

ASC Audit Report

Tilapia	_ Pangasius <u>X</u>	
Initial _X_	Surveillance	Recertification

Name client	GODACO SEAFOOD JOINT STOCK COMPANY
Client number	824383
Name contact person	Mr. Nguyen Van Dao
Address client	Lot 45, My Tho Industrial Park, Tien Giang Province, Vietnam
Telephone, fax, e-mail	Telephone: +84 73 3953 227
	Fax: +84 73 3953 226
	Email: godang@godaco.vn
Certificate code	824383-ASC-01-2013
Date of issue of certificate	20/03/2013
Date and length of audit	03-04/01/13 - 02 days
Name of auditor(s)	Ms. LE TRAN TRUONG THUY – Environmental part
	Mr. LE ANH NGOC – Social part
	Mr. LY VI CUONG – Technical expert
Inspected unit (s)	01 unit
Number and % of members	N/A
evaluated	
(in case of group	
certification)	
Issued by	Control Union Peru SAC
Address	Av. Dos de Mayo 1205, San Isidro. Lima, Perú
Telephone	00 51 1 7190400
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Website	www.cuperu.com
Certifier	Pilar Kuriyama
Date	February 18 th , 2013
Signature	



1. METHODOLOGY

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

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

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

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

2. REPORT

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

2.1 Background of the assessed company:

The registered unit is named Con Linh A Farm, which was completely constructed in 2009 and located at Ward 5, Thanh Phu Dong Commune, Giong Trom District, Ben Tre Province, Vietnam. The total area of this land is 12ha. The receiving water body of the farm is Ham Luong River. There is no any species farmed exception Pangasius tra.

From 2010, the farm is certified against GLOBALG.A.P. standard and this certification has been kept until now (2013) The estimated yearly production is 2,000-2,500MT.

Beside Con Linh A farm, GODACO has another farm named Thanh Long Farm which was also registered and audited against ASC Pangasius Standard.

2.2 Summary

Scope:

Standard: ASC Pangasius standard V 1.0 April 2012

Specie: Pangasius, single site certification Unit of certification: Con Linh A Farm Receiving water body: Ham Luong River

Summary of the report

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

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

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

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

The farm is located in the land sourced from Agriculture with the construction showing that all earth has not been discharged into common water bodies and no negative impacts on endangered species.

The water abstraction of the farm is in the limitation of the ASC pangasius standard which is 5,000m³/metric ton of fish produced, and beside, there is no water limitation in Vietnam.

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

The parameters such as:

- Amount of total phosphorus (TP), total nitrogen (TN) discharged per metric ton of fish produced
- Diurnal Dissolved Oxygen (DDO) of receiving waters
- Maximum average percentage change of TP, TN between inlet and outlet
- Dissolved Oxygen (DO) concentration in water discharged is in the allowable range of the standard.

The farm prepared the sludge ponds to keep and treat sludge before transferring to the other party to use



as fertilizer on the purpose of no disposing them into receiving water or natural ecosystems. Dead fishes are collected and sold to other parties to use as fertilizer. The farm also designed the septic toilets for all workers.

PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

Pangasius farmed is native in the river basin where the farm is located and no wild-caught.

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

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

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

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

PRINCIPLE VII. BE SOCIALLY RESPONSIBLE

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

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

Summary of findings:

Completing the audit, the farm has 7 Minor Non-conformities that need to be settled for the next surveillance audit in January 2014. However, the farm has already provided corrective action plan in order to closed all of these NCs. (see more details about findings in the audit result)

2.3 Decision

A certificate has not been issued but GODACO SEAFOOD JOINT STOCK COMPANY is recommended for the ASC farm certification. The certification process will be completed after public consultation of this draft report.

