



Aquaculture Stewardship Council Audit Report for Farms Pangasius

GODACO SEAFOOD JOINT STOCK COMPANY

Date:	08-sept-12	By:	BUREAU VERITAS CERTIFICATION VIETNAM
CLIENT :	GODACO SEAFOOD JOINT STOCK COMPANY		ASSESSORS TEAM :
MAIN CONTACT (Audited person):	Mr. NGUYEN HUU NGHIA		DO THANH MUON HUYNH VAN THUAN
REPORT REFERENCE :	ASC- PANGASIUS STANDARD V 1.0	REPORT WRITING DATE :	07 & 08-Sep-2012
LEAD ASSESSOR :	DO THANH MUON	REPORT REVIEWING DATE :	20-Sep-12 & 29-Oct-12
ASSESSMENT / MISSION	INITIAL	INITIAL	
	SURVEILLANCE		
	COMPLEMENTARY /SUPPLEMENTARY		
<u>Summary:</u>			
Farms located in a good positions for Aquaculture developing area, beside that farm also have a good management system and all hardware was in food condition. However ASC Pangasius is a new standard and quite difference with other present farming standard especially with environment & social criteria, so that some non-conformity points were found and it will help farm to improve management system.			
<u>Background on the Applicant Farm:</u>			
THANH LONG PANGASIUS FARM of GODACO SEAFOOD JOINT STOCK COMPANY is a new certifier and not yet certify by other standard.			
<u>Scope:</u>			
STANDARD	ASC Pangasius Standard Version 1.0 - Jan 2012		
Activity & scope of the audit:	Aquaculture opratations for Pangasius		
Species :	Pangasianodon hypophthalmus / Pangasius hypoththalmus		
Description of receiving water body :	Mekong River - Tien Giang Branch		

Audit Plan:

Desk reviews and other activities undertaken before or after any site visits.

Preview of Internal Audit checklist, Fish Health Plan, Quality Manual & all calculations 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 of site :	THANH LONG PANGASIUS FARM
	Address :	Thanh Long Hamlet, Thanh Thoi A Commune, Mo Cay Nam District, Ben Tre Province, Viet Nam
	Contact :	Mr. NGUYEN HUU NGHIA
	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):	* GODACO Manager brand: Mr. Nguyen Van Dao - General Director, Mr. Le Son Tung - Vice General Director. * Farm Staff: Ms. Cao Nhat Thanh Hang - farm manager & AAH Specialist, Mr. Dang Hien Ben - Farm vice manager, Mr. Nguyen Huu Nghia - Quality control department, Mr. Nguyen Ngoc Lan - Quality control department, Ms. Bui Thi Van An - farm technician, Ms. Ngo Thi Thu Van - farm technician,
	Date & Duration of the visit :	07 & 08 Sep 2012

Previous Audits (if applicable):

NA

Findings

	PREVIOUS ASSESSMENTS REVIEW			CURRENT ASSESSMENT CONCLUSION		
	Number	NON-CONFORMANCES REFERENCES	Open/closed	Number	NON-CONFORMANCES REFERENCES	Open /closed
Observations	NA	NA	NA	2	OB-SC11 / OB-SC12	Closed
Minor NC	NA	NA	NA	8	NC-EV1/NC-EV2/NC-EV4/NC-EV5/NC-EV6/NC-EV7/NC-EV8/NC-EV10	Closed
Major NC	NA	NA	NA	2	NC-EV3 / NC-SC9	Closed
Summary of Conditions :	All non-conformities had been closed & waiting for certification decision.					

Evaluation Results:

Please refer to the annex : Audit Grid attached

Non-conformity Report(s)

Please see non-conformity reports 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 were good.
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	
Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter	<p>Products included in the scope of certification detailed in this report may enter further certified chains of custody and are eligible to apply to carry the ASC label.</p> <p>Considerations for the decision:</p> <p>- Tracking, tracing and segregation systems within the aquaculture operation: THANH LONG PANGASIUS FARM of GODACO SEAFOOD JOINT STOCK COMPANY keeps all records related to the origin of fish such as grow out pond and fingerling supplier. THANH LONG PANGASIUS FARM owned by GODACO SEAFOOD JOINT STOCK COMPANY at the moment, all product harvested is processed at GODACO SEAFOOD JOINT STOCK COMPANY (same legal entity – GODACO SEAFOOD JOINT STOCK COMPANY). This factory are also certified ASC CoC by Bureau Veritas Certification, audited on Oct 2012. The information related to the origin of the fish are sent to the GODACO SEAFOOD processing Factory with the transportation documents.</p> <p>- Use of transshipment: Have no transshipment. The both farms use well-boat in order to transport the harvested fish to the processing Factory directly from the farm.</p> <p>- Eligible operators and point(s) of landing: There are only one point of harvesting at farms and a unique point of landing at the GODACO SEAFOOD processing Factory.</p> <p>- The opportunity of substitution of certified with non-certified product within the unit of certification: There is no chance of substitution and only certified products are produced by the same legal entity (GODACO SEAFOOD JOINT STOCK COMPANY)</p> <p>- Point from which Chain of Custody certification is required: Chain of custody certification is required after harvested when fish is received at Docifish processing Factory which also owned by Docifish Corporation and already certified ASC CoC by Bureau Veritas Certification, audited on Oct 2012.</p> <p>This determination will remain in force until revised by the CAB in a subsequent audit.</p>			

<p><i>Describe points of change of ownership after which chain of custody certification is needed</i></p>	<p>The scope of the certification includes the growing, harvesting. Coc certification is required from the point of first sale to the processing plan.</p> <p>Retrospective Approval of the products harvested bearing the ASC logo, is currently being applied for. A variation request to the ASC requirements has been done by Bureau Veritas Certification to ASC In order not to penalised the client for the delay of certification due to Accreditation process timeline and delays, Bureau Veritas Certification recommends for GODACO that the products harvested after the closing of all non-conformities (from the 22 october 2012) can be commercialized as ASC certified products and bear the ASC label once the ASC certificate is issued. Bureau Veritas Certification request the ASC approval for this recommendation. The final decision and approval os still outstanding</p>
CERTIFICATION DECISION	
<p>BUREAU VERITAS CERTIFICATION determines that all the requirements of the standard are sufficiently met and has certified THANH LONG PANGASIUS FARM of GODACO SEAFOOD JOINT STOCK COMPANY</p> <p>A certificate has been issued for the scope specified in the section "scope" above in the report . Any outstanding non-conformities and their status are listed in the section "Findings" above in the report.</p>	
Date of issuing:	11 january 2013
Date of expiring:	10 January 2016
Scope of the certificate:	Aquaculture opratations for Pangasius
List of all outstanding non-conformities:	All Non conformities raised on initial audit are closed
<u>Non-conformity Report(s)</u>	
<i>Please see non-conformity reports attached</i>	
<u>Confidential data for commercially sensitive information</u>	
<p><i>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.</i></p>	

CERTIFICATION DECISION

BUREAU VERITAS CERTIFICATION determines that all the requirements of the standard are sufficiently met and has certified GODACO Farm.

A certificate has been issued for the scope specified in the section "scope" above in the report .
Any outstanding non-conformities and their status are listed in the section "Findings" above in the report.

Date of issuing:	11 january 2013
Date of expiring:	10 January 2016
Scope of the certificate:	Aquaculture opratations for Pangasius
List of all outstanding non-conformities:	All non-conformities had been closed
<u>Non-conformity Report(s)</u>	
<i>Please see non-conformity reports attached</i>	
<u>Confidential data for commercially sensitive information</u>	
<p><i>This report doesn't contain confidential information . No information have been removed from the report for confidential reasons. Bureau Veritas had been agree the content of commercially sensitive information with the applicant.</i></p>	

AUDIT GRID - ASC Pangasius Standard
Created by the Pangasius Aquaculture Dialogue

Scope: *Pangasianodon hypophthalmus, Pangasius bocourti*

<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: • 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> <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>All criteria issues must be checked, for all the audited sites</p>	CONFIRMITY	COMMENTS -RATIONALE
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PRINCIPLE 1. LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS	C	Major NC	Minor NC	NA
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1.1 Criteria: *Local and national regulations*

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
1.1.1	Indicator: Presence of all pertinent permits and registrations required by local and national authorities	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.	X			Farm has "Land owner Certificates" for 16 lots issued by Ben Tre Province with total land area 93,328 square meter. Certificate of lot 1 to 10 were issued on 17 Jun 2010 and Land use permission will be finish on Aug 2022; Certificate of lot 11 to 16 were issued on 31 Aug 2011 and Land use permission will be finish on 26 Apr 2032. All "Land owner Certificates" have permission for aquaculture farming.
	Requirement: Yes	b. Obtain an aquaculture farming licence (as applicable).	B. Verify farm has aquaculture farming licence (as applicable).	X			Decision 920/UBND-KTN issued 19 Mar 2010 and 4481/UBND-KTN by Ben Tre People's Committee confirmed that "Thanh Long Pangasius Farm - GODACO Company" (tax code 1200575021) have permission for aquaculture farming.
	Applicability: All	c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).	X			Business license number 1200575021 first issued on 11 may 2007, 2nd revised on 26 Sep 2011.
		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.	X			There is a Statement from Ben Tre People's Committee signed on 30 Aug 2012 confirm that Pangasius farming don't have to paid any fee of water allocation for water abstraction & water discharge.
1.1.2	Indicator: Presence of documents proving compliance with pertinent tax laws	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]	X			- Land renting fee: one per year, payment was done at the end of each year, has payment receipt for year 2011. - Water abstraction & water discharge: free (see 1.1.1d)
	Requirement: Yes	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.	X			Interview Mr. Ben - Farm vise manager: good aware of tax law applying for aquaculture farming.
		Instruction to Clients for Indicator 1.1.3 - Showing Compliance with Water Discharge Regulations					
1.1.3	Indicator: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations	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).	X			Had a statement by a fully independent ISO 17025 accredited laboratory "Trung tam do dac va Phan tich moi truong Phuong nam - VILAS 533" showing that their staff collected intake & discharge water samples, samples was collect on 10 Apr 2012
	Requirement: Yes	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).	X			Water testing was done by ISO 17025 accredited lab "Trung tam do dac va Phan tich moi truong Phuong nam - VILAS 533"
	Applicability: Ponds	c. Submit relevant legal documents showing compliance.	C. Verify compliance. If (a), (b) or (d), then enter 'not applicable' for (c).	X			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).			X	NA
1.1.4	Indicator: Presence of documents proving compliance with local and national legal regulations on land and water use	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.	X			See 1.1.1
	Requirement: Yes	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.	X			See 1.1.1
	Applicability: All	c. If the farm operates in a country and region with no permitting system for land and water use, provide documentary evidence (e.g. letter from authorities) attesting to this fact.	C. As applicable, review evidence to confirm that the farm does not need permits for land and water use in the country and region of operation.			X	NA, see 2.4.1.b

