritas had been agree the content of commercially sensitive information with the applicant.*

AUDIT MANUAL - ASC Pangasius Standard Created by the Pangasius Aquaculture Dialogue						
Scope: <i>Pangasianodon hypophthalmus, Pangasius bacourti</i>						
<p>Preamble: In order to determine the level of compliance against the ASC Pangasius Standard it is essential to use information of completed crop cycle(s), or on a specific point in time in the crop (e.g. stocking) for several requirements. For this reason, for first audits, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment.</p> <p>Therefore, at the time of the first audit:</p> <ul style="list-style-type: none"> 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 <p>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>				<p>COMMENTS -RATIONALE</p> <p>in blue : initial audit in red: complementary audits</p>		
<p>PRINCIPLE 1. LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS</p> <p>1.1 Criteria: <i>Local and national regulations</i></p>						C/NC/NA
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):			
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>	a. Maintain records to show the farm has all registrations as required by local and national authorities.	A. Verify farm has all registrations as required by local and national authorities.		C	Land are renting from Dong Thap Government. There is one contract for land renting in 20 year on 01 Nov 2007 with total 20 hecta for three area. It is including area for two Certify farms with total area 16.2 hecta.
		b. Obtain an aquaculture farming licence (as applicable).	B. Verify farm has aquaculture farming licence (as applicable).		C	Commercial Licence including farming licence for farms.
		c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).		C	Commercial Licence number 1400480183 by Dong Thap Business Department, first issued on 08 Dec 2008, revised 29 may 2009.
		d. Obtain any other contracts, licences, or permits as required by local and national authorities (also see 1.1.3. and 1.1.4).	D. Verify compliance.		C	No other licences required
1.1.2	<p>Indicator: Presence of documents proving compliance with pertinent tax laws</p> <p>Requirement: Yes</p> <p>Applicability: All</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	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]		C	Farm had payment fee for land one per year, payment was done at the end of this year.
		b. Keep updated information on applicable tax laws for the jurisdiction in which the farm is operating.	B. Verify client has current tax law information and a basic understanding of tax requirements.		C	Checked land payment fee: available payment receipts for year 2011.
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</p> <p>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:</p> <ol style="list-style-type: none"> Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge; Results of water testing from a fully independent ISO 17025 accredited laboratory; Relevant legal documents showing compliance; or Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance. <p>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.</p> <p>Note 1: The ASC Pangasius Standard also specifies criteria for some water quality parameters. These are considered seraparety under Principle 3 below.</p>				
		a. Submit a statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge	A. Verify compliance. If (b), (c) or (d), then enter 'not applicable' for (a).		C	Had a statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge: Samples collect on 18 Jul 2012 by "Trung Tam quan trac ky thuat tai nguyen va Moi trung - tinh Dong Thap"
		b. Submit results of water testing from a fully independent ISO 17025 accredited laboratory.	B. Verify compliance. If (a), (c) or (d), then enter 'not applicable' for (b).		C	Water testing was done by ISO 17025 accredited lab.
		c. Submit relevant legal documents showing compliance.	C. Verify compliance. If (a), (b) or (d), then enter 'not applicable' for (c).		C	According to TT45/2010-BNNPTNT issued 22.07.2012, testing had been done yearly, check result show compliance.
		d. Obtain a statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance.	D. Verify compliance. If (a), (b) or (c), then enter 'not applicable' for (d).		C	NA
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>Applicability: All</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.	A. Verify client has documents to show legal access to and use of land and water.		C	See 1.1.1
		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).	B. Verify farm has obtained permits and complies with the terms.		C	Comppany has submitted the application for water use to local government but not yet received the answer from government. The permit of government for water use id still missing.
		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 for land and water use in the country and region of operation.		C	NA
<p>PRINCIPLE 2. FARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NEGATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT</p> <p>2.1 Criteria: <i>Meeting official development plans</i></p>						
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):			

2.1.1	<p>Indicator: Farms [4] located in approved aquaculture development areas</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	C	<p>* GPS Farm 1: 10°18'1.04"N; 105°48'20.99"E 10°18'7.28"N; 105°48'21.91"E 10°18'7.62"N; 105°48'48.61"E 10°18'5.93"N; 105°48'48.81"E</p> <p>* GPS Farm 6: 10°22'12.09"N; 105°43'35.31"E 10°22'11.07"N; 105°43'33.97"E 10°22'23.59"N; 105°43'29.39"E 10°22'21.55"N; 105°43'23.83"E</p>
		b. Provide official plans that identify approved aquaculture development areas. If there are none, obtain 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.	C	Had statement from Dong Thap province, registry number 286/UBND-HC, date 22 Jul 2009 that these two farms were located in the Aquaculture developing area.
		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 are no such areas, auditor response is 'not applicable'.	C	See 2.2.1.b
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):	
2.2.1	<p>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</p> <p>Requirement:: Yes</p> <p>Applicability: Ponds established after August 31, 2010</p>	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.	C	<p>* Farm 1: Farm construction contract with Hong Phat Company on 01/10/2009 to 15/03/2010.</p> <p>* Farm 6: had construction contract with Tan Tai company on 10/08/2008, Finished contract on 12/09/2009.</p>
		b. If the farm (or any of its expansions) was constructed after August 31, 2010, obtain 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	Check land renting contract, farms contract maps & present map: all information were correct.
		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.	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.	C	Community interview: farms had been construction three to four year ago.
Footnote	[5] For Ponds established after the publication of the PAD standards.				
Footnote	[6] From government organizations.				
2.2.2	<p>Indicator: Evidence that a contribution of at least USD \$0.50 per ton of fish produced has been paid to the environmental and social restoration fund [7] annually</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	C	Had Commitment letter for contribute 0.5\$/ton of fish after farm get certified, sign by General director on 10/10/2011.
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.	NC -> Closed	<p>No evidence of confirmation letter from ASC.</p> <p>19Oct2012--> Checked confirmation Email from ASC on Oct 09, 2012: "received a letter of commitment to contribute \$ 0.5 to ASC fund for environmental rehabilitation".</p> <p>This non conformity had closed with effectiveness actions.</p>
		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.	C	NA, Fund is not yet set up
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	<p>Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies</p> <p>Requirement: Yes</p> <p>Applicability: Ponds established after August 31, 2010</p>	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.	C	NA, Ponds were established after August 31, 2010
		b. For construction activities listed in 2.2.1a 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 for disposing of earth.	C	-NA, Ponds were established after August 31, 2010 -Construction contract indicate that land from pond construction will use to make the Bund system.
		c. During local community interviews, verify 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.	C	Community interview: No earth discharge to natural environment during farm construction.
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	<p>Indicator: Evidence [10] of no negative impacts on endangered species [11]</p> <p>Requirement: Yes</p>	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.	C	<p>Had Scientific Report done by can Tho University about the "Identification of endangered / IUCN red list species at Docifish farm 1 & farm 6" with content including:</p> <ul style="list-style-type: none"> - Identification of endangered species may appear at farm area in comparing with IUCN list. - Risk assessment for all farming practice that can made danger to these species. - Apply new farming practice in order to have no negative impact on endangered species.
		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.	C	Source & accuracy confirmed.

	Applicability: All	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). d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	C. Review list for completeness. Compare with results from search of IUCN database for red list species (see 6.6.2). D. Review procedures for adequacy.	C C	Had list of all endangered species occurring in the area & compare with results from the IUCN database search: it is correct & only a few species may appear at the area of farm location. Procedure was available & adequate.
Footnote	[10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.				
Footnote	[11] As set by IUCN and national authorities.				
2.3 Criteria: Site connectivity					
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):	
2.3.1	Indicator: Farm does not impede navigation, aquatic animals or water movement Requirement: Yes Applicability: Pens and Cages	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. B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.	NA NA	N/A. Pond N/A. Pond
2.3.2	Indicator: Minimum width of the water body [15] without cages (see Diagram 1, Annex C) Requirement: ≥ 50%	a. Provide a map or diagram showing measurements of cages and width of the water body. b. Provide measurements and calculations sufficient to show compliance (see Diagram 1 from Annex C of the ASC Pangasius Standard)	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. B. Verify that calculations are accurate and confirm compliance.	NA NA	N/A. Pond N/A. 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) Requirement: ≤ 20% percent of the width of the water body Applicability: Pens	a. Provide a map or diagram showing measurements of pens and 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) -	A. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available). B. Verify that calculations are accurate and confirm compliance. C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.	NA NA NA	N/A. Pond N/A. Pond N/A. Pond
2.3.4	Indicator: Maximum number of contiguous pens allowed (see Diagram 3, Annex C) Requirement: Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens Applicability: Pens	a. Provide a map or diagram showing the size and number of pens, and showing the shoreline distance between 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)	A. Inspect site to verify the farm's diagrams accurately show the size and position of pens, and the shoreline distance between pens. B. Verify the farm's arrangement of pens is in compliance.	NA NA	N/A. Pond N/A. Pond
2.4 Criteria: Water use					
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):	
2.4.1	Indicator: Farm complies with water allocation [16] limits as set by local authorities or a reputable independent institution [17] Requirement: Yes Applicability: Ponds	a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble). 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, obtain a statement from local authorities attesting to this fact. c. If water allocation limits are not set by local authorities (see 2.4.1b), obtain a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given) for the farm. d. Demonstrate the reputation of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable). e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits.	A. Verify the farm keeps complete records of water intake. 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. C. Review evidence that water allocation limits have been set for the farm by a reputable independent institution (as applicable). D. Review evidence for reputation of the authority/institution responsible for water allocation (as applicable). 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).	C C C C C	Farm had record of water abstracted daily for individual pond & calculated for each harvesting pond. Declaration of local authority on 19/07/2012. No limit setting for water allocation at present time. See 2.4.1.b See 2.4.1.b values were checked.
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 "surficial 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				
Instruction to Clients for Indicator 2.4.2 - Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced					
	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.	C	* Had daily water intake record for all ponds. * Farm 1: had 9 harvested ponds in total 10 pond * Farm 6: had 1 harvested pond in total 1 pond.	
	b. Maintain records showing amount of fish harvested from each pond.	B. Verify the farm keeps records showing the amount of fish harvested.	C	Available harvesting receipt for harvested ponds with harvesting duration & quantity.	

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>	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 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).	NC --> Closed	* Farm 1: Don't have calculated weigh of fish produced in ton (only have calculated in kg) --> 19Oct2012: Interview the staff about this formula and check the records of calculation of water abstracted per ton of fish produced, sample check pound 6 and 9 of farm 1 found OK. * Fram 6: OK
		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 reconciled with total annual production (2.4.2c) and total annual water intake (2.4.1e).	NC--> Closed	* Farm 1: had signed calculation of water abstracted per ton of fish produced, but result is wrong because fish quantity unit use for calculated is in kg (instead of ton) -->19Oct2012: Interview the staff about this formula and check the records of calculation of water abstracted per ton of fish produced, sample check pound 6 and 9 of farm 1 found OK. * Farm 6: OK
		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 ≤ 5,000 m3/metric ton of fish produced.	NC --> Closed	* Farm 1: Wrong formular calculation, see 2.4.2. c & d --> 19Oct2012: Interview the staff about this formula and check the records of calculation of water abstracted per ton of fish produced, sample check pound 6 and 9 of farm 1 found OK. * Fram 6: OK
Footnote	[18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater.				
<p>PRINCIPLE 3. MINIMIZE THE NEGATIVE IMPACT OF PANGASIU FARMING ON WATER AND LAND RESOURCES</p> <p>3.1 Criteria: Nutrient utilization efficiency</p>					
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
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>	Instruction to Clients for Indicators 3.1.1 and 3.1.2 - Laboratory Analysis of TP and TN in Feed			
		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.	NA	N/A. Pond
		b. Obtain relevant declarations of TP 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 has obtained declarations for TP content in feed.	NA	N/A. 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).	NA	N/A. 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.	NA	N/A. 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.	NA	N/A. Pond		
Footnote	[19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).				
3.1.2	<p>Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.</p> <p>Requirement: 70 kg/t</p> <p>Applicability: Pens and Cages</p>	Note: see instructions for Indicator 3.1.1			
		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.	NA	N/A. Pond
		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 has obtained declarations for TN content in feed.	NA	N/A. 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).	NA	N/A. 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.	NA	N/A. 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.	NA	N/A. 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.				