2.4 Audit background

Author(s): LE TRAN TRUONG THUY

Audit dates: 03-04/01/2013 Report finished at: 11/01/2013 Report reviewed at: 18/02/2013

Date of the certification decision: 20/03/2013

Persons involved in the audit:

- Mr. Bui Huu Nghia Quality Manager of the Company
- Mr. Nguyen Ngoc Lan Deputy Manager of Quality Department of the Company
- Mr. Cong Farm Manager
- Ms. Bui Thi Van An Farm's Aquatic Animal Health Specialist
- Farm's employees
- Interviewed local community: Mr. Tran Van Niet, Mr. Tran Van Dang, Mr. Do Van Nhan.
- Mr. Dang Van Phet Chairman of The People's committee of Thanh Phu Dong Hamlet
- Mr. Nguyen Ninh Trung Secretary of Communist Youth Union of Thanh Phu Dong Hamlet
- Mr. Pham Van Son Chairman of Farmer Society of Thanh Phu Dong Hamlet
- Mr. Nguyen Thanh Dan Chairman of the Veteran Society of Thanh Phu Dong Hamlet

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

Previous Audits (if applicable): N/A

Other activities:

ASC audit announcement date: 28/11/2012 Stakeholders consultation opened: 28/11/2012

Pre-audit checklist information desk review: 20/12/2012

(cport number: 62 1666 7.661)



Species: Pangasius

Type of certification: Single site certification

Unit of Certification

Production Unit name	Production Unit number	Address and geographical positions	Receiving water
Con Linh A	PRD041341	* The address: Ward 5, Thanh Phu Dong Commune,	Ham Luong
Farm		Giong Trong District, Ben Tre Province	River
		* GPS coordinates	
		A. N10o06'44.00" - E106o25'00"	
		B. N10o06'28.00" - E106o25'09"	
		C. N10o06'31.00" - E106o24'55"	
		D. N10o06'40.13" - E106o24'54"	
		E. N10o06'24.97" - E106o25'01"	

Receiving water:

The Ham Luong River is the natural water body, see the attached scheme map of the farm.

2.6 Description of the start of the Chain of Custody.

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

Considerations for the decision:

Tracking, tracing and segregation systems within the aquaculture operation:

The farm has the form of following harvesting and transporting the fish to the processing unit. Based on this form, the farm Traceability - can know which the processing unit fish is transported to. Currently, there is no any fish selling to other processing units with the exception of An Phat Factory–Godaco Seafood (processing plant) – the same legality. Currently, GODACO has two farms that are on the ASC certification route, and all fishes from those two farms are only sold to this processing unit.

Use of transshipment:

The farm has been using well-boat in order to transport to the processing unit.

- Eligible operators and point(s) of landing:
 - Using well-boat for fish and there is only one point of harvesting at this farm to the An Phat Factory–Godaco Seafood processing unit point of landing.
- The opportunity of substitution of certified with non-certified product within the unit of certification:

There is no chance of substitution and only certified products are produced by the legal entity (Con Linh A Farm and An Phat Factory–Godaco Seafood are all belonged to GODACO)

Point from which Chain of Custody certification is required:

Chain of custody certification is required after harvest when fish is received in processing plant also owned by GODACO SEAFOOD JOINT STOCK COMPANY

2.7 Evaluation results

See audit checklist attached to this report

2.8 Non-conformity report(s)

See audit checklist attached to this report

Comments:

Position:			
Date:			

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

Control Union Certifications

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ASC audit checklist									
ASCASS-PAD.F01(01)									
Reportnumber: 824383-ASC-2012-01-LTTT									
1.1 Client contact data									
CUC number:	824383								
Company name:	GODACO SEAFOOD JO	DINT STOCK COMPANY							
Contact person:	MR. NGUYEN VAN DAC)							
Address:	LOT 45, MY THO INDUS	STRIAL PARK, TIEN GIAN P	ROVINCE						
Postal code:	84								
City:	MY THO								
Country:	VIETNAM								
Telephone number:	084 73 3953227	Fax Number:	084 73 3953226						
e-mail:	godang@godaco.vn								
1.2 Audit information									
Date of last external audit :	The first audit								
Audit date :	03-04/01/2013								
Full name of the lead auditor:	MS. LE TRAN TRUONG	THUY							
	Auditor: Ms. LE TRAN	TRUONG THUY (environme	ntal part)						
Audit team:	Auditor: Mr. LE ANH NO	GOC (Social part)							
	Technical expert: Mr. L'	Y VI CUONG							
Type audit :	Announced / Unannoun	ced <u>Initial</u> / Surveillar	nce / Recertification						