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	C	Major NC	Minor NC	NA
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2.1 Criteria: *Meeting official development plans*

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):			
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2.1.1	Indicator: Farms [4] located in approved aquaculture development areas Requirement: Yes Applicability: All	a. Provide a detailed map of the farm with at least 4 GPS coordinates.	A. Review map to confirm farm location and accuracy of GPS coordinates. If possible, verify spatial information using Google Map, satellite images or similar means.	X				Farm GPS 10° 02' 32"N, 106° 18' 19"E 10° 02' 24"N, 106° 18' 26"E 10° 02' 27"N, 106° 18' 20"E 10° 02' 27"N, 106° 18' 14"E
		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.	X				There is a Statement (749/SNN-NTTS) from Ben Tre Agriculture & rural resource development Department signed on 31 Aug 2012 confirm that "Thanh Long Pangasius Farm - GODACO Company" are located on approved aquaculture development areas of Ben Tre Province.
		c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	C. Verify farm is located in an approved aquaculture area. If there are no such areas, auditor response is 'not applicable'.	X				See 2.1.1.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	Indicator: For ponds [5], evidence [6] that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion Requirement: Yes Applicability: Ponds established after August 31, 2010	a. Provide a declaration that identifies the month and year of farm construction, and specify dates of any subsequent farm expansions.	A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010.	X				- Farm has finish construction after 31 Aug 2010
		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).	X				There is a Statement from People's Committee of Thanh Thoi A Commune signed on 10 Apr 2012 confirm that Land of "Thanh Long Pangasius Farm - GODACO Company" was agriculture or aquaculture land for more than 10 years.
		-	C. Verify accuracy of (a) and (b) above during interviews with local community members to confirm there is no evidence for conversion of wetlands or any other ecosystem (other than agriculture or aquaculture land) as applicable under Indicator 2.2.1.	X				Local community interview: land is agriculture or aquaculture land for more than 10 years.
Footnote	[5] For Ponds established after the publication of the PAD standards.							
Footnote	[6] From government organizations.							
2.2.2	Indicator: Evidence that a contribution of at least USD \$0.50 per ton of fish produced has been paid to the environmental and social restoration fund [7] annually Requirement: Yes Applicability: All	a. Submit a signed letter to the ASC committing to pay a contribution to the fund for all certified fish harvested from the day of first certification.	A. Verify the farm has signed a letter stating commitment to contribute to the fund.	X				Commitment letter to say that farmer contribute 0.5\$/ton/year after certification and confirmation of receiving by ASC, sighted commitment letter & send email to ASC dated 23/08/2012.
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.	X				There is a confirmed E-mail from ASC
		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.	X				Fund is not yet established.
Footnote	[7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered.							
2.2.3	Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies Requirement: Yes Applicability: Ponds established after August 31, 2010	a. Provide a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010.	A. Verify the farm has made a declaration.	X				There is a declaration that farm has not discharge earth into common water bodies during farm construction.
		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.	X				- There is a construction contract with Phuong Tuyen Ltd Company signed on 13 Jul 2012 with requirement that earth during farm construction with use to build bund system and not allow to discharge earth into common water body. - There is a Statement from People's Committee of Thanh Thoi A Commune signed on 10 Apr 2012 confirm that "Thanh Long Pangasius Farm - GODACO Company" was not discharge earth into common water bodies during farm construction.
		-	C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.	X				Local community interview: during farm construction, there is no earth discharge into common water bodies.
Footnote	[8] For ponds established after the publication of the PAD standards.							
Footnote	[9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users.							
2.2.4	Indicator: Evidence [10] of no negative impacts on endangered species [11] Requirement: Yes Applicability: All	a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.	A. Review search results for adequacy and completeness.	X				There is a Scientific Report done by Aquafish Company and technical expert from Nong Lam University about the "Identification of endangered / IUCN red list species at Thanh Long Pangasius Farm" with content including: - Identification of endangered species may appear at Mekong delta area in comparing with IUCN list. - Identification of endangered species may appear at Thanh Long Pangasius Farm location in comparing with IUCN list. - Risk assessment for all farming practice that can be 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.	X				Source & accuracy confirmed.
		c. Prepare a list of all endangered species occurring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2).	C. Review list for completeness. Compare with results from search of IUCN database for red list species (see 6.6.2).	X				There is a 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.
		d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	D. Review procedures for adequacy.	X				Procedure was available & adequate.
		-	E. During local community interviews, verify there is no evidence that: - the farm is presently having a negative impact on endangered species - the farm has recently had a negative impact (since August 2010).	X				Community interview: - Farm is presently having no impact on endangered species - Farm has recently had no negative impact (since August 2010). "

3.1.1	<p>Requirement: 20 kg/t</p> <p>Applicability: Pens and Cages</p>	<p>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).</p>	<p>C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable).</p>				X	NA, Pond
		<p>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).</p>	<p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.</p>				X	NA, Pond
		<p>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).</p>	<p>E. Review farm's calculations to confirm the farm complies with the Requirement.</p>				X	NA, Pond
Footnote	[19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).							
		Note: see instructions for Indicator 3.1.1						
3.1.2	<p>Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.</p> <p>Requirement: 70 kg/t</p> <p>Applicability: Pens and Cages</p>	<p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Confirm the farm has complete and accurate records for feed used.</p>				X	NA, Pond
		<p>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).</p>	<p>B. Verify the farm has obtained declarations for TN content in feed.</p>				X	NA, Pond
		<p>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).</p>	<p>C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).</p>				X	NA, Pond
		<p>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).</p>	<p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.</p>				X	NA, Pond
		<p>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).</p>	<p>E. Review farm's calculations to confirm the farm complies with the Requirement.</p>				X	NA, 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							
		Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged						
3.1.3	<p>Indicator: Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)</p> <p>Requirement: 7.2 kg/t</p> <p>Applicability: Ponds</p>	<p>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</p>	<p>A. Confirm the laboratory is suitably qualified and briefed to conduct water sampling and analyses.</p>				X -->NC Closed	<p>- Lab testing had been done a fully independent ISO 17025 accredited laboratory "CASE - Center of Analytical Services and Experiment HCMC - VILAS 092"</p> <p>- Samples were collect by lab staff on 22 May 2012, have record of detail water sampling requirement with signature but it doesn't have confirmed stamp of the laboratory.</p> <p>=> 29 Oct 2012: checking "water sampling report for testing of TP" with lab stamp as requirements. Checking record of Training for Technical staff aware of the requirements of the ASC standards related to clause 3.1.3</p> <p>This non conformity had closed with effectiveness actions</p>
		<p>b. Obtain laboratory results for TP concentration in pond water samples and intake water samples.</p>	<p>B. Review laboratory results for TP concentration.</p>	X				Testing methods were correct
		<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.</p>	<p>C. Review accuracy of farm's data.</p>	X				Daily record of discharge water for each pond, had signed calculation. Check record of pond 2 & 9, data were accuracy.
		<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.</p>	<p>D. Review farm's calculations to confirm accuracy.</p>	X				Available of signed calculation for all pond, check calculation of pond 2 & 9, calculation were accuracy.
		<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.</p>	<p>E. Review farm's calculations of average TP to confirm compliance with the Requirement.</p>	X				Farm's calculations of average TP discharge was <7.2 kg / ton of fish produced.
		Note: see instructions for Indicator 3.1.3						
3.1.4	<p>Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D)</p> <p>Requirement: 27.5 kg/t</p> <p>Applicability: Ponds</p>	<p>a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.</p>	<p>A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.</p>				X -->NC Closed	<p>- Lab testing had been done a fully independent ISO 17025 accredited laboratory "CASE - Center of Analytical Services and Experiment HCMC - VILAS 092"</p> <p>- Samples were collect by lab staff on 22 May 2012, have record of detail water sampling requirement with signature but it doesn't have confirmed stamp of the laboratory.</p> <p>=> 29 Oct 2012: checking "water sampling report for testing of TN" with lab stamp as requirements. Checking record of Training for Technical staff aware of the requirements of the ASC standards related to clause 3.1.4</p> <p>This non conformity had closed with effectiveness actions</p>
		<p>b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.</p>	<p>B. Review laboratory results for TP concentration.</p>	X				Testing methods were correct
		<p>c. For each pond, identify the total weight of fish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.</p>	<p>C. Review accuracy of farm's data.</p>	X				Daily record of discharge water for each pond, had signed calculation. Check record of pond 2 & 9, data were accuracy.
		<p>d. Enter the values from b and c (above) into the Total TN discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TN discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.</p>	<p>D. Review farm's calculations to confirm accuracy.</p>	X				Available of signed calculation for all pond, check calculation of pond 2 & 9, calculation were accuracy.