		<p>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 (i.e. > 90 days after stocking) - pond water samples are collected at 50% of pond depth - all water samples are collected before 11:00am - pond water samples are collected > 6 hours after the intake of water into the pond</p> <p>For first audits farm 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 labatory 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</p>	
3.1.3	<p>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</p>	<p>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 instructions for 3.1.3 A. Confirm the laboratory is suitably qualified and briefed to conduct water sampling and analyses.</p> <p>b. Obtain laboratory results for TP concentration in pond water samples and intake water samples. B. Review laboratory results for TP concentration.</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>C * Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.</p> <p>C Lab result preview: OK</p> <p>C Data review: accuracy</p> <p>NC --> Closed * Farm 1: had signed calculation TP for 9 harvested pond, results were accuracy & compliant * Farm 6: had signed calculation TP for 1 harvested pond, results was not accuracy due to apply wrong formular for calculation. Technician was use fish harvesting quantity for calculation (instead of fish yield) --> 19Oct2012: Check records of calculation TP for harvested pond 2 of Farm 6, result found OK. This non conformity had closed with effectiveness actions.</p> <p>NC--> Closed * Farm 1: Calculate was accuracy & compliant * Farm 6: wrong formular calculation (See 3.1.3.d) --> 19Oct2012: Check records of calculation TP for harvested pond 2 of Farm 6, result found OK. This non conformity had closed with effectiveness actions.</p>
3.1.4	<p>Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D) Requirement: 27.5 kg/t Applicability: Ponds</p>	<p>Note: see instructions for Indicator 3.1.3</p> <p>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.</p> <p>b. Obtain laboratory results for TN concentration in pond water samples and intake water samples. B. Review laboratory results for TP concentration.</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. C. Review accuracy of farm's data.</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. D. Review farm's calculations to confirm accuracy.</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. E. Review farm's calculations of average TN to confirm compliance with the Requirement.</p>	<p>C * Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.</p> <p>C Lab result preview: OK</p> <p>C Data review: accuracy</p> <p>NC--> Closed * Farm 1: had signed calculation TN for 9 harvested pond, results were accuracy & compliant * Farm 6: had signed calculation TN for 1 harvested pond, results was not accuracy due to apply wrong formular for calculation. Technician was use fish harvesting quantity for calculation, (instead of fish yield) --> 19Oct2012 Check records of calculation TN for harvested pond 2 of Farm 6, result found OK. This non conformity had closed with effectiveness actions</p> <p>NC--> Closed * Farm 1: Calculate was accuracy & compliant * Farm 6: wrong formular calculation (See 3.1.4.d)--> Check records of calculation TN for harvested pond 2 of Farm 6, result found OK. This non conformity had closed with effectiveness actions.</p>
3.2 Criteria: Measuring water quality in receiving water body		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):

<p>3.2.1</p> <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 Farms shall monitor the percent change in diurnal dissolved oxygen in receiving waters. Dissolved oxygen (DO) concentration is reported relative to DO at saturation for the water's specific salinity, temperature and altitude. DO is measured using a hand-held oxygen meter or a more accurate (chemical) method, with accuracy established in peer-reviewed documents. The location of measurements should be the first natural receiving water body and as close as practical to the point of discharge but at a distance not exceeding 200m from the point of discharge. In addition, the following procedures are followed: - DO monitoring is conducted fortnightly (i.e. once every two weeks) - On each sampling day, two DO measurements are taken: at 1 hour before sunrise and at 2 hours before sunset (+/- 30 min). - DO measurements are taken at 0.3 meters below the water surface. - Temperature and salinity is recorded at the same time that DO is measured.</p> <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. 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>A. Review dataset to confirm that monitoring covers the required timeframe. B. Verify the farm technicians calibrate equipment as required.</p>	<p>C</p>	<p>DO measure one per two week, during 7-8 months. One device use measure DO, temperature & salinity. Technician was calibrated device manually prior to each use.</p>
	<p>c. Calculate percent change in DDO for each monitoring date using the equation in Annex D.</p>	<p>C. Review calculations to confirm accuracy.</p>	<p>NC--> Closed</p>	<p>* Farm 1: Calculations were previewed & accurate. * Farm 6: Timing for DO measure were not correct as standard, measure highest DO at 2-3 pm --> 19Oct2012: Check records of DO measure from 01- 19 Oct 2012 found result OK, onsite observe and interview the Farm technician about the measure method and time to conduct the test found no deviation. This non conformity had closed with effectiveness actions</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>D. Confirm the average percent change in DDO is ≤ 65%.</p>	<p>NC--> Closed</p>	<p>* Farm 1: Calculations were previewed & accurate: DDO < 65%. * Farm6: Calculations were previewed but it is not accurate because of time for DO measure not the same as standard guideline --> 19Oct2012: Check records of DO measure from 01- 19 Oct 2012 found result OK, onsite observe and interview the Farm technician about the measure method and time to conduct the test found no deviation. This non conformity had closed with effectiveness actions.</p>
Footnote	[22] DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature (biology-)			
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 Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
Footnote	[24] This criteria is not pertinent to either cage or pen cultures.			
3.3.1	<p>Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D).</p> <p>Requirement: 100%</p>	<p>Instruction to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet 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: - 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. Percent Change in TP = (Outlet TP Conc.) / (Inlet TP Conc.) x 100 Percent Change in TN = (Outlet TN Conc.) / (Inlet TN Conc.) x 100 When more than one pond is sampled, determine a "farm-wide average" by calculating the average percent change for all sampled ponds. For first audits, farm records for monitoring percent change in TP and TN must cover ≥ 6 months.</p>		

<p>Applicability: Ponds</p>	<p>a. Provide laboratory results for TP in water samples from inlet and outlet. b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above. c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.</p>	<p>A. Review laboratory results for TP. B. Review calculations to verify accuracy. C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.</p>	<p>C * Farm 1: check result for TP in pond 09, done on 27 Mar 2012 * Farm 6: check result for TP in pond 01, done on 18 Jul 2012 C Check calculations, all were accurate C Check calculations, all were compliance</p>	
<p>3.3.2 Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN measurement methodology and TN discharge formula in Annex D). Requirement: 70% Applicability: Ponds</p>	<p>Note: see instructions for Indicator 3.3.1 a. Provide laboratory results for TN in water samples from inlet and outlets. b. For each pond, calculate the percent change of TN between inlet and outlet on each sampling day using the equation shown above. c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period. d. During the on-site visit, arrange for the auditor to observe sampling of pond effluents for TP and TN.</p>	<p>A. Review laboratory results for TN. B. Review calculations to verify accuracy. C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity. D. Witness sampling for TP and TN to confirm compliance with procedures.</p>	<p>C * Farm 1: check result for TN in pond 09, done on 27 Mar 2012 * Farm 6: check result for TN in pond 01, done on 18 Jul 2012 C Check calculations, all were accurate C Check calculations, all were compliance N/A C --> Onsite audit 23,24 Nov 2012: auditor onsite witness the staff of Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.</p>	
<p>Footnote [25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.</p>				
<p>Footnote [26] Outlet: The actual water being discharged, not the receiving water.</p>				
<p>3.3.3 Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D) Requirement: 3 mg/l Applicability: Ponds</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. a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months 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 ≥ 3 months. c. During the on site visit, make arrangements for the auditor to observe calibration of equipment and measurements.</p>	<p>A. Review dataset to confirm that monitoring covers the required timeframe. B. Confirm DO in water discharged by farm is ≥ 3 mg/l. If any single value falls outside limits, raise a non-conformity. C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.</p>	<p>C * For both farm 1 & farm 6: have waste water treatment system but the measure of DO in discharge water was done daily for individual pond before discharge to waste water channel. NC-> Closed * Farm 1: check pond 6 & 8, some DO measure results were < 3 mg/l. * Farm 6: check pond 1, some DO measure results were < 3 mg/l. 19Oct2012-> Check records of DO of pond discharge water measure from 01- 19 Oct 2012 of farm 1 and 6 found result OK, onsite observe and interview the Farm technician about the testing method found no deviation. This non conformity had closed with effectiveness actions C Auditor observed farm technician calibration equipment & take measurement of DO. Checking were compliance. --> Follow up on 19Oct 2012: auditor onsite observe again this test and found no results are < 3 mg/l.</p>	
<p>3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]</p>		<p>Compliance Criteria (Required Client Actions):</p>	<p>Auditor Evaluation (Required CB Actions):</p>	
<p>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>				
<p>3.4.1 Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28] Requirement: Yes</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. 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. c. If sludge is transferred (e.g. for agricultural use), obtain 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.</p>	<p>A. Review the farm's sludge management plan. B. Review records to confirm appropriate disposal according to plan. C. If yes to (c), confirm farm has appropriate documentary evidence.</p>	<p>C Available of farm's sludge management plan: * Farm 1: sludge is storing on sludge repository pond. * Farm 6: sludge is given fruit garden of local people for free. C * Farm 1: check record pond 6 & 8, showing appropriate disposal as plan. * Farm 6: check record pond 1, showing appropriate disposal as plan. C * Farm 1: check record pond 6 & 8, showing compliance. * Farm 6: check record pond 1, showing compliance.</p>	

<p>Applicability: All</p>	<p>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 a statement from the owner of right of use).</p>	<p>D. If yes to (d), inspect sludge repository during on-site visit.</p>	<p>C</p>	<p>On-site visit: * Farm 1: have one pond for sludge repository * Farm 6: had fruit gardens near by with some area already have sludge on.</p>
<p>Footnote</p>	<p>[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.</p>	<p>E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems</p>	<p>C</p>	<p>Community interview: no evidence of farm discharge sludge directly into receiving waters on natural ecosystems.</p>
<p>Instruction to Clients for Indicator 3.4.2 - Size of Sludge Repository</p>				
<p>A Sludge Repository Formula is given in Annex D of the ASC Pangasius Standard. Farms shall document how this formula was used to calculate the appropriate size (minimum volume) of a sludge repository. Farms may, for example, document their calculations in the sludge management plan (see 3.4.1a). All sludge areas and volumes must be considered in the calculation. For 'Area of Pond', consider only the area of the pond from which sludge has to be removed over the following 2 months.</p>				
<p>Note 1: If the Sludge Repository Formula yields a negative number, then the repository exceeds the minimum volume (i.e. it is an appropriate size)</p>				
<p>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</p>	<p>a. Provide calculations showing the sludge repository is of appropriate size.</p>	<p>A. Review farm's calculations to verify accuracy. Confirm compliance.</p>	<p>NC-> Closed</p>	<p>* Farm 1: sludge is storing on sludge repository pond but farm don't have calculation for Sludge repository pond volume to show compliance. --> Check the records of calculation of Sludge repository pond volume for Farm 1, result found conform. This non conformity had closed with effectiveness actions * Farm 6: sludge is given fruit garden of local people for free, calculation showing compliance.</p>
<p>b. Provide evidence of legal access to the sludge repository (see 3.4.1c).</p>	<p>B. During on-site visit, inspect the farm's sludge repository.</p>	<p>C</p>	<p>On-site visit: * Farm 1: sludge is storing on sludge repository pond. * Farm 6: sludge is given fruit garden of local people for free.</p>	
<p>3.5 Criteria: Waste management</p>				
<p>Compliance Criteria (Required Client Actions):</p>		<p>Auditor Evaluation (Required CB Actions):</p>		
<p>3.5.1 Indicator: Evidence of farm solid wastes being discharged into the natural environment Requirement: None Applicability: All</p>	<p>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).</p>	<p>A. Review the farm's solid waste management plan.</p>	<p>C</p>	<p>Had solid waste management plan, it is include treatment for all kind of waste (see 3.4.1, 3.5.2, 3.5.3, 3.5.4)</p>
<p>b. During the on-site visit, arrange for the auditor to inspect the farm's solid waste management system.</p>	<p>B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.</p>	<p>NC-> Closed</p>	<p>On-site visit found: * Farm 1: solid wastes (Plastic bag, empty plastic water bottle) dropping on riverside next to dike system. * Farm 2: solid wastes (empty plastic water bottle, plastic bag) were burn on the bund side. -->19Oct2012: Onsite check Farm 1 and 6 found no solid waste, check the records of solid waste collection of 01 - 18 oct 2012 found OK. This non conformity had closed with effectiveness actions</p>	
<p>-</p>	<p>C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.</p>	<p>NC-> Closed</p>	<p>On-site checking: solid waste management was not Implemented as management plan. --> 19Oct2012: Onsite check Farm 1 and 6 found no solid waste, check the records of solid waste collection of 01 - 18 oct 2012 found OK. This non conformity had closed with effectiveness actions</p>	
<p>3.5.2 Indicator: Evidence of human and animal solid wastes being discharged into the natural environment Requirement: None Applicability: All</p>	<p>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.</p>	<p>A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment.</p>	<p>C</p>	<p>Septic toilet are used</p>
<p>b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).</p>	<p>B. Verify that emptying and maintenance follow the schedule.</p>	<p>C</p>	<p>N/A --> Follow up audit 19Oct2012: - Septic toilet empty schedule, maintenance plan issued 10 Jan 12 for both farm 1 and farm 6, check records found no deviation. ==> Follow up Audit on 23 & 24 Nov 2012: 1: Procedure for inspection and maintenance of the toilet are not defined inspection frequency --> Observation for improvement.</p>	
<p>c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance.</p>	<p>C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that emptying and maintenance follow the schedule.</p>	<p>C</p>	<p>N/A --> Follow up audit 19Oct2012 : - Septic toilet empty schedule, maintenance plan issued 10 Jan 12 for both farm 1 and farm 6, check records found no deviation, onsite check found no deviation about leakage or direct discharge into the natural environment</p>	
<p>d. Provide evidence for burial of animal feces (as applicable).</p>	<p>D. Inspect site to verify that the farm buries any animal feces (if applicable).</p>	<p>C</p>	<p>On-site checking: OK, no other animal at farm.</p>	