1.3 Scope	of ASC								
Scope: AQ	UACULTURE	Standard Version:	1.0	Specie: Par	ngasius				
Production	n units								
	Company name	Address and GPS coordinates		Receiving water body	City	Country	Products		
F-01	JOINT STOCK	* The address: Ward 5, Thanh Phu Commune, Giong Trong District, B Province * GPS coordinates A. N10006'44.00" - E106o25'00" B. N10006'28.00" - E106o25'09" C. N10006'31.00" - E106o24'55" D. N10006'40.13" - E106o24'54" E. N10006'24.97" - E106o25'01"	•	Ham Luong River	N/A	Vietnam	Pangasius		
Changes s	since last aud	lit:							
YES □	NO □	If YES, Description: N/A							
1.4 Other i	nformation								
Brand nam	e of the comp	any:	GODACO						
Mention other existing certification schemes of licensee: No									
Lead Audit	or : LE TRAN	TRUONG THUY		Company representative :					
signature				signature					

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2. Assessment of Pangasius Standard Scope: Pangasianodon hypophthalmus, Pangasius bocourti

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 audft-s, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment.

Therefore, at the time of the first audit:

•farmer must be able to show full records (e.g. feed-use, mortality rate, etc.) of at least 1 completed crop cycle per site (i.e.from stocking to harvest) and the relevant information for all the crops stocked after having stocked that crop

• certifier must use these records of each site to calculate the level of compliance of the relevant indicators

Applicable to all relevant requirements in this Audit Manual;

Client: At first audit: data of at least 1 full crop cycle per site must be made available to certifier. Auditor: At first audit: data of at least 1 full crop cycle per site must be used to determine compliance