		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.	X			Farm's calculations of average TN discharge was <27.5 kg / ton of fish produced.
3.2 Criteria: Measuring water quality in receiving water body							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
3.2.1	<p>Indicator: Percentage change in diurnal dissolved oxygen [22] (DO) of receiving waters [23] relative to DO at saturation for the water's specific salinity and temperature. An exception is made for ponds that discharge water with TN and TP lower than the TN and TP of the intake water respectively (see DO measurement methodology in Annex D)</p> <p>Requirement: <=65%</p> <p>Applicability: All</p>	a. Provide DO measurements .	A. Review dataset to confirm that monitoring covers the required timeframe.	X			Available of DO measure one per two week, during 9 months.
		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.	B. Verify the farm technicians calibrate equipment as required.	X			One device use measure DO & temperature, salinity was measure by another device. Technician was calibrated device manually before witness measure.
		c. Calculate percent change in DDO for each monitoring date using the equation in Annex D.	C. Review calculations to confirm accuracy.	X			Checking data & formula for individual calculations, results were accuracy.
		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.	D. Confirm the average percent change in DDO is ≤ 65%.	X			Check the average percent change in DDO during 9 month, result is < 65%.
		e. Arrange to take DO measurements while the auditor is at the farm.	E. Witness the farm measuring DO to confirm compliance with procedures. On-site values should fall within range of farm data for DDO. If an out of range measurement is observed, raise a non-conformity.	X			Auditor has witness farm staff to measure DO at 5:30 am & 4:30pm: measure method was apply following standard guideline & DDO results were within range of value of previous 9 months.
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.						
		Instruction to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet					
3.3.1	<p>Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D).</p> <p>Requirement: 100%</p> <p>Applicability: Ponds</p>	a. Provide laboratory results for TP in water samples from inlet and outlet.	A. Review laboratory results for TP.	X			Farm has 7 harvested pond, two ponds were sampling for testing of TP. Check results for TP measure in pond 4 & 5 on 22 may 2012, it were OK.
		b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above.	B. Review calculations to verify accuracy.	X			Check TP calculations for pond 4 & 5, all were accurate
		c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.	C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.	X			Check TP calculations for ponds 4 & 5, all were <100%.
		d. Provide evidence of the on-site visit for the sampling of pond effluents for TP and TN by staff from the accredited laboratory.	D. Review visit evidence for sampling for TP and TN to confirm compliance with procedures.	X			Witness Lab staff sampling inlet & outlet water samples for TP testing: sampling method was compliance with standards guideline.
		Note: see instructions for Indicator 3.3.1					
3.3.2	<p>Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN measurement methodology and TN discharge formula in Annex D).</p> <p>Requirement: 70%</p> <p>Applicability: Ponds</p>	a. Provide laboratory results for TN in water samples from inlet and outlets.	A. Review laboratory results for TN.	X			Farm has 7 harvested pond, two ponds were sampling for testing of TN. Check results for TN measure in pond 4 & 5 on 22 May 2012, it were OK.
		b. For each pond, calculate the percent change of TN between inlet and outlet on each sampling day using the equation shown above.	B. Review calculations to verify accuracy.	X			Check TN calculations for pond 4 & 5, all were accurate
		c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period.	C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity.	X			Check TN calculations for ponds 4 & 5, all were <70%.
		d. During the on-site visit, arrange for the auditor to observe sampling of pond effluents for TP and TN.	D. Witness sampling for TP and TN to confirm compliance with procedures.	X			Witness Lab staff sampling inlet & outlet water samples for TN testing: sampling method was compliance with standards guideline.
Footnote	[25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.						
Footnote	[26] Outlet: The actual water being discharged, not the receiving water.						
		Instruction to Clients for Indicator 3.3.3 - Measuring DO in Water Discharged					
3.3.3	<p>Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)</p> <p>Requirement: 3 mg/l</p> <p>Applicability: Ponds</p>	a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months	A. Review dataset to confirm that monitoring covers the required timeframe.	X			Measure DO of waste water channel near discharge point 1/week. Measure was done from 15 Dec 11 to 31 Aug 12: all was ≥ 3 mg/l
		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.	B. Confirm DO in water discharged by farm is ≥ 3 mg/l. If any single value falls outside limits, raise a non-conformity.	X			There is no single value fall under 3 mg/l.
		c. During the on site visit, make arrangements for the auditor to observe calibration of equipment and measurements.	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.	X			On-site visit: observe farm technician calibrates equipment and takes DO measurements, all was compliance.
3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
Footnote	[27] For cage culture, there are no requirements for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly.						
3.4.1	<p>Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	A. Review the farm's sludge management plan.	X			Farm had sludge management plan "SSOP 7, ver 1, issued 01 Dec 11" which is modify that the sludge will be transfer to fruit garden next to farm. Sludge in ponds were schedule for emptying one per two month & after harvesting.
		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.	B. Review records to confirm appropriate disposal according to plan.	X			These are sludge disposal records for all pond, check record of two harvested pond: pond 2 & 9, have record of date, volume of sludge disposal & storing destination.
		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.	C. If yes to (c), confirm farm has appropriate documentary evidence.	X			- There are contracts with three household next to farm that sludge with be disposal into fruit garden, sludge will use to made fertilizer. - Available of sludge disposal volume calculation of all ponds for one cycle and calculation of all sludge storing area volume. Checking these calculation showing conformity.
		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).	D. If yes to (d), inspect sludge repository during on-site visit.	X			On-site visit: there are fruit gardens nearby with some area already have sludge on.

		-	E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems	X				Community interview: no evidence of farm discharge sludge directly into receiving waters on natural ecosystems.
Footnote	[28] "The complex of a community and its environment functioning as an ecological unit in nature." More simply, it's both living and non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems							
		Instruction to Clients for Indicator 3.4.2 - Size of Sludge Repository						
	Indicator: Evidence of a sludge repository of appropriate size (See Sludge Repository formula in Annex D)	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						
3.4.2	Requirement: Yes	a. Provide calculations showing the sludge repository is of appropriate size.	A. Review farm's calculations to verify accuracy. Confirm compliance.	X				Sludge is pumping to fruit garden next to farm. Calculate sludge volume for all ponds compare with sludge storing area: result is conformity
	Applicability: Farms managing the sludge using a repository	b. Provide evidence of legal access to the sludge repository (see 3.4.1c).	B. During on-site visit, inspect the farm's sludge repository.	X				On site visit: Found fruit gardens next to farm with some areas already had sludge.
3.5 Criteria: Waste management								
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):				
3.5.1	Indicator: Evidence of farm solid wastes being discharged into the natural environment	a. Prepare a plan for farm solid waste management. The plan may encompass other forms of farm-generated wastes (see 3.4.1, 3.5.2, 3.5.3, and 3.5.4).	A. Review the farm's solid waste management plan.	X				There is a Solid wastes management plan - SSOP 7 and it is include management plan for all kind of wastes (see 3.4.1, 3.5.2, 3.5.3, 3.5.4).
	Requirement: None	b. During the on-site visit, arrange for the auditor to inspect the farm's solid waste management system.	B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.	X				On-site visit: no evidence of solid wastes discharged into the natural environment surrounding the farm.
	Applicability: All	-	C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	X				- Empty feed bag, Empty chemical & medicine waste: send back to supplier, available contract & receipt. - Household garbage: collect & treatment by sub-contractor: available contract & receipt.
3.5.2	Indicator: Evidence of human and animal solid wastes being discharged into the natural environment	a. During the on-site visit, give the auditor a general description of the farm's system for removal of human and animal solid waste. Allow the auditor to inspect.	A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment.	X				No evidence of human & animal solid waste discharge into the environment.
	Requirement: None	b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).	B. Verify that emptying and maintenance follow the schedule.		X	-->NC Closed		* No schedule for empty & maintenances of septic toilets. => 29 Oct 2012: check maintenance plan septic toilets at farm, sanitation regulations (SSOP 3). Accordingly, the 3-year / time will hire sub-contract to empty septic toilet tank sludge, daily cleaning and checking of septic toilet. Checking record of Training for Maintenance staff aware of the requirements of the ASC standards related to clause 3.5.2, training had been done on 5 Oct 2012 This non conformity had closed with effectiveness actions
	Applicability: All	c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance.	C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that emptying and maintenance follow the schedule.		X	-->NC Closed		Septic toilets inspect: no evidence of leakage or direct discharge into the natural environment. However, there is no record of Septic toilets aintenances following schedule. => 29 Oct 2012: Checking Records of daily cleaning & maiternace from 15 Sep 2012 to 15 Oct 2012: cleaning & maiternace had been done daily following schedule. This non conformity had closed with effectiveness actions
		d. Provide evidence for burial of animal feces (as applicable).	D. Inspect site to verify that the farm buries any animal feces (if applicable).				X	NA, No animal at farm.
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).	X				Contract available.
3.5.3	Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment	a. Prepare a plan for farm management of chemical and medicine wastes.	A. Review farm's plan for management of chemical and medicinal wastes.	X				There is a plan for chemical & medicine waste treatment - SSOP 7. All chemical and medicinal wastes was collect & send back to supplier.
	Requirement: None	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.	X				On-site inspect: no evidence of chemical & medicine wastes discharge into the natural environment.
	Applicability: All	-	C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	X				Farm has storing room for chemical & medicine wastes. Available receipts of chemical & medicine wastes collect by suppliers.
		Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish						
3.5.4	Indicator: Evidence of proper disposal [30] of dead/moribund fish	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.	X				Farm has plan for disposal of dead/moribund fish - SSOP 7: all dead/moribund fish will be burial.
	Requirement:: Yes	b. <u>burial, incineration, fermentation</u> : plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).	X				There are some areas for dead/moribund fish burial with lime cover above and no evidence of pollution.
	Applicability: All	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).				X	NA, 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).				X	NA, no use dead/moribund fish for production of fishmeal or fish oil
		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).				X	NA, no use dead/moribund fish to made feed for other animals.
		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).				X	NA, all dead/moribund fish was burial.
		-	G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.	X				On-site inspect & worker interview: confirm disposals plan was followed.
Footnote	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production of fish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the							
3.6 Criteria: Energy consumption								