		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).	C	N/A --> Follow up audit on 19Oct2012: Check the construction contract with Nguyen Thanh Tung construction supplier signed on 29 Nov 2011 and commissioning records on 10 Dec2011, no deviation found.
3.5.3	<p>Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment</p> <p>Requirement: None</p> <p>Applicability: All</p>	a. Prepare a plan for farm management of chemical and medicine wastes.	A. Review farm's plan for management of chemical and medicinal wastes.	C	Farm's plan for management of chemical and medicinal wastes
		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.	C	<p>On-site checking:</p> <p>* Farm 1: N/A</p> <p>* Farm 6: No any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.</p> <p>--> Follow up on 19Oct 2012: Auditor onsite check farm 1: no evidence of chemical & medicine wastes discharge into the natural environment. Auditor also check the warehouse for empty chemical/medicine container and found no deviation.</p> <p>==> Follow up on 23 & 24 Nov 2012: onsite check at both farm: no evidence of chemical & medicine wastes discharge into the natural environment. Auditor also check the warehouse for empty chemical/medicine container and found no deviation.</p>
		-	C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	C	Implemented according to the procedure
3.5.4	<p>Indicator: Evidence of proper disposal [30] of dead/moribund fish</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish</p> <p>Prepare a plan for the proper disposal of dead/moribund fish that specifies the means of disposal using one or more of the following categories: incineration (excluding regular burning, as not allowed); burial; fermentation and use as fertilizer; septic tank; production of fish meal or fish oil; feed for animals other than pangasius (requires statement from aquatic animal health specialist, see Principle 6); sold.</p> <p>Dead fish should never be used for human consumption unless specifically slaughtered and processed for that purpose in an appropriate facility.</p>			
		a. 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.	C	Fram had plan for disposal of dead/moribund fish.
		b. <u>burial, incineration, fermentation</u> : plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).	C	* Dead fish cause by caused by an infectious agent or a pesticide/chemical pollutant: burial * Normal death fish: sell out daily.
		c. <u>septic tank</u> : 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).	C. Verify by review of documentary evidence (as applicable).	NA	N/A, no use of septic tank.
		d. <u>production of fish meal or fish oil</u> : specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.	D. Verify by inspection (as applicable).	C	Had sales contract with moribund fish buyer: fish is use to make fertilizer.
		e. <u>feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d")</u> : 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.	E. Verify that farm obtains written statement(s) from aquatic health specialist (as applicable).	C	<p>Had sales contract with moribund fish buyer: fish is use to make fertilizer.</p> <p>--> Follow up on 19Oct 2012: For both farm: check again the buying contract and records of dead fish sold daily, sample check records od Aug2012 and Sept 2012 found OK, including the written statements from AAH that dead fish not caused by an infectious agent or a pesticide/chemical pollutant.</p> <p>==> Follow up on 23 & 24 Nov 2012: For both farm: check again the buying contract and records of dead fish sold daily, sample check records od Aug to Nov 2012 found OK, including the written statements from AAH that dead fish not caused by an infectious agent or a pesticide/chemical pollutant.</p>
		f. <u>sold</u> : 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.	F. Verify by review of documentary evidence (as applicable).	C	<p>Had sales contract with buyer, daily record of sell quantity.</p> <p>--> Follow up on 19Oct 2012: For both farm: check again the buying contract and records of dead fish sold daily, sample check records od Aug2012 and Sept 2012 found OK, including the written statements from AAH that dead fish not caused by an infectious agent or a pesticide/chemical pollutant.</p> <p>==> Follow up on 23 & 24 Nov 2012: For both farm: check again the buying contract and records of dead fish sold daily, sample check records od Aug to Nov 2012 found OK, including the written statements from AAH that dead fish not caused by an infectious agent or a pesticide/chemical pollutant.</p>
		-	G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.	C	Plan is effectively implemented, interview fram worker during on-site visit showing compliance.
Footnote e	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production of fish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality was 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 Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
3.6.1	Indicator: Information available on the following variables (per year per farm in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method. Requirement: Yes Applicability: All	a. 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.	A. Review calculations. Verify the farm keeps records of energy consumption.	C	Maintain receipts of farm energy consumption for the whole year: electric fuel. The calculate & receipt are in place.
		b. Provide records of mortality quantities (see Indicator 6.4.4) and their disposal method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop per site (see preamble).	B. Verify the farm maintains accurate records of mortalities and disposals.	C	Had full crop record of: * Farm book had record daily fish mortality (species & kg) * Had dead fish daily selling record (kg). * Had dead fish burial record.
PRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS					
4.1 Criteria: Presence of pangasius in the water drainage system					
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
4.1.1	Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruiting [32] stock established before 1st January 2005 Requirement: Yes Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	Note: If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established, then indicator 4.1.1. does not apply. Enter 'not applicable' here and			
		a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.	A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.	C	Had declarations from hatcheries that fingerling species is "Pangasianodon hypophthalmus"
		b. Provide a map of the river basin showing the location of the farm (see 2.1.1).	B. Review map to confirm farm location within river basin.	C	Had maps of river basin showing farms' location.
		c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).	C. Confirm that documentation shows the farmed species is indigenous to the river basin.	C	Farmed species is indigenous to the river basin, had copy of FAO report (Sauvage, 1878) and Scientific Magazine of Can Tho University issued 2008
		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.	D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.	NA	N/A, species is indigenous
		E. Verify the identity of the farmed species by direct observation during on-site visit.	C	Check Species during on-site visit showing conformity.	
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.	NA	N/A, species is indigenous
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 a 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	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 cannot establish in the river basin.	NA	N/A, species is indigenous
Footnote	[34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.				
4.2 Criteria: Genetic diversity					
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
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).	A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.	C	See 4.1.1
		b. Provide a map of the river basin showing the location of the farm (see 2.1.1).	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	See 4.1.1, Farm's GPS location & farm map were available.
		c. Obtain a declaration from seed supplier(s) 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.	C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.	C	- All seed that had been purchase from hatcheries "Trung Tam Giong Thuy San Dong Thap" and "Co So Nuoi Trong Thuy san Munh Lien" with confirmation letters that the species is Pangasianodon Hypophthalmus. - Had certificate from "vien nghien cuu nuoi trong thuy san II" that the Parents fish use for breeding at these two hatcheries is Pangasianodon hypophthalmus species and it has original from Mekong basin.

		d. For all seed purchases, maintain sufficient records (e.g. receipts) to indentify the river-basin source of broodstock. For first audits, farm records must cover ≥ 6 months.	D. Verify that sourcing of seed is in compliance with the Requirement.	C	Checking fingerling source of Pond 9 - farm 1 and pond 1 - fram 1: showing compliance.
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 Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):	
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.	A. Verify declaration of no wild-caught seed for grow out.	C	Available od Declaration from hatcheries that no use of wild-caught seed.
		b. Obtain statement from seed supplier(s) that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity).	B. Verify that farm has statements from seed suppliers.	C	Seed supplier statements & receipts are available.
		c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥ 6 months.	C. Verify the farm maintains accurate records for sourcing of seed.	C	Reord of seed stocking in individual pond & fram diary, records are accurate,
4.4 Criteria: Genetically engineered and hybridized strains					
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):	
4.4.1	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All	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.	C	Avaiable od Declaration from hatcherie that no use of genetically engineered or hybrid strains.
		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.	B. Verify that farm maintains statements from seed suppliers.	C	Seed supplier statements & receipts are available.
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):	
4.5.1	Indicator: Evidence that nets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape Requirement: Yes Applicability: All	a. 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).	A. Review records for fish size in different holding units.	C	Fram1: check pond 6 and farm 6: check pond 1, had records of fish size for full crop, checking fish size every 15 days.
		b. Maintain records indicating the size of net mesh or grills for the entire farm. For first audits, farm records must cover ≥ 6 months.	B. Review records for mesh or grill size.	C	Farm diary have record of fish size & mesh size apply: 1cm, 1.5cm, 2.0cm, 4.0cm.
		-	C. During the on-site visit, inspect the size of net mesh or grills to confirm compliance.	C	Check during onsite audit: ask for farm staff to made diving for mesh check showing compliance.
4.5.2	Indicator: Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection) Requirement: Yes Applicability: All	a. Provide farm records for daily inspection of net mesh or grills used in production (e.g. grow-out) units.	A. Review records to verify inspections are regular and timely.	C	Net checking & maiternace done daily, keep record.
		b. Keep records of mitigation and repairs in a permanent register. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review the register to verify repairs are performed and recorded.	C	Had record for full crop,
		c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inpection of meshes and grills to confirm that the program is effective.	C	Check during onsite audit: ask for farm staff to made diving for mesh check showing compliance. --> Follow up on 19Oct2012: For both two farm, auditor request farm staff take out escape protection net and using the ruler to check the net size. ==> Follow up on 23, 24 Nov 2012: 1) There are no procedures to guide the diving test meshes net. 2) Actions diving not mature enough, can not guarantee the effectiveness of the divers test the nets. (observation for improvement)
		a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 10 years.	A. Review records covering ≥ 10 years or statement to establish the maximum height of high water when flooding occurs.	C	Official Report of Dong Thap hydrography agency had record maximum height of high water when flooding occurs during last 10 years at difference location, including farm location.

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>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>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</p> <p>- Onsite visit showing dike system is efficient to prevent spillage when flooding occur. --> Follow up on 19Oct2012: Farm have dike monitor and maintenance procedure, check daily records found OK. - On-site inspect: the farm have no precast concrete point to check and compare, only have signal of highest high flooding last 10 year. Compare show OK. => Follow up on 23, 24 Nov 2012 ==> Observation + Procedure for inspection and maintenance of the bund system is not defined inspection frequency. + Farm have no standard measuring water column to determine the flood level (above sea level) at all times. (observation for improvement)</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/compromise fish (e.g. gill nets).</p> <p>B. Review records of inspection and observed escapees.</p> <p>C. Review the suitability of any actions 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>	<p>C</p> <p>Trap divides had direct contact with intake water pie for each pond with small mess size 1cm</p> <p>C</p> <p>daily check, record are available.</p> <p>C</p> <p>No escape found but procedure have guideline for action when escape fish had been found. -->Onsite audit 23,24/11/2012: observe harvesting activities at pond 5 farm 6: - Farm should more control to make sure the fish not able to escape to the river during the transportation from the pond to the boat. - The average weight of fish during the harvesting should be plan and inspect daily to make sure the average weight of whole pond more exact. (observation for improvement)</p> <p>C</p> <p>Onsite check showing compliance --> Follow up 19Oct2012: request farm staff to check the function of trap, after that, take off the trap and check net size, the status of net and result found no deviation. ==> Follow up 23 & 24 Nov 2012==> Observation 1) There are no procedures to guide the diving for checking of escapes traps. 2) Actions diving not mature enough, can not guarantee the effectiveness of the divers test escapes traps. (observation for improvement)</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):	
4.6.1	<p>Indicator: Evidence that the 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 compromised, there shall be evidence that repairs were completed as soon as practical.</p> <p>C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.</p> <p>D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.</p>	<p>NC - Closed</p> <p>No procedure for bund monitor & maintenance --> 19Oct2012: Check the procedure for bund monitor & maintenances signed on 19 Jan 2012 and records found OK. This non conformity had closed with effectiveness actions</p> <p>NC --> Closed</p> <p>No record --> Check the procedure for bund monitor & maintenances signed on 19 Jan 212 and records found OK. This non conformity had closed with effectiveness actions</p> <p>C</p> <p>On-site check: bund have some erosion & it had been well repair.</p> <p>C</p> <p>Community interview: no evidence of bun collapse.</p>
Footnote	[41] Has not been affected in such a way to allow the escape in part or all of the farmed stock.			

4.6.2	<p>Indicator: Evidence assuring there has been no intentional release [42]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Prepare a declaration that the farm has made no intentional releases in the last 12 months.	A. Review declaration to confirm compliance.	NC-> Closed	No declaration --> 19Oct 2012: Check the declaration that the farm has made no intentional releases in the last 12 months signed on 01 Dec 2011 found OK, interview the farm worker and residence found no deviation. This non conformity had closed with effectiveness actions
		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).	B. Review records to confirm that all stockings can be accounted for by harvest or disposal.	C	* Chec pond 6 of farm 1 & pond 1 of farm 6 for seed receive record, farm diary record (deaf fish kg & head), harvesting volume (kg & head). Result showing compliance.
		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).	C. Review annual production records to determine if there are significant discrepancies that could indicate the possibility of intentional release.	C	* Review annual production summary showing compliance.
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):	
5.1.1	<p>Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed</p> <p>Requirement: No</p> <p>Applicability: All</p>	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.	A. Review farm records for commercially sourced feeds.	C	Had feed received receipt for feed use of the whole cycle. Feed use is Domyfeed (GloabGAP certified)
		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.	B. Review ingredients to verify that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).	NA	N/A, no use of farm-made feed.
		-	C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.	C	Only Domyfeed compound feed is used.
Footnote	[43] Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen, minced, dried, meals, oils, and processing by-products).				
5.1.2	<p>Indicator: Use of pangasius fish processing by-products [44] as feed or feed ingredients</p> <p>Requirement: No</p> <p>Applicability: All</p>	a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at any time during the last 12 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish processing were used as feed for pangasius.	C	Commitment from Domyfeed CFM (GloabGAP certified) on 9 Feb 2012: No use of uncook fish, no use of pangasius by-product, No use of fish meal content species in IUCN as ingredient for feed.
		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 months and all the feed requirements apply only to fish on site.	B. Review manufacturer's declaration to confirm no pangasius by-products were in feed.	C	See 5.1.2.a
		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.	C. Review farm documentation to confirm that no pangasius by-products were used in feed preparation (if applicable).	C	Check farm's documentation & records showing compliance.
Footnote	[44] Trimmings, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these are not counted as part of the "fish product" amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in pangasius diets.				
5.1.3	<p>Indicator: Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>Instructions to Clients for Indicator 5.1.3 - Confirm there are no IUCN Red List Species in Feed</p> <p>For the purposes of this indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species do not comply with the Standard. This restriction extends to feeds that use by-products (e.g. trimming) or aquacultured products of IUCN Red Listed species.</p> <p>For each fish product used as a feed ingredient, determine whether the species is on the IUCN Red List as follows:</p> <ul style="list-style-type: none"> - go to http://www.iucnredlist.org/ - in the primary search field enter the genus and species - click on "run search" and record the status of the species. <p>Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with indicator 5.1.3, consider only species identified as "Vulnerable", "Endangered", or "Critically Endangered". Species that are listed in other IUCN categories (e.g. "Not Evaluated") are not considered.</p>			
		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.	C	Commitment from Domyfeed CFM (GloabGAP certified) on 9 Feb 2012: No use of uncook fish, no use of pangasius by-product, No use of fish meal content species in IUCN as ingredient for feed.
		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 obtained an accurate result.	C	Search of IUCN database database to verify that fish species use as fish meal ingredient provide by Domyfeed CFM, result showing 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, obtain a statement from the respective supplier confirming compliance.	C. Confirm that farm has provided sufficient evidence of compliance.	NA	N/A, no use of farm-made feed
Footnote	[45] Vulnerable, Endangered and Critically Endangered.				
Footnote	[46] www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards.				
	<p>Indicator: Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II and III [47]</p>	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	A. Confirm that farm has a statement from the feed manufacturer verifying the origin of all fish products used as ingredients in all commercial feeds.	C	Commitment from Domyfeed CFM (GloabGAP certified) on 9 Feb 2012: No use of uncook fish, no use of pangasius by-product, No use of fish meal content species in IUCN as ingredient for feed.