	Client: At first audit: data of at least 1 full crop cycle pe	r 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 complianice.						
RINCIPLE I: LO	CATE AND OPERATE FARMS WITHIN ESTABLISHED LOCA	L AND NATIONAL LEGAL FRAMWORKS							
1 Criteria: Local and national regulations				Compliance		Finding			
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A			
	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.				"Declaration of environment protection" on 12/2011, approved by The Prople's Committee of Giong Trom District, Ben Tre Province on 19/01/2012 "Certificate of compliance with veterinary hygiene condition" no. 10/GCN-NTTS by the Branch of Fishery Department of Ben Tre Province		
		b. Obtain an aquaculture farming licence (if applicable).	B. Verify farm has aquaculture farming licence (as applicable).				"Certificate of approving the aquaculture project" - Con Linh A farm, by The People's committee of Giong Trom District, Ben Tre Province		
1.1.1	Requirement: Yes	c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).	х			"Bussiness lisence" no. 1200575021 on $11/05/2007$ by The Department of Planing and Investment of Ben Tre Province		
	Applicability: All	d. Obtain any other contracts, licenses, or permits as required by local and national authorities (also see 1.1.3 and 1.1.4)	D. Verify compliance				"Letter of approval" approved by The People Committee of Phu Thanh Dong village, Giong Trom District, Ben Tre Province about using water "Land owner-ship" for the whole land of the farm, issued by The People's Committee of Ben Tre Province; and "Contract of buying land" approved by The People Committee of Giong Trom District, Ben Tre Province		
	Indicator: Presence of documents proving compliance						"Tax payment information letter" of The Branch of Tax Department of Giong Trom District		
1.1.2	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			"Tax payment receipt" for land-tax payment of year 2012. "Tax payment receipt" for personnel income tax of year 2012; Returning VAT tax and balance to Company income tax "Tax payment receipt" about company license tax of year 2012.		
	Requirement: Yes						"Tax payment receipt" about environment tax of year 2012		
	Applicability: All	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.				The infomation of all tax to full-fill, including: company income tax, land-use tax, enviroment tax, VAT tax, personel income tax		
	Instruction to Clients for Indicator 1.1.3 -Showing Compliance with Water Discharge Regulations Indicator 1.1.3 requires the farm to show compliance with all water discharge regulations at the local and national level. If the authoritative regulator the client to demonstrate compliance. Four types of evidence are acceptable: a. Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge; b. Results of water testing from a fully independent ISO 17025 accredited laboratory; c. Relevant legal documents showing compliance; or d. Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance. Where regulations the pertinent water discharge (including water effluents) regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will rais local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will rais local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will rais local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will rais local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will rais local or national regulations.						ge, that monitoring shall be conducted annually (at a minimum) or more frequently if required under		
1.1.3	Requirement: Yes	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).				The laboratory with VILAS 533. "Analytical testing result" with the water samples were taken by the laboratory's staff		
	Applicability: Ponds	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)				"Analytical testing result" no. A03210-1, about testing farm discharge water		
		c. Submit relevant legal documents showing compliance	C. Verify compliance. If (a), (b) or (d), then enter not applicable for (c)	х			Comparision with the "Analytical testing result" of farm's discharge water with the requirement of discharge water in The Circular no. 45/2010/BNN-PTNT issued on 22/07/2010 of The Ministry of Agriculture and Rural Development (MARD), confirm compliance with the national's requirement		
		d. Be in possession of 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)				N/A		
	Indicator Decease of documents assuing compliance	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.				"Certificate of approving the aquaculture project" no. 894/UBND-KTN issued on 22/10/2007, for Con Linh A farm, by The People's committee of Giong Trom District, Ben Tre Province "Land owner-ship" for the whole land of the farm, issued by The People's Committee of Ben Tre Province		