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):						
3.6.1	<p>Indicator: Information available on the following variables (per year per farm in the certification unit):</p> <ul style="list-style-type: none"> - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method. 	<p>a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>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).</p>	<p>A. Review calculations. Verify the farm keeps records of energy consumption.</p> <p>B. Verify the farm maintains accurate records of mortalities and disposals.</p>	X				Available of fuel buying receipts for 8 months.	
				X				There are records of dead fish quantity daily for all ponds & full crop.	
PRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS				C	Major NC	Minor NC	NA		
4.1 Criteria: Presence of pangasius in the water drainage system									
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):						
		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.							
4.1.1	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p>a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.</p> <p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p> <p>c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).</p> <p>d. If the species is not indigenous and has a self-recruiting stock established in the river basin, provide documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references on multiple incidences of different age classes at different times and location) indicating that the stock was self recruiting before 1st January 2005.</p> <p>-</p>	<p>A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.</p> <p>B. Review map to confirm farm location within river basin.</p> <p>C. Confirm that documentation shows the farmed species is indigenous to the river basin.</p> <p>D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.</p> <p>E. Verify the identity of the farmed species by direct observation during on-site visit.</p>	X				There is a declarations from seed supplier "Trung Tam Giong Thuy San An Giang" (GlobalG.A.P. certified) that fingerling species is "Pangasianodon hypophthalmus"	
				X				GPS checking on map, showing farm located in Mekong river basin.	
				X				Farmed species is indigenous to Mekong river basin There are copies of FAO report (Sauvage, 1878) and Scientific Magazine of Can Tho University issued 2008	
							X	NA, Farmed species is indigenous to river basin	
				X				Check Species during on-site visit showing conformity.	
4.1.2	<p>Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33]</p> <p>Requirement: Yes</p>	<p>a. Provide documentary evidence: peer-reviewed papers, official government (competent authority) statements or other comparable references indicating no negative impacts.</p> <p><i>Negative impact by a self-recruiting stock includes but is not restricted to:</i></p>	<p>A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.</p>				X	NA, Farmed species is indigenous to river basin	
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								
Footnote	[33] Peer-reviewed papers, official government (competent authority) statements or other comparable references are necessary as evidence.								
4.1.3	<p>Indicator: If the species is not indigenous and does not have a self-recruiting stock established, evidence that the species cannot establish in the river basin [34]</p> <p>Requirement: Yes</p>	<p>a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.</p>	<p>A. Review evidence provided by the farm to confirm that the farmed species cannot establish in the river basin.</p>				X	NA, Farmed species is indigenous to river basin	
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	<p>Indicator: Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p>a. 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).</p> <p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p> <p>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.</p> <p>d. For all seed purchases, maintain sufficient records (e.g. receipts) to identify the river-basin source of broodstock. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.</p> <p>B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river basin.</p> <p>C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.</p> <p>D. Verify that sourcing of seed is in compliance with the Requirement.</p>	X				See 4.1.1.c	
				X				See 4.1.1.b	
				X				- All seed that had been purchase from hatcheries "Trung Tam Giong Thuy San An Giang" with declarations that the species is Pangasianodon Hypophthalmus. - There is a Certificate from "Vien Nghien Cuu Nuoi Trong Thuy San II" that the Parents fish use for breeding at "Trung Tam Giong Thuy San An Giang" is Pangasianodon hypophthalmus species and it has original from Mekong river basin.	
				X				Checking fingerling source of pond 2 & pond 9- farm: 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	<p>Indicator: Allowance for use of wild-caught seed for grow out</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Provide a declaration that the farm does not use wild-caught seed for grow out.</p> <p>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).</p> <p>c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Verify declaration of no wild-caught seed for grow out.</p> <p>B. Verify that farm has statements from seed suppliers.</p> <p>C. Verify the farm maintains accurate records for sourcing of seed.</p>	X				There is a declaration signed by farm manager on 20 may 2012 confirm that farm does not use wild-caught seed for grow out.	
				X				There is a statement from seed supplier that no use of wild-caught seed.	
				X				Available records for source of seed stock for each individual pond. Check record of pond 2 & 9: showing conformity.	
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	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.	X			There is a declaration signed by farm manager on 20 May 2012 confirm that farm does not use genetically engineered or hybrid seed for grow out.
	Requirement: Yes Applicability: All	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.	X			There is a statement from seed supplier that no production & sale of engineered or hybrid seed.
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 4.5 Criteria: Escapees.							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
4.5.1	Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape	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.	X			Farm checking fish size: one per week, there are records of fish size for all ponds. Check fish size record of pond 2 & 9: record available for full crop.
	Requirement: Yes Applicability: All	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.	X			There are records of mesh size for all ponds. Check mesh size record of pond 2 & 9: record available for full crop.
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)	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.	X			There are record of mesh size checking & maintenances for all ponds. Check record of pond 2 & 9: mesh checking maintenance had been done daily for full crop.
	Requirement: Yes Applicability: All	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.	X			See 4.5.2.a
		c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.	X			on-site inspect: ask for farm staff to made diving for mesh checking at pond 9, it is showing compliance.
4.5.3	Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs	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.	X			There is a statement of Ben Tre's Hydrography Agency with record of maximum height water when flooding occurs during last 10 years of "Co Chien River" (Farm location).
	Requirement: Yes Applicability: Ponds	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).	B. Review statement and map. During the on-site visit, inspect farm to verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.	X			- There is a statement of Ben Tre's Hydrography Agency reporting the altitude (m above sea level) of the bund in its lowest point. - On-site inspect: there is a precast concrete point done by Ben Tre's Hydrography Agency. Check & compare with the statement: showing conformity.
		c. Provide a written statement that there were no incidents of significant spillage or escapement due to flooding in the last 12 months.	C. During local community and employee interviews, verify there is no evidence for significant spillage or escapement from the farm in the last 12 months.	X			Local community interview: no incident of fish escape.
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	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)	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).	A. Review how the farm uses trapping devices to monitor escapees. Verify that trapping devices do not injure/compromise fish (e.g. gill nets).	X			Trap was place only in wastes water channel with mess size 0.5cm
	Requirement: Yes Applicability: All	b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.	B. Review records of inspection and observed escapees.	X			Daily check, record are available for full crop.
		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).	C. Review the suitability of any actions taken by the farm to reduce escapement.	X			No escape found but procedure have guideline for action when escape fish had been found (Thu Tuc Kiem soat Xong Thoat, ver 1, issued 01/12/11
		-	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.			X ->NC Closed	On-site inspect: - Trap was placed only in wastes water channel and no trap place at water supply channel. - Witness farm staff to check the trap: it is working properly. => 29 Oct 2012: check picture traps placed in the canal water supply system and intake water pipes. Checking record of Training for technical staff aware of the requirements of the ASC standards related to clause 4.5.4, training had been done on 3 Oct 2012 This non conformity had closed with effectiveness actions
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	Indicator: Evidence that the bund has remained intact [41] throughout the culture cycle	a. Prepare a procedure for the monitoring and repair of damaged bunds.	A. Review farm's procedure for bund monitoring and repair.	X			There is a procedure for bund monitoring and repair. Bund had been checking daily.
	Requirement: Yes Applicability: All	b. Maintain a record of bund monitoring and repair that identifies date of damage detection and when the farm initiated and completed repairs.	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.	X			There are bund checking & maintenance records daily for full crop.
		c. During the on-site visit, arrange for auditor to inspect farm's bunds.	C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.	X			On-site check: bund system was in good condition.
		-	D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.	X			Community interview: no evidence of bun collapsed.
Footnote [41] Has not been affected in such a way to allow the escape in part or all of the farmed stock.							
4.6.2	Indicator: Evidence assuring there has been no intentional release [42]	a. Prepare a declaration that the farm has made no intentional releases in the last 12 months.	A. Review declaration to confirm compliance.	X			There is a declaration signed by Farm Manager on 20 May 2012 confirm that Farm does not made intentional releases in the last 12 months.
	Requirement: Yes	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.	X			Check record of pond 2 & 9: seed import record, daily dead fish record, harvesting receipt, results were conformity.

	Applicability: All	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.	X					Review annual production summary showing conformity.
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								
PRINCIPLE 5. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED				C	Major NC	Minor NC	NA		
5.1 Criteria: Sustainability of feed ingredients									
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):					
5.1.1	Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed Requirement: No Applicability: All	a. Maintain records (e.g. receipts) for all purchases of commercial feed in the last 12 months. For first audits, farm records must cover ≥ 6 months. b. If any farm-made feed was used, provide a description of ingredients and preparations. Maintain evidence of purchase (e.g. receipts) or ownership of all ingredients. For first audits, farm records must cover ≥ 6 months. -	A. Review farm records for commercially sourced feeds. B. Review ingredients to verify that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish). C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.	X				X	There are feed purchases receipt from Sep 2011 to Aug 2012. Feed use is GODACO feed (GlobalG.A.P. certified) NA, no use of farm-made feed. Only GODACO 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	Indicator: Use of pangasius fish processing by-products [44] as feed or feed ingredients Requirement: No Applicability: All	a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at any time during the last 12 months. b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site. c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used as feed ingredients. If fish meal or fish oil was used, obtain a statement from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish processing were used as feed for pangasius. B. Review manufacturer's declaration to confirm no pangasius by-products were in feed. C. Review farm documentation to confirm that no pangasius by-products were used in feed preparation (if applicable).	X	X			X	Only compound feed from GODACO Vinh Long company was used, which is declaration are available. There is a declaration from feed producer "GODACO Vinh Long Ltd. Company" on 25 Jan 2012 that no use of pangasius by-product and no use of fish meal content species in IUCN as ingredient for feed. NA, no use of farm-made feed.
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								
Instructions to Clients for Indicator 5.1.3 - Confirm there are no IUCN Red List Species in Feed									
5.1.3	Indicator: Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46] Requirement: Yes Applicability: All	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site. b. Verify that none of the species identified in 5.1.3(a) are in "threatened categories" on the IUCN Red List of Threatened Species. 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.	A. Confirm that farm has records of ingredients from all commercially sourced feeds. B. Repeat search of IUCN database to verify that farm obtained an accurate result. C. Confirm that farm has provided sufficient evidence of compliance.	X	X			X	- There is a declaration from feed producer "GODACO Vinh Long Ltd. Company" on 25 Jan 2012 that no use of Pangasius by-product and no use of fish meal content species in IUCN & CITES as ingredient for feed. - Farm has record types of feed use for full crop. Search of IUCN database and verify fish species which were use as fish meal ingredient provide by GODACO Vinh Long Feed producer, result showing compliance. NA, 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.								
5.1.4	Indicator: Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II and III [47] Requirement: Yes Applicability: All	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site b. Determine if any species identified in 5.1.4(a) is listed in CITES appendix I, II, or III by doing the following: - go to http://www.cites.org/eng/resources/species.html - select option "Species", enter genus and species, and click "find it" c. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, obtain a statement from the respective supplier confirming compliance.	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. B. Repeat search of CITES database to verify that farm obtained an accurate result. C. Confirm that farm has provided sufficient evidence of compliance.	X	X			X	- Only compound feed from GODACO Vinh Long company was used - There is a declaration from feed producer "GODACO Vinh Long Ltd. Company" on 25 Jan 2012 that no use of pangasius by-product and no use of fish meal content species in IUCN & CITES list as ingredient for feed. Search of CITES database and verify fish species which were use as fish meal ingredient provide by GODACO Vinh Long Feed producer, result showing compliance. NA, no use of farm-made feed
Footnote	[47] http://www.cites.org/eng/app/appendices.shtml								
5.1.5	Indicator: ISEAL-certified fishmeal and fish oil products must be used in feed Requirement: Within 3 years of becoming available in a region Applicability: All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only	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 a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site. b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.	A. Confirm that farm has statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). B. Review evidence and confirm compliance.	X				X	NA, ISEAL-certified fish meal & fish oil are not available in the region. NA, ISEAL-certified fish meal & fish oil are not available in the region.
5.1.6	Indicator: ISEAL certified fishmeal and fish oil products must be used in feed Requirement: Within 5 years from the publication date of the PAD standards	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. b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5.	A. Confirm that farm obtains information about feed ingredients. B. Review evidence and confirm compliance.					X	NA, ISEAL-certified fish meal & fish oil are not available in the region. NA, ISEAL-certified fish meal & fish oil are not available in the region.
5.1.7	Indicator: Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation's (IFFO) "Responsible	Instruction to Clients for Indicator 5.1.7 - FishSource Score of Products Used in Feed 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. 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.	A. Verify that farm obtains information about feed ingredients. B. Review FS scores and IFFO certification for species used in feed. Cross check against species listed in feed supplier declarations (see 5.1.3a).					X	NA, ISEAL-certified fish meal & fish oil are not available in the region. NA, ISEAL-certified fish meal & fish oil are not available in the region.
5.2 Criteria: Efficient management of feed use on the farm									
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):					