5.1.4	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>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"</p> <p>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, obtain a statement from the respective supplier confirming compliance.</p>	B. Repeat search of CITES database to verify that farm obtained an accurate result.	C	Search of CITES database to verify that fish species use as fish meal ingredient provide by Domyfeed CFM, result showing compliance.
			C. Confirm that farm has provided sufficient evidence of compliance.	NA	N/A, no use of farm-made feed
Footnote [47] http://www.cites.org/eng/app/appendices.shtml					
5.1.5	<p>Indicator: ISEAL-certified fishmeal and fish oil products must be used in feed</p> <p>Requirement: Within 3 years of becoming available in a region</p> <p>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</p>	<p>Note 1: "becoming available in a region" means being commercially available in the region (UN regions) by at least two independent suppliers and indicated in grey literature (the date of appearing in grey literature is to be used).</p> <p>Note 2: "products" does not apply to trimmings and aquacultured products used as feed ingredients (see Indicator 5.1.3).</p> <p>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.</p> <p>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.</p>	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).	C	-Statement from Domyfeed CFM on 2 Apr 2012 that fish meal ingredient made by fish species: loignathidae, Engranlidae & Sardinelle, all capture from allow fishing zone by Viet Nam government.
			B. Review evidence and confirm compliance.	C	N/A
5.1.6	<p>Indicator: ISEAL certified fishmeal and fish oil products must be used in feed</p> <p>Requirement: Within 5 years from the publication date of the PAD standards</p> <p>Applicability: All, after August 2015. Not applicable if only trimming and aquaculture products are used</p>	<p>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.</p> <p>b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5.</p>	A. Confirm that farm obtains information about feed ingredients.	C	N/A
			B. Review evidence and confirm compliance.	C	N/A
5.1.7	<p>Indicator: Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score</p> <p>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"</p> <p>Requirement: ≥ 6.0 with no individual score < 6.0 or an N/A in the stock assessment category</p> <p>Yes</p> <p>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</p>	<p>Instruction to Clients for Indicator 5.1.7 - FishSource Score of Products Used in Feed To determine FishSource scores of fish 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 FishSource scoring).</p> <p>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.</p> <p>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.</p> <p>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.</p>	A. Verify that farm obtains information about feed ingredients.	C	-Statement from Domyfeed CFM on 2 Apr 2012 that fish meal ingredient made by fish species: loignathidae, Engranlidae & Sardinelle, all capture from allow fishing zone by Viet Nam government.
			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).	C	N/A
5.2 Criteria: Efficient management of feed use on the farm					
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):		
		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).	A. Review records to confirm that farm has records for all seed.	C	Seed record on farm diary for individual pond.
		b. Maintain records showing the type of feed and the total amount used (see 3.1.1a).	B. Confirm that farm has complete and accurate records for feed.	C	Feed record daily on farm diary for individual pond. -->Onsite audit 23,24/11/2012: On site observe the feed warehouse: there are two kinds of feed product with different protein ratio were kept at the same location with out identify signal (observatio for improvement)

5.2.1	<p>Indicator: Maximum weighted [50] average of economic Feed Conversion Ratio (eFCR) for the complete production cycle</p> <p>Requirement: 1.68</p> <p>Applicability: All</p>	<p>c. Maintain records (e.g. receipts) showing amount of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>C. Verify the farm keeps records showing amount of fish harvested.</p>	<p>NC --> Open</p> <p>Harvesting quantity had record on farm diary, check harvesting receipt of pond 6 fram 1 & pond 1 fram 6: result showing compliance. --> Follow up on 23,24Nov2012: 1) There are many tilapia in ponds but harvesting production does not include tilapia biomass. 2) Planning and control entry of other fish in fish ponds is not effective. " (NCa2)</p>	
		<p>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).</p>	<p>D. Review calculations for accuracy and completeness.</p>	<p>C</p> <p>Had eFCR calculation for individual pond, all result showing compliance.</p>	
		<p>e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.</p>	<p>E. Review calculations for accuracy. Confirm compliance.</p>	<p>NC--> Closed</p> <p>* Farm 1: had average eFCR calculation for 9 harvested pond but farm was applying wrong formular for calculation --> Check the calculation method of average eFCR calculation for 9 harvested pond found OK, result eFCR of farm eFCR = 1.6 OK. This non conformity had closed with effectiveness actions * Farm 6: OK</p>	
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	<p>Indicator: Maximum Fish Feed Equivalence Ratio (FFER)</p> <p>Requirement: 0.5</p> <p>Applicability: All</p>	<p>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.</p>	<p>A. Verify that farm obtains information about percent inclusion of fish meal and fish oil for all feed types.</p>	<p>C</p> <p>Had statement from Domyfeed CFM for feed meal & fish oi content in feed on 9 Feb 12 -28%P: fish meal 4%, fish oil 1% -26%P: fish meal 3%, fish oil 0.7% -22%P: fish meal 2%, fish oil 0.5%</p>	
		<p>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</p>	<p>B. Review calculations to verify accuracy. Confirm compliance.</p>	<p>C</p> <p>Had preview FFER calculation of fish meal & fish oil for individula pond, result showing compliance.</p>	
<p>PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety</p>					
<p>6.1 Criteria: Mortalities</p>					
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
6.1.1	<p>Indicator: Maximum average real percentage mortality, from stocking to harvest, during the grow-out period (See Real Percent Mortality formula in Annex D).</p> <p>Requirement: 20 %</p> <p>Applicability: All</p>	<p>Instructions to Clients for Indicator 6.1.1 - Calculating Average Real Percentage Mortality (RPM) Calculate the weighted average of 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 weighted average RPM for all enclosures over the last 12 months as follows Weighted Average RPM = [(RPME1 x YieldE1) + (RPME2 x YieldE2) ... + (RPMEn x YieldEn)] / (YieldE1 + YieldE2 ... + YieldEn) Where E1, E2, En are the 1st enclosure, the 2nd enclosure and the nth enclosure For first audits, records must cover at least 1 full crop per site (see preamble). Note 1: Only use counts of live fish in these calculations. Do not include counts of dead fish when determining number of harvested fish or number of stocked fish. Note 2: Only use information from complete crops.</p>			
		<p>a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers (see 5.2.1a). Maintain records to show the total number of fish stocked into each enclosure during the last 12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review receipts. Confirm that farm records are sufficient to determine number of seed stocked into each enclosure.</p>	<p>C</p> <p>* Had seed receiving receipt for individual pond * Check seed receiving receipt of pond 6 fram 1 & pond 1 fram 6: result showing compliance.</p>	
		<p>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 audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.</p>	<p>C</p> <p>* Had harvesting receipt for individual pond * Check harvesting receipt of pond 6 fram 1 & pond 1 fram 6: result showing compliance.</p>	
		<p>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.</p>	<p>C. Review farm's calculations to verify accuracy. Confirm that average real percentage mortality is ≤ 20%.</p>	<p>C</p> <p>Preview calculation: Individual pond mortality & average farm mortality were ≤ 20%</p>	
<p>6.2 Criteria: Veterinary medicines and chemicals</p>					
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		

6.2.1	<p>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.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Prepare a list of all veterinary medicines, chemicals and biological products used on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review list of medicines, chemicals and biological products.	C	* There is a list of medicines, chemicals and biological products for using at farm, and it is conformity compare with list of medicines, chemicals and biological products approved for use in aquaculture in Vietnam (available at farm).
		b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	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).	NC --> Open	* Use of any veterinary medicines, chemicals and biological products record on farm diary. * On-site check: - Farm 6: showing compliance; - Farm 1: N/A. --> Follow up onsite on 19Oct2012: Check farm 1: check chemical warehouse, stock in-out OK. Cross check actual warehouse with chemical medicine list allow for use at farm found no deviation. --> Follow up 23,24Nov2012: 1) Scale used to weigh chemicals have no signs of periodic calibrations, calibration method and calibration tools do not match, there is no record of calibration. (Farm 1 & Farm 6). 2) List of chemical drugs and hanging instructions for safe use of drugs in chemical & medicine rooms were not approved signs (Farm 1). 3) Warehouse lime and salt: no areas identified for each products, lime sorted not be tidy (Farm 1). 4) Check the profile import, export, conservation of drugs and chemicals used, comparing results showed deficiencies in the recorded data, the lack of a drug import and export bills (Farm 6). (NC-a3)
		c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.	C	Had medicine supplier list with detail contact information.
		d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.	D. Confirm that listed products used are approved for aquaculture.	C	See 6.2.1.a
		e. Provide a list of the farm's exports (i.e. sales to parties in foreign countries) over the last 12 months.	E. Review list and compare to farm's sales receipts.	C	Review list and compare to farm's sales receipts: showing compliance.
		f. If the farm cannot determine the country of export (6.2.1e), prepare a list of the top five countries importing pangasius from the country where the farm operates (regions operating within the same legislation on this matter, e.g. the EU, are considered as a single country).	F. Review list (as applicable).	C	List of countries export is available with the chemical & medicine substance banned.
		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.	G. Review list.	C	List of countries export is available with the chemical & medicine substance banned.
		h. Show that in the last 12 months, the farm did not use any veterinary medicines, chemicals or biological products that are banned or non-approved in the importing country.	H. Review evidence. Cross-check the farm's export markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.	C	List of countries export is available with the chemical & medicine substance banned.
6.2.2	<p>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].</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	A. Review records of prescriptions or written advice for veterinary medicines and chemicals.	C	Check record of pond 9 - Fram1 with internal parasite infected, Prescriptions were issued & approved by AAH Specialist for use of antiparasite product during three days 09, 10 & 11 Sep 2011. The prescriptions also maintain need time for product withdrawn before harvest.
		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.	B. Review written descriptions. Confirm use approved by AAH Specialist.	C	Prescriptions were approved by AAH Specialist.
		c. If application differs from the label specification, obtain written justification from aquatic animal health specialist. For first audits, farm records must cover ≥ 6 months.	C. Review justifications from AAH Specialist as applicable.	C	Prescriptions were issued & approved by AAH Specialist prior to the application.
		d. Provide copies of the title(s) of the aquatic animal health specialist showing how s/he is suitably qualified for the position.	D. Review evidence. Confirm that AAH Specialist is suitably qualified.	C	The AAH Specialist was qualified.
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.				
Footnote	[56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.				
6.2.3	<p>Indicator: Follow the aquatic animal health specialist recommendations on: 1- how to apply the veterinary medicine and chemicals prescribed 2 - how to handle & store the veterinary medicines and chemicals prescribed 3 - who needs to be informed about the disease and how 4 - how to limit the spread of the disease to neighboring wild or farmed populations</p>	a. For veterinary medicines or chemicals applied and for all mortality events notified, provide statements of the specialist indicating his/her recommendation on: - 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 populations. For first audits, farm records must cover ≥ 6 months.	A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.	C	Health events was check during the Audit: compliance
		b. Provide a declaration that the farm followed the recommendations of the aquatic animal health specialist.	B. Review farm's declaration to confirm following recommendations of the AAH Specialist.	C	Farm's declaration was checked: compliance

	<p>Requirement: Yes</p> <p>Applicability: All</p>	-	C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.	C	On-site visit checking storage of Medicines & chemical: * Farm 1: N/A * Farm 6: Compliance
		-	D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.	C	On-site check: showing conformity.
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 from all withdrawals.</p> <p>B. Review labels and completion dates of withdrawal periods.</p> <p>C. Evaluate evidence to verify that no fish were harvested before completion of withdrawal period.</p>	C	Records from all withdrawals on farm diary & on AAH prescription. Check labels and completion dates of withdrawal periods: compliance Check farm diary for harvested pond showing compliance.
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 1 full crop per site (see preamble).</p> <p>b. Prepare declaration stating that farm did not use any antibiotics critically important for 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>	C	Available list of antibiotic use. * Available of Farm's Declaration * Cross check with WHO list of antibiotics critical to human medicine: OK Farm has holds an up-to-date copy of the WHO list On-site check: OK
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, 29–31 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 use 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 1 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>	C	There is a declaration of AAH specialist on Jan 2012. Verify the AAH Specialist declaration: OK Medicine purchase receipts were keeping. On-site checking of veterinary medicines inventory: * Farm 1: N/A * Farm 6: OK Records of use were checked & compared with purchased quantity & inventory quantity held on-site: OK
6.2.7	<p>Indicator: Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters [58].</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>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.</p>	<p>A. Verify the AAH Specialist supports the declaration that there is no use of veterinary medicine as growth promoters.</p> <p>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.</p>	C	Verify the AAH Specialist declaration: OK Records of use were checked & compared with purchased quantity & inventory quantity held on-site: OK
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 Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
6.3.1	<p>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.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Prepare the farm's written pangasius health plan containing all required elements (Annex E).</p> <p>b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist.</p> <p>c. Review the health plan at least once every 12 months. Update as needed and obtain approval by the farm's aquatic animal health specialist.</p>	<p>A. Review health plan for compliance with Annex E.</p> <p>B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.</p> <p>C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audits, the response is 'not applicable'.</p> <p>D. During on-site visit, verify that the plan is implemented and effective.</p>	C	Health Plan is available & covering all points in annex E and it had been implemented at the farm. Health Plan is reviewed & signed by AAH specialist. N/A, first farming cycle Health Plan had been implemented.
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 Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):		
6.4.1	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>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.</p> <p>b. Maintain copies of labels showing withdrawal times at the grow-out facility. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>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.</p>	<p>A. Verify the farm maintains purchase records.</p> <p>B. Verify the farm maintains records showing withdrawal times at the grow-out facility.</p> <p>C. Verify the farm maintains relevant declarations from the AAHS at the grow-out facility.</p>	C	See 6.2.6.c See 6.2.4.a Check AAH prescriptions

		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).	D. Verify the farm obtains declarations from all seed suppliers.	C	There are declarations from all seed suppliers.
6.4.2	<p>Indicator: Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include:</p> <ul style="list-style-type: none"> 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 <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. For all stocking events in the last 12 months, obtain a signed letter from the seed supplier reporting:</p> <ul style="list-style-type: none"> - 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). <p>For first audits, farm records must cover ≥ 6 months.</p>	A. Verify the farm maintains records for seed quality as required.	C	Verify the farm maintains records for seed quality as required: OK
6.4.3	<p>Indicator: Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify:</p> <ul style="list-style-type: none"> - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-parasites, fin erosion, etc); and - number of dead fish. <p>For first audits, records must cover at least 1 full crop per site (see preamble).</p>	A. Review daily records to confirm that all reporting elements are included. Verify compliance.	C	Daily monitoring record on Farm diary. When fish have symptom of disease or increasing or mortality, AAH specialist will made dianostic & record on AAH prescription.
<p>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).</p>					
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 Indicator 6.4.4 requires that farms report all significant mortality events to the aquatic animal health specialist. The ASC Pangasius Standard does not prescribe a specific threshold value for all farms to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their aquatic animal health specialist to develop a threshold for reporting mortality events that is appropriate for identifying significant or "above average" mortality events based on farm data. In establishing a threshold, the farm must consider the following:</p> <ul style="list-style-type: none"> - thresholds must be generated using farm data for mortality and this shall include farm information from at least 1 randomly selected pond; - thresholds must be stage-specific to account for differing mortality rates during the 1st week, the 1st month, and any month after that; - the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and - the farm must describe how the threshold was established in the farm's Pangasius Health Plan. 			
		a. 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).	A. Review daily mortality records.	C	Daily mortality records available on farm diary.
		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).	B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events.	C	AAH Specialist has reviewed daily mortality records & signed on farm diary.
		c. Describe how the threshold was established in the farm's Pangasius Health Plan (see 6.3.1).	C. Review the proposed mortality threshold in the farm's Pangasius Health Plan to confirm compliance with requirements.	C	Proposed mortality threshold is done by surveying of 48 pond of Docifish farms. Review yearly.
		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.	D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements.	C	OK
6.5 Criteria: Fish welfare.					
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):		