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1.1.4		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 permits and complies with the farm.	x			"Analytical testing result: - no. A032210-1, about testing farm discharge water, on 22/10/2012 - no. A032210-2, about testing farm abstract water, on 22/10/2012 Comparision with the "Analytical testing result" of farm's water with the requirement in The Circular no. 45/2010/BNN-PTNT issued on 22/07/2010 of The Ministry of Agriculture and Rural Development (MARD), confirm compliance with the national's requirement
	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 authoritaties) attesting to this fact.					"Certificate of approving the aquaculture project" for Con Linh A farm, by The People's Committee of Giong Trom District, Ben Tre Province
PRINCIPLE II: F.	ARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AN	, ,	S ON OTHER USERS AND THE ENVIRONMENT				
2.1. Criteria: M	eeting official development plans				Compliance		Finding
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
2.1.1	Indicator: Farms [4] located in approved aquaculture development areas	a. Provide a detailed map of the farm with at least 4 GPS coprdinates	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.	×			Farm GPS coordinates: A. N10006'44.00" - E106025'00" B. N10006'28.00" - E106025'09" C. N10006'31.00" - E106024'55" D. N10006'40.13" - E106024'54" E. N10006'24.97" - E106025'01"
2.1.1	Requirement: Yes	b. Provide official plans that identify approved aquaculture development areas. If there are none, be in possession of a statement from the authorities as confirmation.	B. Review plans. If farm states there is no plan, confirm that the country and region of operation does not have approved aquaculture development areas.	^			The Decision no.2440/QD-UBND issued by The People's Committes of Ben Tre Province, with the "Master planning map" of Phu Thanh Dong Village, Giong Trom District, Ben Tre Province, showed the "Area of pangasius aquaculture of Giong Trom District"
	Applicability: All	c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	C. Verify farm is located in an approved aquaculture area If there is no such areas, auditors response is 'not applicable'.				The farm's address is within the area of aquaculture in the above "Master Plan" (see b) - Address: Hamlet 5, Phu Thanh Dong Village, Giong Trom District, Ben Tre Province
	ond, cage and pen-based facilities						
2.2Criteria: Cor	version of noturol ecosystems	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliance No	N/A	Finding
	I	a. Provide a declaration that identifies the month and year of farm	A. Verify the declaration gives date of farm construction and any subsequent	res	NO	N/A	
2.2.1		construction, and specify dates of any subsequent farm expansions b. If the farm (or any of its expansions) was constructed after August 31, 2010, be in possession of a statement/historical land use map from a government organization indicating that the land was agriculture or aquaculture land for 10 years prior to their construction.	expansions. Identify any ponds established after August 31, 2010. B. Review evidence from government organizations. Where land-use maps or spatial information is provided, cross-check against map of farm (see 2.1.1) C. Verify accuracy of (a) and (b) above during interviews with local community	x			The "Form of liquidating contract" of construction farm; "Contract of buying land owner-ship". The farm was completedly established in 2009 (before 31/08/2010) and there is no any expansion until now
	Applicability: Ponds established after August 31, 2010		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.				
	r Ponds established after the publication of the PAD star	ndards.					
Footnote [6] Fr	om government organizations.						
	Indicator: Evidence that a contribution of at least USD \$0.50 per ton offish produced has been paid to the environmental and social restoration fund [7] annually	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.				"Letter to ASC" on 11/12/2012
2.2.2	Requirement: Yes	b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.	х			Feedback email from ASC - Mr. Micheal Fransen, on 12/12/2012
	Applicability: All	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.				The fund has not been established yet
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 a	uditing, then requirement 2.2.2 will not be considered.				
	Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies	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.				"Statement letter of farm manager" on 20/10/2012, they do not discharge earth to the natural environment, earth is used to contruct pond's bund
2.2.3	Requirement: Yes Applicability: Ponds established after August 31, 2010	b. For construction activities listed in 2.2.la that involved earth moving and that occurred after August 31, 2010, provide a statement indicating where the earth was moved to or how it was disposed of	B.Review list of construction activities and means of disposing of earth.	x			"Form of recording farm activities" recrods all of farm construction activities, shows that earth is used to contruct the pond's bund.
			C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.				Interviewed local community:, confirmed that there is no earth discharged to natural environment
	r ponds established after the publication of the PAD star						
Footnote [9] E	kception made for discharge into water bodies belonging	to the farm and without negative impacts to other water resource users.					
		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.				"Report of evaluation and indentification the endangerous species and method to protect them at Con Linh Farm - GODACO" in 07/2012
1	I control of the cont	L					1.