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>	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.	X			There are seed record for all ponds. Check pond 2 & 9: have records for full crop.
		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.	X			There are seed record for all ponds in farm diary. Check pond 2 & 9: have records for full crop.
		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).	C. Verify the farm keeps records showing amount of fish harvested.	X			There are harvesting record of & harvested pond, pond 9 during audit. Check harvesting receipts of pond 2 & 9, results was conformity.
		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).	D. Review calculations for accuracy and completeness.	X			There are eFCR calculations for 7 harvested ponds. Check all calculation were correctly, eFCR was <1.68
		e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.	E. Review calculations for accuracy. Confirm compliance.	X			Check average eFCR of all harvested ponds, eFCR <1.68
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>	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.	A. Verify that farm obtains information about percent inclusion of fish meal and fish oil for all feed types.	X			There is a statement from feed supplier on 25 Jan 2012 for feed meal & fish oil content in feeds as below: - 22%P: fish meal 5.0%, fish oil 0% - 26%P: fish meal 5.5%, fish oil 0% - 28%P: fish meal 5.5%, fish oil 0% - 30%P: fish meal 6%, fish oil 0%
		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	B. Review calculations to verify accuracy. Confirm compliance.	X			There are FFER calculations for 7 harvested pond. Check all calculation were correctly, FFER was <0.5
PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety				C	Major NC	Minor NC	NA
6.1 Criteria: Mortalities							
		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>	Instructions to Clients for Indicator 6.1.1 – Calculating Average Real Percentage Mortality (RPM)					
		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).	A. Review receipts. Confirm that farm records are sufficient to determine number of seed stocked into each enclosure.	X			- There are fingerling purchase receipts for each pond. - Fingerling stocking for each pond had been record on the farm diary. - Check pond 2 & 9: compare record on farm diary & fingerling purchase receipt, data were accuracy.
		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).	B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.	X			Available harvesting receipt for 7 harvested ponds. Checking harvesting record of pond 2 & 9, record detail with number of harvested days, harvesting quantity for each day, quantity of each transportation boat per day.
c. Calculate the weighted average of the Real Percentage Mortality (see above) using the formula given in Annex D of the Pangasius Standard. Provide calculations to the auditor.	C. Review farm's calculations to verify accuracy. Confirm that average real percentage mortality is ≤ 20%.	X			* Preview RPM calculation: - Individual pond RPM, all were < 20% - Average farm's RPM < 20%		
6.2 Criteria: Veterinary medicines and chemicals							
		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.	X			* There are 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.
		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).	X			* Use of any veterinary medicines, chemicals and biological products record on farm diary. * Check record of pond 2 & 9: record available for full crop.
		c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.	X			There is medicine & chemical supplier lists 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.	X			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.	X			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 for this purpose) (for 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.	F. Review list (as applicable).	X			List of countries export were available with the chemical & medicine substance banned.
		g. For each country identified in 6.2.1f (or 6.2.1g 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.	X			List of countries export was 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.	X			There are list of export market no. 1471/QĐ-BNN-QLCL issued 20/06/2012 and 2864/QĐ-BNN-QLCL issued 14/11/2011 by Vietnam Department of Agriculture & Rural Development.
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.	X			There are record of each prescriptions for all pond at farm. Check record of pond 2 & 9: Record of all prescriptions were available for full crop.
		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.	X			For each treatment, prescriptions were approved by AAH Specialist. Check record of pond 2 & 9, all records info were compliance.
		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.	X			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.	X			AAH specialist Ms. Cao Nhat Thanh Hang had Bachelor degree for fish health Doctor and a training course on Aquatic Health Management Specialist for ASC Compliance.
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:							
Footnote: [56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.							

6.2.3	<p>Indicator: Follow the aquatic animal health specialist recommendations on: 1- how to apply the veterinary medicine and chemicals prescribed 2- how to handle & store the veterinary medicines and chemicals prescribed 3 - who needs to be informed about the disease and how 4 - how to limit the spread of the disease to neighboring wild or farmed populations</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<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</p>	<p>A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.</p>	X				Health events was check during the Audit: compliance
		<p>b. Provide a declaration that the farm followed the recommendations of the aquatic animal health specialist.</p>	<p>B. Review farm's declaration to confirm following recommendations of the AAH Specialist.</p>	X				Farm's declaration was checked: compliance
		-	<p>C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.</p>	X				On-site visit, checking storage of Medicines & chemical: the storage was apply following AAH Specialist's recommendations.
		-	<p>D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.</p>	X				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>A. Review records from all withdrawals.</p>	X				Records of all withdrawals on farm diary. Check record of Pond 2 & 9: showing compliance.
		<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>B. Review labels and completion dates of withdrawal periods.</p>	X				Check record of pond 2 & 9: Compare control of withdraw period time with product label guideline, results were conformity.
		<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>C. Evaluate evidence to verify that no fish were harvested before completion of withdrawal period.</p>	X				Check harvesting record of pond 2 & 9, results were conformity.
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>A. Review list of antibiotics used.</p>	X				There is a list of all antibiotics used at farms issued 01 Dec 2011.
		<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>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>	X				* There is a copy of WHO list of antibiotics critical to human medicine at farm. * Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine, result showing conformity.
		<p>c. Provide the up-to-date list of the WHO [57]</p>	<p>C. Verify farm holds an up-to-date copy of the WHO list [57]</p>	X				Farm has holds an up-to-date copy of the WHO list
		-	<p>D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p>	X				On-site checking: compliance.
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							
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>A. Verify farm holds declaration</p>	X				There is a declaration of AAH specialist on 20 May 2012.
		<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, 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>B. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.</p>	X				Verify the AAH Specialist declaration: compliance
		-	<p>C. Verify farm maintains records of all purchases of veterinary medicines.</p>	X				Medicine purchase receipts were records.
		-	<p>D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.</p>	X				On-site check: conformity
		-	<p>E. Reconcile the quantities purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.</p>	X				Records of medicines use were checked & compared with purchased quantity & inventory quantity held on-site: conformity
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>	X				Verify AAH specialist declaration on 20 May 2012: conformity
		-	<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>	X				Records of medicines use were checked & compared with purchased quantity & inventory quantity held on-site: conformity
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>A. Review health plan for compliance with Annex E.</p>	X				Health Plan is available & covering all points in annex E and it had been implemented at the farm.
		<p>b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist.</p>	<p>B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.</p>	X				Health Plan is reviewed & signed by AAH specialist Ms. Cao Nhat Thanh Hang.
		<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>C. Confirm that health plan reviewed, updated, and approved every 12 months. For first audits, the response is 'not applicable'.</p>				X	N/A, first farming cycle
		-	<p>D. During on-site visit, verify that the plan is implemented and effective.</p>	X				On-site check: 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>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>A. Verify the farm maintains purchase records.</p>	X				See 6.2.6.c
		<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>B. Verify the farm maintains records showing withdrawal times at the grow-out facility.</p>	X				See 6.2.4.a
		<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 chemicals used at the grow-out facility. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>C. Verify the farm maintains relevant declarations from the AAHS at the grow-out facility.</p>	X				Check AAH prescriptions: conformity

	Applicability: All	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.	X				There are declarations from seed supplier for chemicals or veterinary medicines that were used in production of seed.
6.4.2	Indicator: Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated Requirement: Yes Applicability: All	a. For all stocking events in the last 12 months, obtain a signed letter from the seed supplier reporting: - the source, size and quality of seed supplied; - the date supplied; - a description of any external signs of abnormalities at the time of sale; - list of veterinary medicines, chemicals and biological products used in earlier life stages (i.e. used at any time from spawning onwards); and - results of pathogen testing following legislation (as applicable). For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains records for seed quality as required.	X				* There are records for seed import to individual pond. * Check record of pond 2 & 9: available record of seed import checking for quantity & quality as requirement. * There are declarations from seed supplier for chemicals or veterinary medicines that were used in production of seed.
6.4.3	Indicator: Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept Requirement: Yes Applicability: All	a. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify: - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-parasites, fin erosion, etc); and - number of dead fish. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review daily records to confirm that all reporting elements are included. Verify compliance.	X				Daily monitoring record on Farm diary. When fish have symptom of disease or increasing of mortality, AAH specialist will made diagnostic & record on AAH prescription.
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).							
Instructions to Clients for Indicator 6.4.4 - Establishing a Threshold for the Reporting of Mortality Events								
6.4.4	Indicator: All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist Requirement: Yes Applicability: All	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). 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). c. Describe how the threshold was established in the farm's Pangasius Health Plan (see 6.3.1). 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.	A. Review daily mortality records.	X				Daily mortality records available on farm diary.
			B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events.	X				AAH Specialist has reviewed daily mortality records & signed on farm diary.
			C. Review the proposed mortality threshold in the farm's Pangasius Health Plan to confirm compliance with requirements.	X				Proposed mortality threshold is done by surveying of 32 ponds of Godaco farms.
			D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements.	X				Review reporting records and cross-check against daily mortality records: compliance
6.5 Criteria: Fish welfare.								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
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								
6.5.1	Indicator: Minimum average growth rate Requirement: 3.85 g/day Applicability: All	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). 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). c. Calculate the average growth rate of fish in each enclosure as described above (see instructions). d. Using results of 6.5.1c, calculate the farm-wide weighted average AGR.	A. Verify farm maintains records of the weight of fish stocked in each enclosure.	X				Weight of fish stocked were recorded on farm diary for each pond.
			B. Verify farm maintains records of the weight of fish harvested from each enclosure.	X				Weight of harvested fish record on the harvesting receipt.
			C. Review calculations to confirm accuracy and completeness.	X				AGR Calculations were available for 7 harvested pond. Check calculations, result were ≥ 3.85 g/day
			D. Verify that the farm-wide weighted average AGR complies with requirements.	X				Farm Average AGR of 7 harvested ponds > 3.85 g/day.
6.5.2	Indicator: Maximum fish density at any time Requirement: 38 kg/m2 for ponds and pen Applicability: Ponds and Pens	a. Provide a plan of the farm showing surface area (m ²) of each enclosure. 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). 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). 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).	A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.	X				Surface area for each Pond was record on farm map & farm diary.
			B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.	X				Available harvesting receipt for 7 harvested ponds. Checking harvesting record of pond 2 & 9, record detail with number of harvested days, harvesting quantity for each day, quantity of each transportation boat per day.
			C. Review calculations for fish density at harvest to verify compliance.	X				There are Maximum fish density calculation for 7 harvested pond. Check all calculations, results were ≤38 kg/m2.
			D. Review monthly estimates of fish density to verify compliance.	X				Review monthly estimates of fish density: compliance
6.5.3	Indicator: Maximum fish density at any time Requirement: 80 kg/m3 for cages Applicability: Cages	a. Provide a description of the system specifying the total number of cages and volume (m ³) of each cage. 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). c. For each cage, divide the weight of fish harvested (result from 6.5.2b) 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). 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).	A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.			X		NA, Pond
			B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.			X		NA, Pond
			C. Review calculations for fish density at harvest to verify compliance.			X		NA, Pond
			D. Review monthly estimates of fish density to verify compliance.			X		NA, Pond
6.6 Criteria: Predator control								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
6.6.1	Indicator: Use of lethal predator [61] control Requirement: No Applicability: All	a. Prepare a list of all predator control devices and their locations. -	A. Review list.	X				Only rat traps are applied at farm, No use of other lethal devices.
			B. Inspect sites to verify no use of lethal predator controls.	X				Only rat traps are applied at farm, No use of other lethal devices.
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							
Instruction to Clients for Indicator 6.6.2 - Presence of IUCN Red Listed Species								