	<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 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 enclosures 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).</p> <p>Auditors are instructed as to evaluate Indicator 6.5.1 as follows. Farms must provide auditors with sufficient information to verify average fish weight at stocking, average fish 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>Indicator: Maximum fish density at any time</p> <p>Requirement: 38 kg/m² for ponds and pen</p> <p>Applicability: Ponds and Pens</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> <p>C</p> <p>Weight of fish stocked were recorded on farm diary for each pond.</p> <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> <p>C</p> <p>Weight of harvested fish record on the harvesting receipt.</p> <p>c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).</p> <p>C. Review calculations to confirm accuracy and completeness.</p> <p>C</p> <p>Calculations were available & accurate.</p> <p>d. Using results of 6.5.1c, calculate the farm-wide weighted average AGR.</p> <p>D. Verify that the farm-wide weighted average AGR complies with requirements.</p> <p>C</p> <p>Average AGR was compliance.</p>	
	<p>Indicator: Maximum fish density at any time</p> <p>Requirement: 80 kg/m³ for cages</p> <p>Applicability: Cages</p>	<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> <p>C</p> <p>Surface area for each Pond was record on Fram map & farm diary.</p> <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> <p>C</p> <p>Had harvesting receipt for each harvesting pond. For one harvested pond: have some receipt for each harvest transportation boat with date, boat number, total quantity weigh at farm.</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>C. Review calculations for fish density at harvest to verify compliance.</p> <p>C</p> <p>Review AVG calculation for individual pond & average AGR for the whole farms: showing compliance.</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>D. Review monthly estimates of fish density to verify compliance.</p> <p>C</p> <p>Review monthly estimates of fish density: OK</p>	
	<p>Indicator: Maximum fish density at any time</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>A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.</p> <p>NA</p> <p>N/A, Pond</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>B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.</p> <p>NA</p> <p>N/A, Pond</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>C. Review calculations for fish density at harvest to verify compliance.</p> <p>NA</p> <p>N/A, Pond</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>D. Review monthly estimates of fish density to verify compliance.</p> <p>NA</p> <p>N/A, Pond</p>	
<p>6.6 Criteria: Predator control</p>			
<p>Compliance Criteria (Required Client Actions):</p>			
<p>Auditor Evaluation (Required CB Actions):</p>			
<p>6.6.1</p>	<p>Indicator: Use of lethal predator [61] control</p> <p>Requirement: No</p> <p>Applicability: All</p>	<p>a. Prepare a list of all predator control devices and their locations.</p> <p>A. Review list.</p> <p>C</p> <p>Only rat traps are applied at farm, No use of other lethal devices.</p> <p>-</p> <p>B. Inspect sites to verify no use of lethal predator controls.</p> <p>C</p> <p>Only rat traps are applied at farm, No use of other lethal devices.</p>	
<p>Footnote [61] Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all types of predators during the production period, but only birds, reptiles and mammals during the period of preparation of the holding units (e.g., ponds, cages and pens). Rats and mice are excluded from consideration as they are unlikely to harm fish on the farm, be endangered or pose a conservation concern.</p>			
<p>Instruction to Clients for Indicator 6.6.2 - Presence of IUCN Red Listed Species</p>			

6.6.2	<p>Indicator: Mortality of IUCN red listed species.</p> <p>Requirement: 0 (zero)</p> <p>Applicability: All</p>	<p>a. Perform analysis. Record all IUCN red listed species occurring in the area of the farm.</p>	<p>A. Repeat analysis to verify that client obtained an accurate result.</p>	<p>C</p> <p>Had Scientific Report done by can Tho University about the "Identification of endangered / IUCN red list species at Docifish farm 1 & farm 6" with content including: - Identification of endangered species may appear at farm area in comparing with IUCN list. - Risk assessment for all farming practice that can made danger to these species. - Apply new farming practice in order to have no negative impact on endangered species.</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>B. Verify that farm procedures are appropriate and implemented (as applicable).</p>	<p>C</p> <p>See 6.6.2.a</p>
		<p>-</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>	<p>C</p> <p>Community interview: no evidence of the farm causing mortality of IUCN red listed species</p>
<p>Social requirements in the standards shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1.</p>				
<p>PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO COMMUNITY DEVELOPMENT AND POVERTY ALLEVIATION.</p>				
<p>7.1 Criteria: Labor law</p>				
		<p>Compliance criteria (Required Client Actions):</p>		
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>C</p> <p>- Company had issued CBA (Collective Bargaining Agreement) on 11/Jul/2011 - Company regulation issued 28/Mar/2011 --> Follow up on 19Oct 2012: auditor sample check the name of farm staff and the name list of registered for benefit insurance accident from the company, result found OK, company had updated according to actual worker list on farm.</p>
		<p>b. Ensure that the farm and all employees on the farm comply to the labor regulations.</p>		<p>NC-> Closed</p> <p>1) Interview workers, some workers are not aware the way to overtime calculation and the company regulation, Collective Bargaining Agreement. 2) Some workers have no received labour contract after signed with employer. --> 19Oct2012. - Checked training records of the company regulation, Collective Bargaining Agreement and salary calculation on 3/Oct/2012 - Company had established annual training plan per year. The last one was done on 4/Oct/2012 - Records of receiving labour contract for 23 employees. (Farm 1) and 12 employees (Farm 6) - Interview workers, they have awareness about company regulation, Collective Bargaining Agreement and salary calculation This nonconformity had closed with effectiveness actions</p>
<p>7.2 Criteria: Child labor [62] and young workers [63]</p>				
		<p>Compliance criteria (Required Client Actions):</p>		
Footnote	<p>[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 children helping their parents on their own farm, provided that working does not jeopardize their schooling or health.</p>			
Footnote	<p>[63] Young worker: Any worker between the age of child as defined and under the age of 18.</p>			
7.2.1	<p>Indicator: Minimum age of workers</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain a list of all employees employed in the farm indicating date of birth</p>		<p>C</p> <p>Farm 1: Have 20 employees, the youngest worker is Mr. Nguyen Anh Hao (was born on 3/Mar/1992) Farm 6: Have 14 employees, the youngest workers is Mr. Phan Quang Huy (Was born in Jan/1994)</p>
		<p>b. Maintain copies of the official ID of all the employees listed showing date of birth</p>		<p>C</p> <p>All employees have official ID card meet with the list and labour contract.</p>
		<p>c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]</p>		<p>C</p> <p>Hiring procedure and hiring posted are clear this issue.</p>
		<p>d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.</p>		<p>C</p> <p>Showed on the hiring poster and company policy</p>

7.2.2	<p>Indicator: For workers under 18 years olds</p> <p>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]</p> <p>Requirement: Yes</p> <p>Applicability: Farms with employees younger than 18 years old</p>	a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job descriptions are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous	C	The farm have no any employees under 18 years old
		b. Maintain records of schooling commitments of each employee younger than 18 years old	C	The farm have no any employees under 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.	C	The farm have no any employees under 18 years old
		d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm	C	Interview workers who are working at the farm and no found any signal young or child labour.
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):				
Footnote	[66] Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents).			
7.3.1	<p>Indicator: Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment	C	Company had signed the labour contract for all employees
		b. Ensure that workers' rights as indicated in this Requirement are duly respected.	C	All workers's rights was shown on the labour contract and company regulation
		c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers	C	Interview workers that some feedback have no received labour contract after signed labour contract with HR Dept. --> That was raised N/C in 7.10.1 for farm 1
		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	C	Checked payments and interview workers
		e. Ensure that no employee is obligated to work at the farm to repay debt	C	Interview worker
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):				
		a. Maintain a list of all the health and safety hazards in the working and living environment of employees	NC-> Closed	Have list of risk assessment (Suc Khoe & ATLD - ASS-03). However there is evidence to periodic review the Risk Assessment for Farm 01 and 06 --> 19Oct2012: -Checked the new risk assessment (ver 04) effected date on 02/Sep/2012 This nonconformity had closed with effectiveness actions
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed	C	The farm have emergency procedure for 9 SOP (Fire, inundation, spill oil, isolate, fish lost, electric shock, food poisoning, chemical spill, mud spill out river.

7.4.1	<p>Indicator: The employer provides a non-hazardous working and living environment</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards	<p>The farm manager was conducted training all SOP on 5/Jul/2012 at Farm 1 and Farm 6 on 20/Jun/2012 --> Follow up on 23,24 Nov 2012:</p> <p>NC --> Open</p> <p>1) At chemical warehouse, There is no water for eyes washing in emergency case (Farm 1) 2) During harvesting action, there are some workers of harvesting subcontractor to smoking on the farm while the farm regulation do not allowed smoking. (Farm 6) (NCa4)</p>
		d. Ensure that employees have constant access to potable/safe drinking water	<p>- There is no evidence to test of the drinking water and waters' cooking. (Farm 1 and Farm 06: not water's cooking test) - The meal samples was not stored 24 hours after provide meals --> 19Oct2012:</p> <p>NC--> Closed</p> <p>- Checked the annual plan of monitoring health & safety condition at two farm. - Reviewed the health & safety checklist form 28/Sep/2012 - Checked the result of the cooking water are meet with QCVN 01/2009/BYT, it was done on 19/Sep/2012 This nonconformity had closed with effectiveness actions</p>
		e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.	<p>NC--> Closed</p> <p>Some kitchen waste was discharged to river --> 19ct2012: Had conducted site tour about house of workers and toilet, kitchen, warehouse. that all are corrected. This nonconformity had closed with effectiveness actions</p>
		f. Ensure that the employees' housing is constructed of materials able to withstand local conditions	<p>NC--> Closed</p> <p>Farm 1: The offices' toilet was lacked of cover and other one was damaged cover Farm 6: One workers' housing is not meet basic living about the poor floor and no electric lamp. The electric wire of warehouse was connected not safety. --> 19Oct2012: Had conducted site tour about house of workers and toilet, kitchen, warehouse. that all are corrected. This nonconformity had closed with effectiveness actions</p>
7.4.2	<p>Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p>	a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b	<p>C</p> <p>Farm 1 & 6: Interview worker are good aware and full provided free PPE Farm 6: need to maintain signed worker records of receiving PEE.</p>
Footnote	[69] Hazard: The inherent potential to cause injury or damage to people's health—for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals.		
7.4.3	<p>Indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action for each</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.	<p>C</p> <p>The farm have one book to update the accidents in farm. However there is no accident from Jan/2012 up to now.</p>
		b. Ensure that corrective actions are in place as relevant	<p>C</p> <p>The farm have the corrective and preventive action procedure to maintain system. (PR-14 &15)</p>
Footnote	[70] Accidents that could not be handled in-house, the person was taken to the closest clinic		

7.4.4	<p>Indicator: Employer ensures that all permanent workers have health insurance [71]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain a list of all permanent workers</p> <p>b. Provide evidence showing health insurance coverage for all permanent workers</p>	<p>Some permanent workers had not received the health insurance (Mr. Dang Van Lit, Pham Van Thanh, Tran Thi Nhung) --> 19Oct 2012: - Checked the social insurance cards which were returned to 10 employees and 12 employees of seasonal labour were received accident insurance. NC--> Closed - Checked the status all labour contract of all employees who are working at two farm to meet with labour law. - Checked training records of Vietnam labour law for staffs and farm manager. - Interview workers, they had confirmed to received labour contract. This noncomformity had closed with effectiveness actions</p> <p>C The labour contract and available photocopy all health insurance cards of permanent workers</p>
Footnote	<p>[71] Health insurance is required for workers who are employed for >3months/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.</p>		
7.5 Criteria: Freedom of association and collective bargaining [72]			
Compliance criteria (Required Client Actions):			
Footnote	<p>[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.</p>		
7.5.1	<p>Indicator: Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74].</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.</p> <p>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 of employers or employers' organizations.</p> <p>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).</p> <p>d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.</p> <p>e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.</p>	<p>C The farm have CBA and Mr. Duong Van Trat is union chairman of Docifish company. Labour contract was maintained at the farm.</p> <p>C Interview worker good aware that.</p> <p>C CBA was approved by local labor Dept. and Trade union meeting monthly.</p> <p>C The name of union chairman and his phone number had put near the complaint box</p> <p>C CBA was approved by local labor Dept. and Trade union meeting monthly.</p>
Footnote	<p>[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.</p>		
Footnote	<p>[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.</p>		
7.6 Criteria: Discrimination			
Compliance criteria (Required Client Actions):			
	<p>Indicator: Workers do not suffer any discrimination</p>	<p>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.</p> <p>b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.</p>	<p>C Issued anti-discrimination policy however need to post this policy in farm Interview workers, no found any signal violation.</p> <p>C No found any signal violation</p>

7.6.1	<p>Indicator: Workers are not subject any discrimination [75] from the employer or other workers</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.</p>		<p>At now, No found any pregnant woman on the farm. However they have no policy for pregnant woman --> 19Oct2012: - Checked the pregnant woman policy which was issued on 10/Sep/2012. - Training records of pregnant woman policy on 11/Sep/2012. - Interview woman workers are effective aware about this policy. This nonconformity had closed with effectiveness actions</p> <p>NC-> Closed</p>
Footnote	[75] Including but not limited to: race, caste, origin, color, gender, age, disability, religion, sexual orientation, resident or migrant, union and political affiliations.			
7.7 Criteria: Fair and progressive practices toward workers(including disciplinary practices)				
Compliance criteria (Required Client Actions):				
7.7.1	<p>Indicator: Employers treat all workers with dignity and respect</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).</p> <p>b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)</p>	<p>C</p> <p>C</p>	<p>No found any signal violation</p> <p>Interview workers and no found any signal violation</p>
7.8 Criteria: Working hours				
Compliance criteria (Required Client Actions):				
7.8.1	<p>Indicator: Maximum number of regular working hours</p> <p>Requirement: 8h/day or 48h/week (although these do not have to be consecutive hours)</p> <p>Applicability: All</p>	<p>a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week</p>	<p>NC-> Closed</p> <p>C</p>	<p>Checked timesheet from Jan to Jul/2012. However it not clear about annual leave and day off per month. There is no evidence to control or monitoring the annual leave of workers. (Farm 1 & 6) --> 19Oct2012: - Checked Annual leave form of Sep/2012 - Checked training records of Viet nam labour law and records of annual leave process training for all workers. - Checked the book to monitoring the annual leave of all workers at Farm 1 & 6. - Interview workers are aware about annual leave process. This nonconformity had closed with effectiveness actions</p> <p>They have clear working plan for each farm team</p>
7.8.2	<p>Indicator: Workers have the right to leave the farm after completing the standard work-day</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p>	<p>a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).</p> <p>b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave</p>	<p>C</p> <p>C</p>	<p>Checking in interview workers so no found any signal violation.</p> <p>Labour contract was clear shown and defined.</p>
7.8.3	<p>Indicator: Minimum time off</p> <p>Requirement: Two nights/week off if residing on the farm and a total of four days/month off for all workers</p>	<p>a. Ensure that all workers residing at the farm have the right to 2 nights off/week</p>		<p>The farm have night securities plan from Jan to May/2012. It is clear. The farm 6, there is no evidence to voluntary registration of workers night's stay at farm and local registration with government. --> 19Oct2012: - Checked the application form of voluntary night staying at farm 6&1 for 18 employees of farm 1 and 10 employees of farm 6. - Checked training records of Viet nam labour law for farm manager This nonconformity had closed with effectiveness actions</p> <p>NC-> Closed</p>