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Footnote [10] F.	Indicator: Evidence [10] of no negative Impacts on endangered species [11] Requirement: Yes Applicability: All armers shall submit the result of a search of published as set by IUCN and national authorities.	b. Determine whether any species occuring in the area are listed as endangered by relevant national authorities. c. Prepare a list of all endangered species occuring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2). d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	B. Review the source and accuracy of the list. C. Review list for completeness. Compare with results from search of IUCN database of red list species (see 6.6.2). D. Review procedures for adequacy. E. During local community interviews, verify there is no evidence that: - the farm is presently having a negative impact on endangered species - the farm has recently had a negative impact (since August 2010).	x			Decision no. 82/2008/QD-BNN by MARD - list of endangered aquatic animal of Vietnam Circular no. 01/2011/TT-BNNPTNT issued by MARD - additional endangered aquatic species of Vietnam Vietnames Redlist, published on 30/01/2007, of the Academy of Scientist and Technology of Vietnam "Report of evaluation and indentification the endangerous species and method to protect them at Con Linh Farm - GODACO" includes the list of search Item on the website of IUCN Redlist "Regulation of wild animal protection" Interviewed local community: Mr. Tran Van Niet, Mr. Tran Van Dang, Mr. Do Van Nhan, confirmed that: - the farm is presently having a negative impact on endangered species - the farm has recently had a negative impact (since August 2010)
2.3 Criteria: Site					Complianc	e	Finding
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
	Indicator: Farm does not impede navigation, aquatic animals or water movement.	a. Obtain community testimonials or similar evidence to show the farm does not impede navigation, aquatic animals orwater movement.	A. Inspect site to verify that pens, cages and/or associated farm structures do not impede navigation, aquatic animals or water movement.				Pond
2.3.1	Requirement: Yes Applicability: Pens and Cages		B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.			×	Pond
2.3.2	Indicator: Minimum width of the water body [15] without cages, (see Diagram 1, Annex C)	a. Provide a map or diagram showing measurement of cages and width of the water body.	A. Cross-check the current farm map or diagram using Google-Map, satellite images or similar means (if detailed information is available). If current farm layout differs from the most recent available image, verify that the map or diagram reflects the actual farm layout.			x	Pond
	Requirement: ≥ 50% Applicability: Cages	b. Provide measurements and calculations sufficient to show compliance (see Diagram 1 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are accurate and confirm compliance				Pond
Footnote 15] W	later body: Any pond, lake; canal; river, stream or any ot	her distinct mass of water, whether publicly or privately owned, including	the banks and shores thereof				
	Indicator: Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C)	a. Provide a map or diagram showing measurements of pens and width of the water body.	A. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available).				Pond
2.3.3	Requirement: ≤ 20% percent of the width of the water body	b. Provide measurements and calculations sufficient to show compliance (see Diagram 2 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are acurate and confirm compliance.			×	Pond
	Applicability:Pens		C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.				Pond
2.3.4	Indicator: Maximum number of contiguous pens allowed (see Diagram 3, Annex C) Requirement: Two, only if a stretch of river bank that is at least the length of the two pens is left free from	a. Provide a map or diagram showing the size and numbers of pens and showing the shoreline distance between pens.	A. Inspect site to verify the farm's diagrams accurately show the size and position of pen, and the shoreline distance between pens.			x	Pond
	farms on both sides of the pens Applicability: Pens	b. On the map, show how the arrangement of pens complies with the requirement for number and separation distance (see Diagram 3, Annex C)	B. Verify the farm's arrangement of pens is in compliance				Pond
2.4 Criteria: Wa	iter use	Countings Calenda (Decaded Client Anthony)	Auditor Furthering (Develop of CD Astron)	V	Complianc		Finding
		Compliance Criteria (Required Client Actions) a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).	Auditor Evaluation (Required CB Actions) A. Verify the farm keeps complete records of water intake.	Yes	No	N/A	"Form of monitoring changing water" of pond 10 and the other ponds for full crop, records the time of changing water "Farm diary" of pond 10 and the other ponds records the quantity of water changing.