6.6.2	Indicator: Mortality of IUCN red listed species. Requirement: 0 (zero) Applicability: All	a. Perform analysis. Record all IUCN red listed species occurring in the area of the farm.	A. Repeat analysis to verify that client obtained an accurate result.	X			There is a Scientific Report done by Aquafish Company and technical expert from Nong Lam University about the "Identification of endangered / IUCN red list species at Thanh Long Pangasius Farm" with content including: - Identification of endangered species may appear at Mekong delta area in comparing with IUCN list. - Identification of endangered species may appear at Thanh Long Pangasius Farm location in comparing with IUCN list. - Risk assessment for all farming practice that can be danger to these species. - Apply new farming practice in order to have no negative impact on endangered species.
		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.	B. Verify that farm procedures are appropriate and implemented (as applicable).	X			See 6.6.2.a
		-	C. During local community interviews, verify there is no evidence of the farm causing mortality of IUCN red listed species [also see Indicator 2.2.4(E)].	X			Community interview: - Farm is presently having a negative impact on endangered species - Farm has recently had a negative impact (since August 2010).
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.				C	Major NC	Minor NC	NA
PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO COMMUNITY DEVELOPMENT AND POVERTY ALLEVIATION.							
7.1 Criteria: Labor law							
Compliance criteria (Required Client Actions):							
7.1.1	Indicator: Compliance with labor laws in the country where pangasius is produced Requirement: Yes Applicability: All	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.				X -->NC Closed	- Company had issued CBA (Collective Bargaining Agreement) on 6/Nov/2009 - Company regulation issued 11/May/2007 but it was not approved by local labour Dept (refer to Article 82 of labour law) Correction: Issued New Company regulation on Sep 30th, 2012, in which there are some new supplemental policies for Company employees. This new regulation is sent to local labor department for their approval.
		b. Ensure that the farm and all employees on the farm comply to the labor regulations.	X				Interview workers, workers are aware the way calculation and the company regulation, Collective Bargaining Agreement.
7.2 Criteria: Child labor [62] and young workers [63]							
Compliance criteria (Required Client Actions):							
Footnote	[62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is set at 14 years of age in						
Footnote	[63] Young worker: Any worker between the age of child as defined and under the age of 18.						
7.2.1	Indicator: Minimum age of workers Requirement: Yes Applicability: All	a. Maintain a list of all employees employed in the farm indicating date of birth		X			Farm : Have 24 employees, the youngest worker is Ms. Ngo Thi Thu Van (was born on 1/May/1989) 24 years old
		b. Maintain copies of the official ID of all the employees listed showing date of birth		X			All employees have official ID card meet with the list and labour contract.
		c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]		X			Hiring procedure and hiring posted are clear this issue.
		d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.		X			Shown on the hiring poster and company policy
7.2.2	Indicator: For workers under 18 years old 1 - Work does not jeopardize schooling 2 - Work, when added to the hours of schooling, does not exceed 10 hour/day 3 - Work is restricted to light work [64]	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		X			The farm have no any employees under 18 years old
		b. Maintain records of schooling commitments of each employee younger than 18 years old		X			-
		c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover ≥ 6 months.		X			-
		d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm		X			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						
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						
7.3.1	Indicator: Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68] Requirement: Yes Applicability: All	a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment		X			Company had signed the labour contract for all employees
		b. Ensure that workers' rights as indicated in this Requirement are duly respected.		X			All workers' 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		X			Interview workers that some feedback have received labour contract after signed labour contract with HR Dept.
		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		X			Checked payments and interview workers
		e. Ensure that no employee is obligated to work at the farm to repay debt		X			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						
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		X			Have list of risk assessment "Danh Gia Rui Roi, Tac Dong Moi Truong He Thong ASC (GDC-MT).
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed		X			The farm have emergency procedure (GDC-GAP for 7 SOP (Water control, chemical control, human health control, food poisoning, mud spill out river, waste control, Hygiene control...))
		c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards		X			The HR manager was conducted training all SOP on 27/Apr/2012 at Farm


7.4.1	<p>Indicator: The employer provides a non-hazardous working and living environment</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>d. Ensure that employees have constant access to potable/safe drinking water</p>			X -->NC Closed	<p>- To conducting test of the waters' cooking. (Farm on 22/May/2012)</p> <p>- Company free provide 100% drinking water bottle for workers</p> <p>- The meal samples was not kept full 24 hours after provide meals</p> <p>- The cook had not The cook had not health checked health comply with Decision No. 41/2005/QĐ-BYT</p> <p>Correction : 1) At first, starting to keep food during 8 hours to determine any cause if any food poisoning happens. After farm is equipped a refrigerator, food will be kept in 24 hours. 2) Arrange time for the Cook to come and do health check in compliance with Decision no. 41/2005/QĐ-BYT. Adding content of health check for the Cook into periodical health examination plan. Then follow and monitor the implementation.</p>
		<p>e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.</p>	X			<p>Some kitchen waste was discharged to dustbin</p>
		<p>f. Ensure that the employees' housing is constructed of materials able to withstand local conditions</p>			X -->NC Closed	<p>- Farm have two toilets, it comply with basic need of human</p> <p>- The guard's house was not meet with basic need sleeping place for workers</p> <p>- The employees' house need to provide light by employer</p> <p>Correction : 1) Rearrange the sleeping place for farm workers. Accordingly, workers shall just rest in 2 main sleeping places. For the guard's house, only arrange hammock for workers who have night shift. 2) Equip charging light for farm workers.</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>	<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>	X			<p>Farm: Interview worker are good aware and full provided free PPE. Need to maintain signed worker records of receiving PEE. --> OBS</p> <p>Correction: Improve the management of providing material and PPE to workers. Accordingly, when providing material and PPE to workers, signature of each worker who is provided material and PPE must be obtained and forward to material management department to keep file. File must be also kept at farm.</p>
Footnote	<p>[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.</p>					
7.4.3	<p>Indicator: The employer records accidents, events, injuries, and take preventive and corrective action for each</p> <p>Requirement: Yes</p>	<p>a. Maintain records of of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.</p>	X			<p>The farm have one book to update the accidents in farm. However there is no accident from Jan/2012 up to now.</p>
Footnote	<p>[70] Accidents that could not be handled in-house, the person was taken to the closest clinic</p>					
7.4.4	<p>Indicator: Employer ensures that all permanent workers have health insurance [71]</p> <p>Requirement: Yes</p>	<p>a. Maintain a list of all permanent workers</p>	X			<p>Permanent workers had received the health insurance cards.</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</p>					
Footnote	<p>7.5 Criteria: Freedom of association and collective bargaining [72]</p>					
Footnote	<p>Compliance criteria (Required Client Actions):</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</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>	X			<p>The farm have CBA and Mr. Tran Nhut Quang is union chairman of GODACO company. Labour contract was maintained at the farm. Interview worker good aware that. CBA was approved by local labor Dept. and Trade union member joined meeting monthly at farm. have the complaint box in farm and it is opened once per week CBA was approved by local labor Dept. and Trade union member joined meeting monthly at farm.</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</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</p>					
Footnote	<p>7.6 Criteria: Discrimination</p>					
Footnote	<p>Compliance criteria (Required Client Actions):</p>					

7.6.1	<p>Indicator: Workers do not suffer any discrimination [75] from the employer or other workers</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<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>X -->NC Closed</p>	<p>Have not issued anti-discrimination policy and posted this policy in farm. Interview workers, no found any signal violation. Correction: To add some content to the Terms of farms and widely publicized to the entire staff of the farm. Accordingly, for pregnant women, to Thursday will be considered appropriate work arrangements in the factory system of the Company. Farm rules will also update the content on anti-discrimination in terms of gender, age, ethnicity, religion, occupation, work, ... Add some new contents to the Farm policy. It must be widely publicized to the entire farm staffs. Accordingly, for pregnant women in 5th month of pregnancy, they will be assigned appropriate work in one of company processing plants. Farm policy will be also updated some new contents of anti-discrimination in gender, age, ethnicity, religion, occupation, job, ...</p>
		<p>b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.</p>	X			No found any signal violation	
		<p>c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.</p>			X -->NC Closed	<p>At now, No found any pregnant woman on the farm. However they have no policy for pregnant woman --> same above correction at 7.6.1.a</p>	
<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.</p>							
<p>7.7 Criteria: Fair and progressive practices toward workers(including disciplinary practices)</p>							
Compliance criteria (Required Client Actions):							
7.7.1	<p>Indicator: Employers treat all workers with dignity and respect</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>	X				<p>No found any signal violation</p> <p>Interview workers and no found any signal violation</p>
<p>7.8 Criteria: Working hours</p>							
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>				X -->NC Closed	<p>Checked timesheet from Jan to Aug/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. --> Same NC 7.8.3 Correction: Monthly timesheet will show working days, day-off on Sunday, annual leave. After that, total annual leave of each worker will be summarized and shown on annual leave timesheet of worker.</p>
7.8.2	<p>Indicator: Workers have the right to leave the farm after completing the standard work-day</p>	<p>a. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week</p> <p>b. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).</p> <p>c. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave</p>	X	X			<p>They have monitoring working hours for each employees (8h/day)</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>Applicability: All, Farm-Wide</p>	<p>a. Ensure that all workers residing at the farm have the right to 2 nights off/week</p> <p>b. Ensure that all workers have at least 4 days/month off</p> <p>c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.</p>				X -->NC Closed	<p>The farm had conducted night securities but have not record to control of hours in night guard to meet with 2 night off/week. Correction: Weekly, farm manager is responsible for drafting night-guard plan (Overtime hours) to make sure that total night-guarding hours of each worker doesn't exceed 12 hours/week, and not exceed 2 night continuous shifts per week, daily overtime hours (night-guarding hour) not exceed 4 hours</p> <p>Checked timesheet from Jan to Aug/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. --> Same correction as above</p>
7.8.4	<p>Indicator: Overtime hours</p> <p>1- Are voluntary</p> <p>2- do not exceed a maximum of 12 hours per week</p> <p>3- occur on an exceptional (not regular) basis</p> <p>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:</p> <ul style="list-style-type: none"> - 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>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>	X	X		X -->NC Closed	<p>1) There is no evidence to paid salary multiplied with 3 for national day off (Hung Vuong King, 30/Apr, 1/May)</p> <p>2) There is no evidence to payment salary for workers when conducted night guard on the pay-slip</p> <p>Corrections: Starting from October 2012 (for salary on September/2012), adjust monthly timesheet of farm, in which normal working days, holidays, overtime hours (night guard) are shown in detail. Company wage accountant will adjust the pay slip for each worker in which shows in detail payables for workers such as salary for normal working days, salary coefficient, salary for overtime hours (night guard), ... like payroll.</p> <p>The time sheet of six month are available.</p> <p>Labour contract was clear shown and defined comply with Vietnam labour law.</p> <p>Payment records was full maintained from Jan to Aug/2012</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>							
Compliance criteria (Required Client Actions):							
		<p>a. Obtain legal documents showing minimum wages for the location where the farm operates.</p>	X				<p>Area Minimum Salary was defined 1T9 (Local Labour Dept Infoming Decree No. 70/2011/NDCP) At now, Company had paid 3T375 monthly salary.</p>