<p>farm and a total of four days/month off for all workers</p> <p>Applicability: All, Farm-Wide</p>	<p>b. Ensure that all workers have at least 4 days/month off</p>	<p>NC--> Closed</p>	<p>On the timesheets, Some worker have only two or three day off per month from Jan to Jul/2012. (Farm 1) --> 19Oct2012: Checked training records of Viet nam labour law for farm manager - Checked the monitor working time sheets of each workers in Sep/2012. This nonconformity had closed with effectiveness actions</p>
	<p>c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.</p>	<p>C</p>	<p>The time sheet of six month are available.</p>
<p>7.8.4</p> <p>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)</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p>	<p>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)</p> <p>b. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.</p> <p>c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights</p> <p>d. Maintain records of payments for overtime hours</p>	<p>NC--> Closed</p>	<p>1) There is no evidence to paid salary multiplied with 3 for national day off (Hung Vuong King, 30/Apr, 1/May) (Farm 1 & 6) 2) The workers do not receive 40.000 VND salary per night guard (from Jan to May) that is not meet with minimum salary (70.000 VND) of labour law (Farm 1) --> 19Oct2012: - Checked training records of Viet nam labour law for farm manager and human resource staff at farm. - Interview workers, all workers had received the remain money of missing salary calculation of Jan to May/2012. - Checked payments records in Sep/2012 - Reviewed the new pay-slip of Sep/2012 This nonconformity had closed with effectiveness actions</p>
<p>Footnote [76] Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/ regulations and / or industry standards. Must be 120% of normal rate or higher.</p>			
<p>7.9 Criteria: Fair and decent wages</p>	<p>Compliance criteria (Required Client Actions):</p>		
<p>7.9.1</p> <p>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</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p>	<p>a. Obtain legal documents showing minimum wages for the location where the farm operates.</p> <p>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.</p> <p>c. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees</p> <p>d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.</p>	<p>C</p>	<p>Area Minimum Salary was defined 1T4 (Local Labour Dept Infoming Decree No. 70/2011/ND-CP) At now, Company had paid 2T4 monthly salary.</p> <p>The minimum salary was not covered the BNV. However the company had not calculated BNV (at now BNV of BV calculation is 1.915.000 VND for this area.) --> 19Oct2012: - Checked the document of BNV and issued on 10/Sep/2012 - interview the HR's staff about awareness of method BNV calculation This Obs had closed with effectiveness actions</p> <p>Labour contract was clear shown and defined. (2T4 monthly salary)</p> <p>The payment records was full maintained from Jan to Jul Interview worker, they feedback that all payments is on time and by cash</p>
<p>Footnote [77] Basic needs are determined by calculating the cost of the basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, and the average size of a household in a given country. Recognized representative shopping basket surveys include those undertaken by national authorities and multi-lateral developmental agencies. A basic or living wage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax payments, health care and an additional 10% discretionary income (\$A8000). 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.</p>			


Footnote	[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	C	The company new salary scheme was registered in Feb/2012
		b. Ensure that employees are aware of the mechanism used for setting wages	NC --> Closed	Interview workers, all of workers are not aware the way to overtime calculation and the company regulation, Collective Bargaining Agreement. --> It was raised NCs in 7.1.1 clause. --> Closed this NC in 7.1.1
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	C	The payment records was full maintained from Jan to Jul
		b. Maintain records of payments indicating the method of payment	C	The payment records was full maintained from Jan to Jul Interview worker, they feedback that all payments is on time and by cash
7.10 Criteria: Labor contracts				
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	NC --> Closed	Interview workers, some feedback have no received labour contract after signed labour contract with HR Dept. --> 19Oct2012: Checked training records of Vietnam labour law for staffs and farm manager. - Interview workers, they had confirmed to received labour contract. This nonconformity had closed with effectiveness actions
		b. Ensure that employees understand their labor contracts	C	Interview workers are aware about that.
Footnote	[79] Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must take place to establish that the employer and the employee understand in the same way the terms of the verbal agreement.			
7.10.2	Indicator: Maximum length of probation period stated in the contract for workers, other than farm managers and workers with an university degree Requirement: 1 month Applicability: All	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 month	NC --> Closed.	At farm 1: - The all farm workers and staffs are signed the probation contract with 3 months (at now, have two cases Mr. Lit, Mr. Thanh) - The labour contract of Ms. Tran Thi Nhung was not compliance with labour law about seasonal contract over 6 months Farm 6: All Labour contract are compliance with labour law. --> 19Oct2012: - Checked the status all labour contract of all employees who are working at two farm to meet with labour law. - Checked training records of Vietnam labour law for staffs and farm manager. - Interview workers, they had confirmed to received labour contract. This nonconformity had closed with effectiveness actions
		b. Ensure that probation times are understood by employees and respected	NC --> Closed	Same above NC 7.10.2 a
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	NC --> Closed	Same above NC 7.10.2 a
		b. Ensure that probation times are understood by employees and respected	NC --> Closed	Same above NC 7.10.2 a
7.11 Criteria: Management system				
Compliance criteria (Required Client Actions):				


7.11.1	<p>Indicator: The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain complaint boxes for employees throughout the farm.	Observation --> Closed Have one complaint box of each farm 1&6. However there is no evidence to checking this Box weekly to meet with "Quan Ly Khieu Nai" PR-18 . --> 19Oct2012: - Checked the monitoring book of each time opening the internal and external complaint box. - interview the HR's staff about contents of "Quan Ly Khieu Nai" PR-18 procedure. This Obs had closed with effectiveness actions
		b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management	C Interview workers, all of them aware the complaint procedure
7.11.2	<p>Indicator: Percentage of issues raised by workers which are registered, tracked and responded to by the employer</p> <p>Requirement: 100%</p> <p>Applicability: All</p>	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.	C They have the book to record any issue of complaint box. The farm meeting was conducted monthly with full workers attendance. (The contents of meeting related to health & safety, management farm and workers' problem)
		b. Ensure that employees have access to the register at reasonable times	C Interview workers are aware about that.
7.11.3	<p>Indicator: Percentage of complaints that are resolved[80] within one month after being received [81]</p> <p>Requirement: 90%</p> <p>Applicability: All</p>	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.	C The from Jan upto now, there is no complaint via Box. All of workers are joined monthly meeting and discussion about their problem in working. All of this will be resolved in output meeting.
		b. Record the issues being resolved in the register as for 7.11.2a	C Upto now, No complaint via box
		c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month	C Upto now, No complaint via box
Footnote	[80] Resolution of a conflict is defined as when both parties agree to remove it from the list of conflicts.		
Footnote	[81] Complaints include the ones coming from other resource users, employees and buyers (e.g., middlemen or processors).		
7.11.4	<p>Indicator: A plan for addressing the yet to be resolved conflicts is developed and complied with</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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	C Upto now, No complaint via box
		b. Ensure that the plan is adhered to	C Upto now, No complaint via box
7.11.5	<p>Indicator: Timeframe for the contracting[82] of suppliers and service providers that ensure suitable health and safety conditions for their workers [83]</p> <p>Requirement: Within 1 year from achieving certification</p> <p>Applicability: All</p>	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.	C They was signed commitment and Health & safety instruction with subcontractor
		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 the employees of suppliers and service providers who are working in the farm	C same above content.
Footnote	[82] Including either written or verbal contracts.		
Footnote	[83] As defined in these Requirements.		
7.12 Criteria: Record-keeping			
Compliance criteria (Required Client Actions):			
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>	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.	C All of records was keep comply with standard requirements.
		b. Maintain a list of all employees employed in the farm	C Full records and including the list of resigned workers.
7.13 Criteria: Participatory social impact assessment for local communities.			
Compliance criteria (Required Client Actions):			
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>	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 must be commissioned to professional experts. A new p-SIA should be conducted at least every 3-years.	C It was approved by local government and residers. This report to make by Trung tâm Nghiên cứu Tài nguyên và Phát triển nông thôn (RECERD)
		b. For large scale farms, provide evidence of the experience of the professional experts commissioned. Evidence must indicate a track record of at least 3 years conducting participatory consultations with rural communities	C p-SIA contents are clear this point.


Footnote	[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 input in process, results and outcome of such an assessment, and that steps taken and information gathered is openly accessible to all.			
7.13.2	Indicator: Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language Requirement: Yes Applicability: All	a. Maintain records of all the people having received copy of the p-SIA	C	p-SIA contents are clear this point.
		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).	C	p-SIA contents are clear this point.
Footnote	[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 allow 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.			
7.14 Criteria: Complaints by local communities				
Compliance criteria (Required Client Actions):				
7.14.1	Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied Requirement: Yes Applicability: All	a. Prepare and ensure the application of a conflict resolution policy for local communities	C	appendix of p-SIA
		b. Maintain records of all the people having received copy of the policy	C	appendix of p-SIA
		c. Obtain signatures from at least 50% of the people having received copies of the 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).	C	appendix of p-SIA
		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)	C	appendix of p-SIA
Footnote	[86] The policy shall state how conflicts and complaints will be tracked transparently and explain how to respond to all received complaints.			
Footnote	[87] The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local government and at least one civil society or customary organization chosen by the community shall have access to the conflict resolution process and the documentation thereof. A conflict is deemed resolved if both parties in the negotiation process have agreed to take it off the agenda.			
7.14.2	Indicator: Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used Requirement: Yes Applicability: All	a. Maintain complaint boxes in public locations reachable by the local community.	NC --> Closed	At the Farm 1, There is no found the local complaint Box in residence that is not meet with "a. Maintain complaint boxes in public locations reachable by the local community," and commitment in P-SIA - -> 19Oct2012: - Checked onsite location of public complaint box and agreement minutes with Ms Nguyen Thi Hanh for place to put complaint box. - Checked the monitoring book of each time opening the internal and external complaint box. This noncomformity had closed with effectiveness actions At the Farm 6 have one complaint Box OK.
		b. Retain complaint forms submitted by local communities. For first audits, records must include at least previous ≥ 6 months.	C	No found any signal violation, No any complaint of residence
		c. Provide evidence that complaints have been acknowledged to the local community (e.g. through a statement from the local community stating having received acknowledgement or acknowledgement receipts)	C	Interview residences are good comments
		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.	C	Upto now, No complaint via box and company have one book to monitor local complaint box
7.14.3	Indicator: Percentage of conflicts resolved within the date of being filed Requirement: Within 6 months 50% Within 1 year 75% Within 2 years 100% Applicability: All	a. Maintain a register of complaints as per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date	C	Refer to "Quan Ly Khieu Nai" procedure PR-18.
		b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved	C	Appendix of p-SIA and upto now no any complaint from residence.
7.15 Criteria: Preferential employment for local communities				
Compliance criteria (Required Client Actions):				


7.15.1	<p>Indicator: Evidence of advertising positions within local communities before migrant workers are hired</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain a list of all employees employed in the farm indicating also place of origin	C	Each of farm have some workers who are residence.
		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	C	Interview residences are good comments about the hiring in local.
		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	C	Have the hiring poster in local area.
7.15.2	<p>Indicator: An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities</p> <p>Requirement: Yes, if workers outside the local community are employed</p>	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 17.15.1a	C	List of workers are available
		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.	C	On the application form are confirmed polices' clearance

		A.S.C. NON-CONFORMITY REPORT	
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. a01	
File Number:	CLAUSE: 3.2.1	TEAM LEADER: DO THANH MUON	
Date: 24-Nov-2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN/ NGUYEN HUY	
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) The process of calibration instruments for measuring oxygen not prescribed frequency standard and no calibration records.			
Deadline for clearance:		22-févr-13	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 02/10/2012		Company Representative: Mr. Toi	
Root Cause Analysis Due to the oxygen meter is calibrated as recommended by the manufacturer 1 times / week. Employees do not recognize the results of calibration and not give a calibration frequency meter oxygen in the process.			
Description of the Corrective Action Corrective action: - Update frequency calibration once / week in the process of calibration instruments for measuring oxygen. Records for each calibration. Preventive action: - Maintain regular calibration done on a given frequency, calibration records. - Training of technicians for calibration procedures, frequency of calibration and calibration records.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 28-11-2012	
CLOSED			
		NO	
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 28-11-2012	

		A.S.C. NON-CONFORMITY REPORT	
BUREAU VERITAS Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. a02	
File Number:	CLAUSE: 5.2.1	TEAM LEADER: DO THANH MUON	
Date: 24-Nov-2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN/ NGUYEN HUY		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) There are many tilapia in ponds but harvesting production does not include tilapia biomass. 2) Planning and control entry of other fish in fish ponds is not effective. "			
Deadline for clearance:		22-févr-13	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 02/10/2012		Company Representative: Mr. Toi	
Root Cause Analysis 1. Due to harvest tilapia production is negligible so employees have ignored the reported production of tilapia in crop yields. 2. Net use to control escape at water intake gate have mesh size 1 cm to 1.5 cm, so Tilapia have the ability to penetrate			
Description of the Corrective Action Corrective action: 1. Record all volume of tilapia in ponds during harvest. 2. Apply fine mesh at all water intake gate for all pond at farm during culture period. Preventive action: 1. Implementation of biomass recorded trash fish including Tilapia in the next harvest in the pond. 2. Maintain fine mesh at water drain gate throughout the farming cycle. Proceed to remove completely trash fish in pond before stocking fingerling. 3. Training for farm workers on the application of these new provisions.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 28-11-2012
CLOSED		NO	
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 28-11-2012