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	Indicator: Farm complies with water allocation [16] limits asset by focal authorities or a reputable independent institution [17]	b. Obtain a statement from local authorities indicating the water allocation limits (units given) for the farm. If local authorities do not set water allocation limits for farms operating in the region, be in possession of a statement from local authorities attesting to this fact	B. Review the water allocation limits set for the farm by local authorities. If local authorities do not set water allocation limits, confirm the farm has an attestation.				"Letter of approving" no. 120/CV GD/2012, on 05/12/2012, approved by The People Committee of Phu Thanh Dong village, Giong Trom District, Ben Tre Province about using water. There is no legislation requirement of water allocation limits	
2.4.1	Requirement: Yes Applicability: Ponds	c. If water allocation limits are not set by local authorities (see 2.4.1b), be in possession of a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given) for the farm.	C. Review evidence that water allocation limits have been set for the farm- by a reputable independent institution (as applicable).		х		The farm could not provide the statement from the reputable independent institution indicating the water allocation limits for the farm.	
		d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable).	D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).				"Letter of approval" no. 120/CV GD/2012, on 05/12/2012, approved by The People Committee of Phu Thanh Dong village, Giong Trom District, Ben Tre Province about using water. There is no legislation requirement of water allocation limits	
		e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits	E. Check the farm's water intake against the wafer -allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).				There is no legislation requirement of water allocation limits	
		water is defined as "water collecting on the ground or in a stream, river, lak	e, wetland or ocean." Groundwater is defined as "water beneath the earth's surface	ce that suppli	es wells and s	orings." Note the	term "surface water" is used here in place of the original term "suriicial water" that appeared in the	
	culture Dialogue Standards.							
	, ,	nt organization, an academic institution or an organization that is not linked sector other than aquaculture are also acceptable. A track record of at leas		or the region	or is respons	ible for water all	ocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed	
articles and/or i	eports on water anocation. Documents produced for a	T	st tillee years of operation must be available.					
		determine a farm-wide average across all ponds. Calculations can be don - compute the total volume of water abstracted ("TEV") in cubic meters (r - compute the total weight offsh produced ("A") in metric tons at harvest - calculate Q. for the first pond using the equation: Q=TEV/A	g "Q." which is the ratio of total water abstracted per ton of fish produced. Farms rea described here. For the first pond: m3), during the production cycle;			-	est data from individual ponds (i.e. it is done on a crop-by-crop basis) and then using those results to n-wide average, or Q_{avg}	
	Indicator: For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in	a. Using records of water intake (see 2.4.1a), calculate total water abstracted (m3) for each pond harvested by the farm. For first audits, records must cover at least Ifull crop per site (see preamble).	A. Review calculations against intake records to Confirm accuracy.	x				"Form of monitoring changing water" of pond 10 and the other ponds for full crop, records the time of changing water "Farm diary" and "Pond report" of pond 10, total abstracted water is 387,860m3
2.4.2	Annex D) Requirement: 5,000 m3/metric ton of fish produced	b. Maintain records showing weight of fish harvested from each pond.	B. Verify the farm keeps records showing the weight "of fish harvested.				"Form of purchasing raw material" of pond 10, 80,045kg of fish was harvested	
	Applicability: Ponds	c. Calculate the total, weight of fish produced (in metric tons) from each pond	C. Review calculations against sales records and estimates of current stock biomass (weight) to confirm accuracy. If needed, reconcile the totals with the weight of any fish that were harvested but not sold (i.e. Crops lost after a disease outbreak).		x			"Pond report" of pond 10, total water changing is 387,860m3; total weigh of harvested fish is 80,045kg.
			D. Review- farm's calculations for accuracy. Cross-check that water volumes (2.4.2a) and harvest weights (2.4.2b) from individual ponds can be reconciles with total annual production (2.4.2c) and total annual water intake (2.4.1e).				"Pond report" of pond 10, maximum ratio of total abstracted water per ton of fish produced is 4,846m3/ton	
		e. Using results from all harvested ponds, calculate the farm-wide average ratio of total water abstracted per ton of fish produced (see Instructions above).	E. Confirm the farm-wide, average Q is < 5,000m3/metric ton of fish produced.				"Farm conclusion report" on 27/12/2012; maximum ratio of total abstracted water per ton of fish produced= 4,718.6m3/ton	
Footnote [18] W	ater abstracted is water removed from the water body	and introduced into the farm. It includes both surficial water and groundw	vater.					
	IINIMIZE THE NEGATIVE IMPACT OF PANGASIUS FARMI	NG ON WATER AND LAND RESOURCES						
3.1 Critéria: Nut	rient utilization efficiency	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliand	e N/A	Finding	
						.,,,,		
		shall then verify supplier declarations by testing a representative number	must be able to establish the amount of total phosphoms (TP) and total nitrogen of batches (e.g. 1 sample for every 1,000 tonnes of a feed used) for TP and TN courate and that the feed is within the limits stated in the declaration. Farms must de basis. ntent of feeds using an independent laboratory.	ntent. Tests s	hall be perfor	med by a fully in	of a declaration from each of their feed suppliers stating the maximum TP and TN content. Farms dependent laboratory that is accredited to perform these analyses in accordance with ISO 17025, the crops that are included in the calculation, regardless of whether those feeds were farm-made or	
	Indicator: Maximum amount of total phosphorus (TP) [19] added as feed per metricton of fish produced.	a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used				Pond	