7.9.1	<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>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>				X -->NC Closed	<p>The minimum salary was not covered the BNV. However the company had not calculated BNV (at now BNV of BV calculation is 2.215.000 VND for this area.) Correction: Proceed the calculation for minimum life requirement for each worker basing on cost survey in area. Then, this report can be sent to Company Board of directors to consider and increase wage when signing labor contract with farm workers on October 2012.</p>
		c. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees	X				Labour contract was clear shown and defined. (1T9 monthly salary)
		d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.	X				The payment records was full maintained from Jan to Aug interview worker, they feedback that all payments is on time and by cash
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						
Footnote	[78] For guidance and methods for basic needs wage calculation, see SA8000 Guidance Document.						
7.9.2	<p>Indicator: Workers have the right to know the mechanism for setting the wages and benefits</p>	<p>a. Provide a declaration stating the mechanism used for setting wages</p> <p>b. Ensure that employees are aware of the mechanism used for setting wages</p>	X				The company new salary scheme was registered in Feb/2012
			X				Interview workers, all of workers are aware the way to overtime calculation
7.9.3	<p>Indicator: Wages shall be paid in cash or in a manner most convenient to workers</p> <p>Requirement: Yes</p>	<p>a. Maintain records of the preferred method of payment for each employee</p> <p>b. Maintain records of payments indicating the method of payment</p>	X				The payment records was full maintained from Jan to Aug 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	<p>Indicator: Workers have copies of, and can understand, their labor contract [79]</p>	<p>a. Ensure that employees have copies of their labor contracts</p> <p>b. Ensure that employees understand their labor contracts</p>	X				Interview workers, feedback have received labour contract after signed labour contract with HR Dept.
			X				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						
7.10.2	<p>Indicator: Maximum length of probation period stated in the contract for workers, other than farm managers and workers with a university degree</p>	<p>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</p> <p>b. Ensure that probation times are understood by employees and respected</p>	X	X			All labour contracts were signed with workers follow Viet Nam Labour Law. Worker interview: good aware of probation period.
7.10.3	<p>Indicator: Maximum length of probation period stated in the contract for farm managers and workers with a university degree</p>	<p>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</p> <p>b. Ensure that probation times are understood by employees and respected</p>	X	X			All Labour contract are compliance with labour law. Same above contents
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>	<p>a. Maintain complaint boxes for employees throughout the farm.</p> <p>b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management</p>	X				Have one complaint box at farm. However there is no evidence to checking this Box weekly to meet with "Giai Quyet Khieu Nai" GDC-ASC. --> OBS Correction: Proceed the application of approved procedure of claim receiving and solution to farm. Accordingly, weekly, personnel department will coordinate with a representative of farm workers to open the complaint box. The proceeding procedure must be kept in written document with all signatures of all participants.
			X				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>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.</p> <p>b. Ensure that employees have access to the register at reasonable times</p>	X	X			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) Interview workers are aware about that.
7.11.3	<p>Indicator: Percentage of complaints that are resolved within one month after being received [81]</p> <p>Requirement: 90%</p>	<p>a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.</p> <p>b. Record the issues being resolved in the register as for 7.11.2a</p> <p>c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month</p>	X	X			The from Jan up to 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. Up to now, No complaint via box Up to 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>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</p> <p>b. Ensure that the plan is adhered to</p>	X	X			Up to now, No complaint via box Up to 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>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.</p> <p>b. For subsequent audits, ensure that all health and safety conditions as indicated in these Requirements (i.e. within Criteria 7.1, 7.2 and 7.4) are respected by all the</p>	X	X			They was signed commitment and Health & safety instruction with subcontractor 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>a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Maintain a list of all employees employed in the farm</p>	X	X			All of records was keep comply with standard requirements. 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>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.</p> <p>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</p>	X	X			It was approved by local government and residents. This report to make by AQUAFISH TECHNOLOGY LTD, 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						

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	a. Maintain records of all the people having received copy of the p-SIA	X			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	X			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.)					
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	a. Prepare and ensure the application of a conflict resolution policy for local communities	X			appendix of p-SIA
		b. Maintain records of all the people having received copy of the policy	X			appendix of p-SIA
	Requirement: Yes	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	X			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	X			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					
7.14.2	Indicator: Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used	a. Maintain complaint boxes in public locations reachable by the local community.	X			have one complaint Box putted at public location
		b. Retain complaint forms submitted by local communities. For first audits, records must include at least previous ≥ 6 months.	X			No found any signal violation, No any complaint of residence
	Requirement: Yes	c. Provide evidence that complaints have been acknowledged to the local community (e.g. through a statement from the local community stating having received	X			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.	X			Up to 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	a. Maintain a register of complaints as per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date	X			Refer to "Giai Quyét Khieu Nai" GDC-ASC
		b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved	X			Appendix of p-SIA and up to now no any complaint from residence.
7.15 Criteria: Preferential employment for local communities						
Compliance criteria (Required Client Actions):						
7.15.1	Indicator: Evidence of advertising positions within local communities before migrant workers are hired	a. Maintain a list of all employees employed in the farm indicating also place of origin	X			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	X			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	X			Have the hiring poster in local area.
7.15.2	Indicator: An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 7.15.1a	X			List of workers are available (10 local workers / 20 workers)
		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	X			On the application form are confirmed polices' clearance


 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 01
File Number:	CLAUSE: 3.1.3	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: There are records of TP sampling done by ISO 17025 lab staff with signature but don't have stamp of this lab			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis Because in the process of implementation, Technical Staffs were not understand all requirements of the Standard. So, on the record of water samples for TP criteria established at the farm only be signed by the lab staff without the seal of the sampling lab.			
Description of the Corrective Action Correction: Transcription of "water sampling report for testing of TP" to lab in charge of sampling units to stamp as requirements. Preventive action: Training for Technical staff aware of the requirements of the ASC standards related to clause 3.1.3			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Checked evidence by soft-copy via email with effective action .			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	
CLOSED			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	


 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 02
File Number:	CLAUSE: 3.1.4	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: There are records of TN sampling done by ISO 17025 lab staff with signature but don't have stamp of this lab			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis Because in the process of implementation, Technical Staffs were not understand all requirements of the Standard. So, on the record of water samples for TN criteria established at the farm only be signed by the lab staff without the seal of the sampling lab.			
Description of the Corrective Action			
Correction: Transcription of "water sampling report for testing of TN" to lab in charge of sampling units to stamp as requirements.			
Preventive action: Training for Technical staff aware of the requirements of the ASC standards related to clause 3.1.4			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Checked evidence by soft-copy via email with effective action .			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	
CLOSED		YES	
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	




		A.S.C. NON-CONFORMITY REPORT	
Company: GODACO SEAFOOD JOINT STOCK COMPANY		Non Conformity No. 03	
File Number:	CLAUSE: 3.5.2	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major: X	Minor:	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: No schedule for empty & maintenance of septic system.			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis			
Due to maintenance work, the maintenance department has listed the shortcomings of maintenance items should be in the maintenance plan category of farms, lack of recognition of the need for maintenance free toilet system tanks.			
Description of the Corrective Action			
Correction: Additional maintenance plan septic system toilet on farm sanitation regulations (SSOP 3). Accordingly, the 3-year / time will hire sub-contract to empty septic toilet tank sludge. Daily cleaning and checking of septic toilet.			
Preventive action: Training maintenance department, to identify and make a list of all the items you need to carry out maintenance as required by clause 3.5.2			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Checked evidence by soft-copy via email with effective action .			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	
CLOSED			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	





 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 04
File Number:	CLAUSE: 4.5.4	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: Trap is only place in waste water channel but not place in the water supply channel.			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis Because in the process of implementation, Technical Staffs were not understand all requirements of the Standard. So they are only identify hazards fish escape from the pond through the drainage channel, without identifying individual can escapeout through the channel system or a sewer and water supply directly.			
Description of the Corrective Action Correction: Arranging some cage traps to catch fish in the canal water supply system and the water drains directly to verify the effectiveness of nets prevent the fish from the pond out. Preventive action: Training for technical staff is aware of these farms Standards requirements related to clause 4.5.4.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Checked evidence by soft-copy via email with effective action .			
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	
CLOSED		YES	
AUDITOR: DO THANH MUON		SIGNED: MUON DO	
		DATE: 29 Oct 2012	

 A.S.C. NON-CONFORMITY REPORT			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 05
File Number:	CLAUSE: 7.1.1	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY:			
1) Company regulation issued 11/May/2007 but it was not approved by local labour Dept (refer to 82 clause of labour law)			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis			
Because all provisions regulated in Labor Code are not well-understood, during being implemented, they haven't been fully updated.			
Description of the Corrective Action			
Correction:			
Issued New Company regulation on Sep 30 th , 2012, in which there are some new supplemental policies for Company employees. This new regulation is sent to local labor department for their approval.			
Preventive action:			
1) Hold a training course for all farm management staffs and workers about basic contents of Labor Code. Once per 6 months, executive committee of Company Trade Union, coordinating with Personnel department, proceed their audit regarding to the situation of Labor Code application and maintenance of farm management staffs.			
2) Train farm management staffs and workers so that they could understand all updated provisions in Farm policy.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Checked evidence by soft-copy via email with effective action.			
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	


 A.S.C. NON-CONFORMITY REPORT			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 06
File Number:	CLAUSE: 7.4.1	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: - The meal samples was not kept full 24 hours after provide meals - The cook had not health checked health comply with Decision No. 41/2005/QĐ-BYT - The guard's house was not meet with basic need sleeping place for workers about poor floor. - The employees's house need to provide light by employer.			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12			Company Representative: Mr. Nguyen Van Dao
Root Cause Analisis			
Because farm management staffs haven't fully understood all provisions regulated in Labor Code, they haven't reported to Company Board of Directors to consider and equip in accordance to Labor Code. On the other hand, because farms are distant from Company head office and with inconvenient transporting (on isles), Company Trade Union hasn't investigated and audited the application of Labor Code in Farms.			
Description of the Corrective Action			
Correction : 1) At first, starting to keep food during 8 hours to determine any cause if any food poisoning happens. After farm is equipped a refrigerator, food will be kept in 24 hours. 2) Arrange time for the Cook to come and do health check in compliance with Decision no. 41/2005/QĐ-BYT. Adding content of health check for the Cook into periodical health examination plan. Then follow and monitor the implementation. 3) Rearrange the sleeping place for farm workers. Accordingly, workers shall just rest in 2 main sleeping places. For the guard's house, only arrange hammock for workers who have night shift. 4) Equip charging light for farm workers.			
Preventive action: Hold a training course for all farm management staffs and workers about basic contents of Labor Code. Once per 6 months, executive committee of Company Trade Union, coordinating with Personnel department, proceed their audit regarding to the situation of Labor Code application and maintenance of farm management staffs.			