 A.S.C. NON-CONFORMITY REPORT			
BUREAU OF AGRICULTURAL QUARANTINE AND INSPECTION COMPANY: DOCIFISH F (FARM 1 & 6)		Non Conformity No. a03	
File Number:	CLAUSE: 6.2.1	TEAM LEADER: DO THANH MUON	
Date: 24-Nov-2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN/ NGUYEN HUY		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) Scale used to weigh chemicals have no signs of periodic calibrations, calibration method and calibration tools do not match, there is no record of calibration. (Farm 1 & Farm 6). 2) List of chemical drugs and hanging instructions for safe use of drugs in chemical & medicine rooms were not approved signs (Farm 1). 3) Warehouse lime and salt: no areas identified for each products, lime sorted not be tidy (Farm 1). 4) Check the profile import, export, conservation of drugs and chemicals used, comparing results showed deficiencies in the recorded data, the lack of a drug import and export bills (Farm 6).			
Deadline for clearance:		22-févr-13	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 02/10/2012		Company Representative: Mr. Toi	
Root Cause Analysis 1. Because staffs in charge of two farm did not fully understanding the standard and company regulation sh that did not fully follow and keep involved records enough. Because new employees have not updated to change the calibration weight at the Farm 01. Farm 6 records not prevent the lid was not found during the search profile. 2. Do staff use only content MSDS approved but not using the approved copy of the MSDS was valid. 3. Order by employees and treasurer work independently of each other, the number is placed more than the number of possible storage. Prime warehouse irregular flat clean. 4. Employees perform recordkeeping is not tidy. No comparison with existing file entry.			
Description of the Corrective Action Corrective action: 1. Request company support to calibration the scales using at farms once a week, calib near the actual quantity measure, have identify calibration signal and keep all calibration records at farms. 2. Paste the list of drugs and chemical safety guidelines using approved drugs. 3. Rearrange the warehouse lime, and sorting lime and salt obviously, employee awareness. 4. Find all outstanding import bills, employee awareness, the entry of ex-type drugs - chemicals before entering the data into the export file exists, the record. (Farm 6). Request farm Manager must monthly check the records keeping at farm to ensure not missing records. Preventive action: 1. Maintain the calibration records, identify signal status, farm manager must cross check once weekly. 2. Approve all MSDS sheet whenever changed by AAH Specialist before use. 3. Remind warehouse keeper about the standard and important to follow rules, farm manager must check stock in warehouse once weekly, and when order or receive chemical. 4. Always record quantity of chemicals in-out to the forms before key in to the computer to control. 5. Training for warehouse keeper about all new regulations to follow.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 28-11-2012
CLOSED		NO	
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 28-11-2012

 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. a04	
File Number:	CLAUSE: 7.4.1	TEAM LEADER: DO THANH MUON	
Date: 24-Nov-2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN/ NGUYEN HUY		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) At chemical warehouse, There is no water for eyes washing in emergency case (Farm 1) 2) During harvesting action, there are some workers of harvesting subcontractor to smoking on the the farm while the farm regulation do not allowed somking. (Farm 6)			
Deadline for clearance:		22-févr-13	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 02/10/2012		Company Representative: Mr. Toi	
Root Cause Analysis 1. Because all the water tank are empty and maintenance staff are not checking the cock periodically. 2. Farm staff is not common rules for the subcontractor to the farm.			
Description of the Corrective Action Corrective action: 1. Procedures guiding daily check for taps at the drug store and record chemical. Make sure the tap at a drug store always has water and water quality suitable for use when necessary. 2. Popular non-smoking regulations for the home side when operating of subcontractors farm. Records confirm the subcontractor has been popular non-smoking regulations for each farm work. Preventive action: 1. Maintain the performance of periodic check faucets, keep records. 2. Maintain the performance of popular non-smoking regulations for the subcontractors on the farm when harvesting, keep records. 3. Training for farm workers on the application of these new rules. "			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 28-11-2012	
CLOSED		NO	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 28-11-2012	

		A.S.C. NON-CONFORMITY REPORT	
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 01	
File Number:	CLAUSE: 2.2.2.b	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) Farm 1 & farm 6: had Commitment letter for contribute 0.5\$/ton of fish after farm get certified to ASC environmental and social restoration fund but No evidence of confirmed of this letter from ASC.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 02/10/2012		Company Representative: Mr. Toi	
Root Cause Analysis			
1. Staff has made mistake in sending committed to ASC for confirmation.			
Description of the Corrective Action			
* Correction: 1. Company will send commitment letter to ASC for the pledged contributions			
* Preventive action: 1. Maintain its commitment to contribute fees in annual production.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
- Checked confirmation Email from ASC on Oct 09, 2012: "received a letter of commitment to contribute \$ 0.5 to ASC fund for environmental rehabilitation". This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON		SIGNED: MUON DO.	DATE: 19 Oct 2012
CLOSED		YES	



A.S.C. NON-CONFORMITY REPORT

BUREAU
VERITAS


Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 02	
File Number:	CLAUSE: 2.4.2.c,d,e	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS:HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 1: Don't have calculated weigh of fish produced in ton (only have calculated in kg) 2. Farm 1: had signed calculation of water abstracted per ton of fish produced, but result is wrong because fish quantity unit use for calculated is in kg (instead of ton)			
Deadline for clearance:		27-nov-12	
Audit Comments:			
<i>CORRECTIVE ACTION REPORT (to be completed by the Company)</i>			
Actual Clearance Date:01/9/2012		Company Representative:	
Root Cause Analysis 1. Because of not fully understanding the calculation, the staff use "kg" unit instead of "ton" unit for weigh of fish produced so that get the wrong result. 2. Lack of internal cross check the calculation.			
Description of the Corrective Action * Correction: 1. Calculate the water abstracted per ton of fish produced properly according to the annex of ASC standard. * Preventive action: 1. Train the involved staffs about the properly formula about the water abstracted per ton of fish produced 2. The technician must cross check the result before approve for all calculation in next ponds.			
<i>CLEARANCE REPORT (to be completed by BVCertification)</i>			
ACCEPTED		X YES	NO
FOLLOW-UP COMMENTS Interview the staff about this formula and check the records of calculation of water abstracted per ton of fish produced, sample check pound 6 and 9 of farm 1 found OK. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON		SIGNED: MUON DO.	DATE: 19 OCT 2012.
CLOSED		YES	




A.S.C. NON-CONFORMITY REPORT


BUREAU
VERITAS

Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 03	
File Number:	CLAUSE: 3.1.3.d,e	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY:			
1. Farm 6: had signed calculation TP for 1 harvested pond, results was not accuracy due to apply wrong formular for calculation. Technician was use fish harvesting quantity for calculation (instead of fish yield).			
Deadline for clearance:	27-nov-12		
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 01/9/2012	Company Representative:		
Root Cause Analysis			
1. Because of not fully understanding the calculation, the staff use fish harvested quantity instead of fish yield quantity so that get the wrong result. 2. Lack of internal cross check the calculation.			
Description of the Corrective Action			
* Correction: 1. Calculate the TP again according to the annex of ASC standard. * Preventive action: 1. Train the involved staffs about the properly formula about the TP. 2. The technician must cross check the result before approve for all calculation in next ponds.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED			YES
FOLLOW-UP COMMENTS			
Check records of calculation TP for harvested pond 2 of Farm 6, result found OK. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON	SIGNED: MUON DO		DATE: 19 Oct 2012
CLOSED			YES


		A.S.C. NON-CONFORMITY REPORT	
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 04	
File Number:	CLAUSE: 3.1.4.d,e	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 6: had signed calculation TN for 1 harvested pond, results was not accuracy due to apply wrong formular for calculation. Technician was use fish harvesting quantity for calculation (instead of fish yield).			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 01/09/2012		Company Representative:	
Root Cause Analysis			
1. Because of not fully understanding the calculation, the staff use fish harvested quantity instead of fish yield quantity so that get the wrong result. 2. Lack of internal cross check the calculation.			
Description of the Corrective Action			
* Correction: 1.Calculate the TN again according to the anew of ASC standard. * Preventive action: 1. Train the involved staffs about the properly formula about the TN. 2. The technician must cross check the result before approve for all calculation in next ponds.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Check records of calculation TN for harvested pond 2 of Farm 6, result found OK. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 19 Oct 2012
CLOSED		YES	

 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 05
File Number:	CLAUSE: 3.2.1.c,d	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 6: Timing for DO measure of natural water body at discharge point were not correct as standard (measure highest DO at 2-3 pm). 2. Farm 6: Calculations were previewed but it is not accurate because of time for DO measure not the same as standard guideline.			
Deadline for clearance:	27-nov-12		
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 01/10/2012	Company Representative:		
Root Cause Analisis			
1. Because the technician do not fully understand the DO testing guideline of the ASC standard, Do nhân viên thực hiện chưa tham khảo kỹ hướng dẫn đo DO theo tiêu chuẩn ASC 2. Lack of internal cross check to determine the suitable time for testing.			
Description of the Corrective Action			
* Correction: 1. Train technicians again about the DO testing method according to the annex of ASC standard, and apply for all DO test from 29 Aug2012. * Preventive action: 1. Train technicians again about the DO testing method according to the annex of ASC standard. 2. The technician must cross check the testing method and result .			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED	YES		
FOLLOW-UP COMMENTS			
Check records of DO measure from 01- 19 Oct 2012 found result OK, onsite observe and interview the Farm technician about the measure method and time to conduct the test found no deviation. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON	SIGNED: MUON DO		DATE: 19 Oct 2012.


CLOSED	YES	
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		A.S.C. NON-CONFORMITY REPORT	
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 06	
File Number:	CLAUSE: 3.3.3.b	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 1 & farm 6: some measure DO of pond discharge water was lower than 3mg/l			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 03/10/2012		Company Representative:	
Root Cause Analysis			
1. Because the technician conduct the Oxy test did not follow the guideline from catalogue of supplier when using the Oxy metter machine. 2. Có thực hiện việc đo lại kết quả sau 30 phút nhưng nhân viên không ghi nhận trực tiếp vào nhận ký ao.			
Description of the Corrective Action			
* Correction: 1. Test DO of pond discharge water must follow the instruction of supplier, must records the result right after testing. * Preventive action: 1. Train again the technician about the instruction of using the Oxy metter machine. 2. The farm manager must re-check the result and request to analysis the cause and test again when the result show out of target.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Check records of DO of pond discharge water measure from 01- 19 Oct 2012 of farm 1 and 6 found result OK, onsite observe and interview the Farm technician about the testing method found no deviation. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 19 Oct 2012	

CLOSED	YES	
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 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 07
File Number:	CLAUSE: 3.4.2.b	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 1: sludge is storing on sludge repository pond but farm don't have calculation for Sludge repository pond volume to show compliance.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 30/9/2012		Company Representative:	
Root Cause Analysis			
1. Because of not fully understanding the ASC requirements, the technician did this calculation and found conformity but did not keep the formal records.			
Description of the Corrective Action			
* Correction:			
1. Take the calculation for Sludge repository again and keep records.			
* Preventive action:			
1. Remind the technician about keeping all records according to the ASC requirement.			
2. The farm manager must cross check the records keeping weekly.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Check the records of calculation of Sludge repository pond volume for Farm 1, result found conform. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 19 Oct 2012

CLOSED		YES	
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		A.S.C. NON-CONFORMITY REPORT	
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 08	
File Number:	CLAUSE: 3.5.1.b,c	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major: X	Minor:	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 1: solid wastes (Plastic bag, empty plastic water bottle) dropping on riverside next to dike system. Farm 6: solid wastes (empty plastic water bottle, plastic bag) were burn on the bund side. 2. Farm 1 & farm 6: Solid waste management was not Implemented as management plan.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 30/9/2012		Company Representative:	
Root Cause Analisis 1. Because the staff do not aware the important of solid waste handling. 2. The training about solid waste handling for staff were not fully effectiveness. 3. The farm manager were not strictly and check about solid waste handling.			
Description of the Corrective Action * Correction: 1. Requested all staffs check and handling solid waste of all farm areas on 30 Aug 2012, the farm manager checked the result found good condition. * Preventive action: 1. Train again all staff about solid waste handling plan and the important of waste handling. 2. Make the clear plan which assign detail staffs for daily checking and handling the solid waste and keep records. 3. The farm manager must onsite inspection the farm about solid waste weekly.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			

Onsite check Farm 1 and 6 found no solid waste, check the records of solid waste collection of 01 - 18 oct 2012 found OK.
 This non conformity had closed with effectiveness actions


AUDITOR: DO THANH MUON	SIGNED: MUON DO	DATE: 19 Oct 2012
CLOSED	YES	

 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 09
File Number:	CLAUSE: 4.6.1.a,b	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. No procedure for bund monitor & maintenance.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 15/10/2012		Company Representative:	
Root Cause Analysis			
1. Because of not fully aware this requirement, the monitoring and maintenance bund were done as schedule but the technician and farm manager did not keep the involved records. 2. The bund monitor and maintenance procedure was train to all staff by verbal but did not have the written procedure.			
Description of the Corrective Action			
* Correction: 1. Request the services company supply all bund maintenance records * Preventive action: 1. Issued the written procedure of bund monitor and maintenance and forms for records. 2. Train technician staffs about this procedure and must keep bund monitor and maintenance records.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Check the procedure for bund monitor & maintenance signed on 19 Jan 2012 and records found OK. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	DATE: 19 Oct 2012

CLOSED	YES	
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 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 10	
File Number:	CLAUSE: 4.6.2.a	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. No declaration that the farm has made no intentional releases in the last 12 months			
Deadline for clearance:	27-nov-12		
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 15/10/2012	Company Representative:		
Root Cause Analysis			
1. Farm did have this declaration but because of careless keeping, the technician did not show the declaration during the audit time.			
Description of the Corrective Action			
* Correction: 1. Issue the new declaration that the farm has made no intentional releases in the last 12 months. * Preventive action: 1. Remind the technician of farm 1 and farm 6 about records keeping. 2. Plan for cross check - internal audit between farm 1 and farm 6 quarterly about implement ASC and keep records.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED	YES		
FOLLOW-UP COMMENTS			
Check the declaration that the farm has made no intentional releases in the last 12 months signed on 01 Dec 2011 found OK, interview the farm worker and residence found no deviation. This non conformity had closed with effectiveness actions			
AUDITOR: DO THANH MUON	SIGNED: MUON DO		DATE: 10 Oct 2012