CLEARANCE REPORT (to be completed by BVCertification)		
ACCEPTED	YES	
FOLLOW-UP COMMENTS		
<i>Checked evidence by soft-copy via email with effective action .</i>		
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012
CLOSED	YES	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012


 A.S.C. NON-CONFORMITY REPORT			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 07
File Number:	CLAUSE: 7.6.1	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY:			
<ul style="list-style-type: none"> - At now, No found any pregnant woman on the farm. However company had no issued policy for pregnant woman. - Have not issued anti-discrimination policy and posted this policy in farm. 			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis			
Because all provisions regulated in Labor Code are not well-understood, when issuing written document for application, some of requirements haven't been updated.			
Description of the Corrective Action			
Correction:			
To add some content to the Terms of farms and widely publicized to the entire staff of the farm. Accordingly, for pregnant women, to Thursday will be considered appropriate work arrangements in the factory system of the Company. Farm rules will also update the content on anti-discrimination in terms of gender, age, ethnicity, religion, occupation, work, ... Add some new contents to the Farm policy. It must be widely publicized to the entire farm staffs. Accordingly, for pregnant women in 5th month of pregnancy, they will be assigned appropriate work in one of company processing plants. Farm policy will be also updated some new contents of anti-discrimination in gender, age, ethnicity, religion, occupation, job, ...			
Preventive action:			
1) Hold a training course for all farm management staffs and workers about basic contents of Labor Code. Once per 6 months, executive committee of Company Trade Union, coordinating with Personnel department, proceed their audit regarding to the situation of Labor Code application and maintenance of farm management staffs. 2) Train farm management staffs and workers so that they could understand all updated provisions in Farm policy.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Checked evidence by soft-copy via email with effective action .			
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 29 Oct 2012
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 29 Oct 2012


 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 08
File Number:	CLAUSE: 7.8.3	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: - The farm had conducted night securities but have not record to control of hours in night guard to meet with 2 night off/week. - Checked timesheet from Jan to Aug/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.			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analisis Because farm management staffs are not well-understood all regulations in Labor Code, during their management, some of regulations in Labor Code are not complied.			
Description of the Corrective Action Correction: 1)Weekly, farm manager is responsible for drafting night-guard plan (Overtime hours) to make sure that total night-guarding hours of each worker doesn't exceed 12 hours/week, and not exceed 2 night continuous shifts per week, daily overtime hours (night-guarding hour) not exceed 4 hours. 2) Monthly timesheet will show working days, day-off on Sunday, annual leave. After that, total annual leave of each worker will be summarized and shown on annual leave timesheet of worker. Preventive actions: Hold a training course for all farm management staffs and workers about basic contents of Labor Code. Once per 6 months, executive committee of Company Trade Union, coordinating with Personnel department, proceed their audit regarding to the situation of Labor Code application and maintenance of farm management staffs.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Checked evidence by soft-copy via email with effective action .			
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	




 A.S.C. NON-CONFORMITY REPORT			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 09
File Number:	CLAUSE: 7.8.4	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major: X	Minor:	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY:			
<ul style="list-style-type: none"> - There is no evidence to paid salary multiplied with 3 for national day off (Hung Vuong King, 30/Apr, 1/May, 2/Sep) - There is no evidence to payment salary for workers when conducted night guard on the pay-slip 			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis			
Because pay slip is simplified (no detail as payroll), there are some salary details of workers, including salary for night-guard and salary coefficient of national holiday.			
Description of the Corrective Action			
Corrections:			
Starting from October 2012 (for salary on September/2012), adjust monthly timesheet of farm, in which normal working days, holidays, overtime hours (night guard) are shown in detail. Company wage accountant will adjust the pay slip for each worker in which shows in detail paybables for workers such as salary for normal working days, salary coefficient, salary for overtime hours (night guard), ... like payroll.			
Preventive actions:			
Hold a training course for all farm management staffs and workers about basic contents of Labor Code. Once per 6 months, executive committee of Company Trade Union, coordinating with Personnel department, proceed their audit regarding to the situation of Labor Code application and maintenance of farm management staffs.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Checked evidence by soft-copy via email with effective action .			
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH		DATE: 29 Oct 2012
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH		DATE: 29 Oct 2012



 A.S.C. NON-CONFORMITY REPORT			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 10
File Number:	CLAUSE: 7.9.1	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY: - 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 2.215.000 VND for this area and labour contract signed with workers only 2.100.000 VND.)			
Deadline for clearance:		07-déc-12	
Audit Comments:			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis			
Because Company based on minimum wage as regulated in Labor Code to decide wage for Labor contract (wage in Labor Contract is higher than minimum wage as regulated), not consider basing minimum life requirement for each worker.			
Description of the Corrective Action			
Correction: Proceed the calculation for minimum life requirement for each worker basing on cost survey in area. Then, this report can be sent to Company Board of directors to consider and increase wage when signing labor contract with farm workers on October 2012.			
Preventive action: Annually, do cost survey in area and re-calculate minimum life requirement to adjust wage in labor contracts of farm workers.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS			
Checked evidence by soft-copy via email with effective action .			
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	

 <p style="text-align: center;">A.S.C. NON-CONFORMITY REPORT</p>			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 11
File Number:	CLAUSE: 7.4.2	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012		OTHER TEAM MEMBERS: HUYNH VAN THUAN	
Major:	Minor:	Observation: X	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY:			
Deadline for clearance:		07-déc-12	
Audit Comments: - Company had full provided free PPE, however need to maintain signed worker records of receiving PEE.			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis Farm manager hasn't followed the procedure of providing PPE to workers.			
Description of the Corrective Action Improve the management of providing material and PPE to workers. Accordingly, when providing material and PPE to workers, signature of each worker who is provided material and PPE must be obtained and forward to material management department to keep file. File must be also kept at farm.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Checked evidence by soft-copy via email with effective action .			
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 29 Oct 2012
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN		SIGNED: THUAN HUYNH	DATE: 29 Oct 2012

 A.S.C. NON-CONFORMITY REPORT			
Company: GODACO SEAFOOD JOINT STOCK COMPANY			Non Conformity No. 12
File Number:	CLAUSE: 7.11.1	TEAM LEADER: DO THANH MUON	
Date: 8/Sep/2012	OTHER TEAM MEMBERS: HUYNH VAN THUAN		
Major:	Minor:	Observation: X	COMPANY REPRESENTATIVE: Mr. NGUYEN VAN DAO
DESCRIPTION OF THE NON CONFORMITY:			
Deadline for clearance:		07-déc-12	
Audit Comments: - Have one complaint box at farm. However there is no evidence to checking this Box weekly to meet with "Giai Quyét Khieu Nai" GDC-ASC.			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
Actual Clearance Date: 22-Oct-12		Company Representative: Mr. Nguyen Van Dao	
Root Cause Analysis It is because the procedure of claim receiving and solution which is approved but hasn't been applied by farm.			
Description of the Corrective Action Proceed the application of approved procedure of claim receiving and solution to farm. Accordingly, weekly, personnel department will coordinate with a representative of farm workers to open the complaint box. The proceeding procedure must be kept in written document with all signatures of all participants.			
CLEARANCE REPORT (to be completed by BVCertification)			
ACCEPTED		YES	
FOLLOW-UP COMMENTS Checked evidence by soft-copy via email with effective action .			
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	
CLOSED		YES	
AUDITOR: HUYNH VAN THUAN	SIGNED: THUAN HUYNH	DATE: 29 Oct 2012	

Confidential data for commercially sensitive information

No content of the report has been removed/ separated because of confidential reasons.

Including Written of other documented information and Bureau Veritas Certification responses to each submission.

If no submission, precise " no submissions received"

Public Consultation period	Stakeholder submission	BV Response
Audit announcement (30 days prior to audit)		
	no submissions received	No.
Draft public report (10 days from publication)	no submissions received	No.

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e 2. A checklist of records that the farm must provide to the auditor to show evidence of compliance of full c

Description of Farm Record
Records for water intake / water abstraction
Records for type and quantity of feed used
Supplier declarations for TP and TN content in feeds
Records for amount of TP and TN added per ton of fish produced and supporting lab test results
Records for weekly DO measurements (to determine minimum DO in water discharged)
Records for mortality quantities and their disposal method
Records for fish size
Register of inspection, mitigation and repair of net mesh or grills
Record of actions taken upon detection of escapes
Records to show all crops were accounted for (harvested or properly disposed)
Written justification for periods of inactivity > 3 months
Records (receipts, supplier statement) showing average weight of seed and numbers
Records showing amount of fish harvested
Calculations for eFCR and yield for each crop
Records showing average weight and numbers of seed stocked into each enclosure
Records showing total number of fish harvested from each enclosure
List of all veterinary medicines, chemicals and biological product and records of their usage
Records of prescriptions/written advice for all veterinary medicines and chemicals used
Daily records of product use and water temp for all chemicals requiring withdrawal periods
List of all antibiotics used
Receipts for purchases of veterinary medicines
Detailed records of use of veterinary medicines and chemicals (including withdrawals) for hatchery and grow-out
Records of daily monitoring for stress or disease
Records of daily monitoring for mortality
Records showing the total weight of fish harvested from each enclosure
Calculated fish density at harvest for each enclosure

crops from > 20% of enclosures.

Indicator(s)	Record Coverage	Yes / No / NA
2.4.1a, 2.4.2a	1 full crop (see pre-amble in AM)	Yes
3.1.1a, 3.1.2a	1 full crop (see pre-amble in AM)	Yes
3.1.1b, 3.1.2b	1 full crop (see pre-amble in AM)	Yes
3.1.1d, 3.1.1e, 3.1.2d, 3.1.2e	1 full crop (see pre-amble in AM)	Yes
3.3.3a	1 full crop (see pre-amble in AM)	Yes
3.6.1b	1 full crop (see pre-amble in AM)	Yes
4.5.1a	1 full crop (see pre-amble in AM)	Yes
4.5.2b	1 full crop (see pre-amble in AM)	Yes
4.5.4c	1 full crop (see pre-amble in AM)	Yes
4.6.2b	1 full crop (see pre-amble in AM)	Yes
4.6.2c	1 full crop (see pre-amble in AM)	Yes
5.2.1a	1 full crop (see pre-amble in AM)	Yes
5.2.1c	1 full crop (see pre-amble in AM)	Yes
5.2.1d	1 full crop (see pre-amble in AM)	Yes
6.1.1a, 6.5.1a	1 full crop (see pre-amble in AM)	Yes
6.1.1b	1 full crop (see pre-amble in AM)	Yes
6.2.1a, 6.2.1b	1 full crop (see pre-amble in AM)	Yes
6.2.2a	1 full crop (see pre-amble in AM)	Yes
6.2.4a	1 full crop (see pre-amble in AM)	Yes
6.2.5a	1 full crop (see pre-amble in AM)	Yes
6.2.6b	1 full crop (see pre-amble in AM)	Yes
6.4.1b, 6.4.1d	1 full crop (see pre-amble in AM)	Yes
6.4.3a	1 full crop (see pre-amble in AM)	Yes
6.4.4a	1 full crop (see pre-amble in AM)	Yes
6.5.1b, 6.5.2b, 6.5.3b	1 full crop (see pre-amble in AM)	Yes
6.5.2c, 6.5.3c	1 full crop (see pre-amble in AM)	Yes