CLOSED		YES	
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		A.S.C. NON-CONFORMITY REPORT	
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 11	
File Number:	CLAUSE: 5.2.1.a	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation:	COMPANY REPRESENTATIVE: Mr. TOI
DESCRIPTION OF THE NON CONFORMITY: 1. Farm 1: had average eFCR calculation for 9 harvested pond but farm was applyng wrong formular for calculation.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 01/9/2012		Company Representative:	
Root Cause Analysis			
1. Because of not fully understanding the calculation and careless technician so that get the wrong result. 2. Lack of internal cross check the calculation.			
Description of the Corrective Action			
* Correction: 1. Calculate the average eFCR properly according to the annex of ASC standard. * Preventive action: 1. Train the involved staffs about the properly formula about average eFCR calculation. 2. The technician must cross check the result before approve for all calculation in future.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			

Check the calculation method of average eFCR calculation for 9 harvested pond found OK, result eFCR of farm eFCR = 1.6 OK.
 This non conformity had closed with effectiveness actions

AUDITOR: DO THANH MUON	SIGNED: MUON DO	DATE: 19 Oct 2012
CLOSED	YES	

 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 12
File Number:		CLAUSE: 7.1.1	TEAM LEADER: DO THANH MUON
Date: 29/AUG/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) Interview workers, some workers are not aware the way to overtime calculation and the company regulation, Collective Bargaining Agreement. 2) Some workers have no received labour contract after signed with employer.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analysis			
1. Don't have annual training plan for awareness salary calculation, the company regulation, Collective Bargaining Agreement. 2. Don't have person in charge to delivery signed labour contract for employees at farm			
Description of the Corrective Action			
Correction: 1. To conducted awareness training for all workers about company regulation, collective bargaining agreement, salary calculation 2. To give the signed labour contract to workers who are not received labour contract.			
Preventive action: 1. To establish the annual training plan per year about company regulation, collective bargaining agreement, salary calculation 2. The HR's Manager is person in charge for monitoring return labour contract after signed to workers in 5 working days.			
CLEARANCE REPORT (to be completed by BV Certification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			

- Checked training records of the company regulation, Collective Bargaining Agreement and salary calculation on 3/Oct/2012
 - Company had established annual training plan per year. The last one was done on 4/Oct/2012
 - Records of receiving labour contract for 23 employees. (Farm 1) and 12 employees (Farm 6)
 - Interview workers, they have awareness about company regulation, Collective Bargaining Agreement and salary calculation
- This nonconformity had closed with effectiveness actions

AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 19/Oct/2012
CLOSED	YES	




A.S.C. NON-CONFORMITY REPORT

BUREAU
VERITAS


Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 13	
File Number:	CLAUSE: 7.4.1	TEAM LEADER: DO THANH MUON	
Date:29/AUG/2012	OTHER TEAM MEMBERS:HUYNH VAN THUAN		
Major: X	Minor:	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) Have list of risk assessment (Suc Khoe & ATLD - ASS-03). However there is evidence to periodic review the Risk Assessment for Farm 01 and 06. 2)There is no evedence to test of the drinking water and waters' cooking at the Farm 1 and Farm 06 not water's cooking test. Otherwise the meal samples was not kept 24 hours after provide meals. 3) Some kitchen waste was discharged to river at the farm 1 4) Farm 1: The offices' toilet was lacked of cover and other one was damaged cover Farm 6: One workers' housing is not meet basic living about the poor floor and no electric lamp. Otherwise,The eclectric wire of warehouse was connected not safety.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative:Mr. Toi	
Root Cause Analisys			
1. Don't have the annual plan to monitoring the condition of safety- health - environment 2. Don't have checklist to monthly checking the condition of safety- health - environment			
Description of the Corrective Action			
Correction: 1. To conducted risk assessment for working condition, to training workers the hazard working condition in new update risk assessment. 2. To test the samples of drinking water and cooking water, keep the food sample each day. 3. To collect live waste at the river of around farm, kitchen. to setup the dustbin as farm's regulation. 4. Farm 1: to repair the damaged toilet and replace the new cover toilet. Farm 6: To pasted notices "do not use this worker's house" while in repair the floor, to install the new electric line at worker's house and remove the non-safety electric wire at warehouse.			
Preventive action: 1. To established the periodic plan to assessment hazard, risk of health and safety at farm and training in practices to avoid accidents at farm 2. Planed to be test the water of cooking and drinking twice per year.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	

FOLLOW-UP COMMENTS -Checked the new risk assessment (ver 04) effected date on 02/Sep/2012 - Checked the annual plan of monitoring health &safety condition at two farm. - Reviewed the health & safety checklist form 28/Sep/2012 - Had conducted site tour about house of workers and toilet, kitchen, warehouse. that all are corrected. - Checked the result of the cooking water are meet with QCVN 01/2009/BYT, it was done on 19/Sep/2012 This noncomformity had closed with effectiveness actions		
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE:19/Oct/2012
CLOSED	YES	


 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 14
File Number:	CLAUSE: 7.4.4	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: Some permanent workers had not received the health insurance (Mr. Dang Van Lit, Pham Van Thanh, Tran Thi Nhung). All these workers had signed permanent contract (12 months)			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analysis			
1. Labour responsible staff did not understand labour law clearly			
Description of the Corrective Action			
Correction: 1. Updating insurance cards for workers who sign contract 2. Updating seasonal contract with maximum time is 6 months for Dang Van Ut 3. Updating main contract for Pham Van Thanh 4. Updating contract for Tran Thi Nhung who is old Preventive action: 1. Training labour law for labour responsible staff and farm leader			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			

- Checked the social insurance cards which were returned to 10 employees and 12 employees of seasonal labour were received accident insurance.
 - Checked the status all labour contract of all employees who are working at two farm to meet with labour law.
 - Checked training records of Vietnam labour law for staffs and farm manager.
 - Interview workers, they had confirmed to received labour contract.
- This noncomformity had closed with effectiveness actions

AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 19/Oct/2012
CLOSED	YES	


 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 15
File Number:	CLAUSE: 7.6.1	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: At now, No found any pregnant woman on the farm. However company had no issued policy for pregnant woman. There are seven female staffs working on the farm 1 and 6.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analisys			
1. Company has update policy for pregnant women as labour law in the farm			
Description of the Corrective Action			
Correction: 1. Updating this policy for pregnant women as labour law in the farm Preventive action: 1. Training this policy for woman who work in farm. Besides that, we also introduce this policy for woman when we recruit			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
- Checked the pregnant woman policy which was issued on 10/Sep/2012. - Training records of pregnant woman policy on 11/Sep/2012. - Interview woman workers are effective aware about this policy. This noncomformity had closed with effectiveness actions			
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 19/Oct/2012

CLOSED	YES	
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 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 16
File Number:		CLAUSE: 7.8.1	TEAM LEADER: DO THANH MUON
Date: 29/AUG/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: There is no evidence to control or monitoring the annual leave of workers at Farm 1 & 6. Records of working hours are noted the day off of Sunday that is annual leave.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analysis			
1. Do not have law which mention to ask leave yearly, and human resource staff did not understand labour law clearly			
Description of the Corrective Action			
Correction: 1. Updating leave ask form in farm and training for all staffs 2. Preparing working plan, and farm leader will permit workers who will leave 4 days per month			
Preventive action: 1. Training labour law for farm leader and human resource staff gradually 2. Updating annual leave days of workers gradually			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			


- Checked Annual leave form of Sep/2012
 - Checked training records of Viet nam labour law and records of annual leave process training for all workers.
 - Checked the book to monitoring the annual leave of all workers at Farm 1 & 6.
 - Interview workers are aware about annual leave process.
- This nonconformity had closed with effectiveness actions

AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE:19/Oct/2012
CLOSED	YES	

 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 17	
File Number:	CLAUSE: 7.8.3	TEAM LEADER: DO THANH MUON	
Date:29/AUG/2012		OTHER TEAM MEMBERS:HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) The farm 6&1, there is no evidence to voluntary registration of workers night's stay at farm and local temporary residence registration with government. 2) Some worker have only two or three day off per month from Jan to Jul/2012. (Farm 1)			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative:Mr. Toi	
Root Cause Analysis			
1. Farm leader did not understand labour law and local residence law			
Description of the Corrective Action			
Correction: 1. Asking workers who staying farm preparing voluntary commitment letter for this action 2. Farm leader had given permit workers 4 days off per month.			
Preventive action: 1. Training labour law for farm leader anh human resource staff gradually 2. Established the form to record daily working hours to monitoring 4 day off per month.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			


- Checked the application form of voluntary night staying at farm 6&1 for 18 employees of farm 1 and 10 employees of farm 6.
 - Checked the registered local residence of Binh Thanh police on 18/Sep/2012 (Farm1) and (farm 6) Tan Khanh Dong police on 3/Oct/2012
 - Checked training records of Viet nam labour law for farm manager
 - Checked the monitor working time sheets of each workers in Sep/2012.
- This nonconformity had closed with effectiveness actions

AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 19/Oct/2012
CLOSED	YES	

 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 18
File Number:		CLAUSE: 7.8.4	TEAM LEADER: DO THANH MUON
Date: 29/AUG/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major: X	Minor:	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: 1) There is no evidence to paid salary multiplied with 3 for national day off (Hung Vuong King day, 30/Apr, 1/May) (Farm 1 & 6) 2) The workers had received 40.000 VND salary per night guard (from Jan to May) that is not meet with minimum salary (70.000 VND) of labour law (Farm 1)			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012			Company Representative: Mr. Toi
Root Cause Analysis 1. Farm leader and human resource staff did not understand labour law clearly. 2. Updating salary mode law for working overtime			
Description of the Corrective Action Correction: 1. Paying salary for workers when they work overtime in holidays such as Independent day,... 2. Calculating and paying money for workers who work overtime Preventive action: 1. Training labour law for farm leader and human resource responsible staff. 2. Explaining every money in salary for workers			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			

- Checked training records of Viet nam labour law for farm manager and human resource staff at farm.
 - Interview workers, all workers had received the remain money of missing salary caculation of Jan to May/2012.
 - Checked payments records in Sep/2012
 - Reviewed the new pay-slip of Sep/2012
- This noncomformity had closed with effectiveness actions

AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE:19/Oct/2012
CLOSED	YES	

 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 19
File Number:	CLAUSE: 7.10.2	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: At farm 1: - The all farm workers and staffs was signed the probation contract with 3 months (at now, have two cases Mr. Lit, Mr. Thanh) that is not compliance with article 32 of Vietnam labour law. - The labour contract of Ms. Tran Thi Nhung was not compliance with labour law about seasonal contract over 6 months.			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analys			
1. Human resource responsible staff did not understand labour law.			
Description of the Corrective Action			
Correction: 1. Updating seasonal contract with maximum time is 6 months for Dang Van Ut 2. Updating main contract for Pham Van Thanh 3. Updating contract for Tran Thi Nhung who is old Preventive action: 1. Training labour law for human resource responsible staff and leader farm			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			

- Checked the status all labour contract of all employees who are working at two farm to meet with labour law.
- Checked training records of Vietnam labour law for staffs and farm manager.
- Interview workers, they had confirmed to received labour contract.

This nonconformity had closed with effectiveness actions


AUDITOR: HUYNH VAN THUAN


SIGNED: THUAN HUYNH


DATE: 19/Oct/2012

CLOSED

YES

 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: DOCIFISH F (FARM 1 & 6)		Non Conformity No. 20	
File Number:	CLAUSE: 7.14.2	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY: At the Farm 1, There is no found the local complaint Box in residence that is not meet with "a. Maintain complaint boxes in public locations reachable by the local community," and commitment in P-SIA			
Deadline for clearance:		27-nov-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analysis			
1. We did not find a good place for putting letter box			
Description of the Corrective Action			
Correction: 1. Preparing commitment letter and putting letter box in Nguyen Thi Hanh house in Ba Dang bridge, Binh My A village, Binh Thanh commune, Cao Lanh district, Dong Thap province.			
Preventive action: 1. Checking letter box 2 times/week, receiving and solving comment from community			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
- Checked onsite location of public complaint box and agreement minutes with Ms Nguyen Thi Hanh for place to put complaint box. - Checked the monitoring book of each time opening the internal and external complaint box. This nonconformity had closed with effectiveness actions			
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 19/Oct/2012
CLOSED		YES	

 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 21
File Number:	CLAUSE: 7.9.1	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor:	Observation: X	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY:			
Deadline for clearance:		27-nov-12	
Audit Comments: The minimum salary of labour law was not covered the BNW. However the company had not calculated BNW (at now BNW of BV calculation is 1.915.000 VND for this area and otherwise at now company had signed labour contract and paid salary with 2.400.000 VND per month)			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analysis			
1. We did not understand how to calculate BNW according to SA 8000-2008			
Description of the Corrective Action			
Correction:			
1. Responsible staff will calculate basic need of workers in farm			
Preventive action:			
1. Farm leader will consider basic need 1 time per year			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
- Checked the document of BNW and issued on 10/Sep/2012 - interview the HR's staff about awareness of method BNW calculation This Obs had closed with effectiveness actions			
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 19/Oct/2012
CLOSED		YES	

 A.S.C. NON-CONFORMITY REPORT			
Company: DOCIFISH F (FARM 1 & 6)			Non Conformity No. 22
File Number:	CLAUSE: 7.11.1	TEAM LEADER: DO THANH MUON	
Date: 29/AUG/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor:	Observation: X	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN TOI
DESCRIPTION OF THE NON CONFORMITY:			
Deadline for clearance:		27-nov-12	
Audit Comments: Have one complaint box of each farm 1&6. However there is no evidence to checking this Box weekly to meet with "Quan Ly Khieu Nai" PR-18. (Interview workers, there is no complaint.)			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 19/Oct/2012		Company Representative: Mr. Toi	
Root Cause Analysis 1. Staff who check letter box did not understand PR-18			
Description of the Corrective Action			
Correction: 1. Following document from checking comment letter			
Preventive action: 1. Responsible staff tries to understand PR-18			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS - Checked the monitoring book of each time opening the internal and external complaint box. - interview the HR's staff about contents of "Quan Ly Khieu Nai" PR-18 procedure. This Obs had closed with effectiveness actions			
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 19/Oct/2012

CLOSED	YES	
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