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3.1.1	Applicability: Pens and Cages	records must cover at least 1 full crop per site (see preamble).	B. Verify the farm possesses all dedarations for TP content in feed.				Pond			
		c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TP content is reported accuraiely by feed suppliers (if applicable).			x	Pond			
		d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble)	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				Pond			
		 Using tolal weight of fish produced (answer from 2.4.2c), calculate the a mount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble). 	E. Review farm's calculations to confirm the farm complies with the Requirement				Pond			
Footnote [19] Ti	P includes all forms of phosphorus found in the sample (.	Adapted from Australian Government, Department of Meteorology).								
		Note: see instructions for Indicator 3.1.1								
		 a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least Ifull crop per site (see preamble). 	A. Confirm the farm has complete and accurate records for feed used				Pond			
	Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metricton offish produced.	records must cover at least 1 full crop per site (see preamble).	B. Verify the farm posseses declarations for TN content in feed.				Pond			
3.1.2		c. Provide evidence that the farm tested TN from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TN content is reported accuraiely by feed suppliers (if applicable).			x	Pond			
		d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				Pond			
		e. Using total weight offish produced (answer from 2.4.2c), calculate the amount of TN added as feed per metric ton offish pmduced. For first audits, records-must cover at least 1 full crop per site (see preamble).	E. Review-farm's calculations to confirm the farm complies with the Requirement				Pond			
Footnote [20] TI	N means the measure of all forms of nitrogen found in the	ne sample, including nitrate, nitrite, ammonia N and organic forms of nitro	gen (Australian Government, Department of Meteorology).							
Footnote [21] F	eed refers to all feeds or feed items, regardless of where	e or how they are produced, and applies to all farms seeking certification. I	Farms that meet the requirements should be able to demonstrate compliance, reg	ardless of wh	ether their fe	ed is made by a	commercial feed mill or on site. See Principle 5 for further details.			
		total nitrogen (TN) in water samples shall be made using the metho Farms will measure the amount of TP and TN disharged from a mini water samples are as follows: -two water samples are taken: one from the pond (=pond water) a -all water samples collections are done following the methodology p in accordance with this methodology. -all water samples are collected in second half of crop production (ie. 2 90 -pond water samples are collected at 50% of pond depth -all water samples are collected before 11:00am -pond water samples are collected > 6 hours after the intake of wa	d: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent of 1 pond in production; at least one of these ponds shall be rando and one from the intake (=intake water). The two samples are taken on the rovided by a fully independent ISO 17025 accredited laboratory and will be 0 days after stocking)	ndent labora mly selected. same day.	tory that is a The farm m	accredited to p ust record the	made using the method: Kejidahl and Indo-phenol Blue. Determination of the concentration of the tender of the samples in accordance with ISO 17025. number and identity of selected ponds before sampling. Required procedures for collecting the audit. The accredited laboratory will be required to verify that sampling was conducted			
	Indicator: Amount of TP discharged per metric ton of	For first audits farms records for monitoring TP and TN discharged must cover ≥ 6 months. To prepare for first audit: - farm invites accredited laboratory to the farm to have the water sampled - if samples are out of compliance, farm takes corrective actions prior to ASC audit - in case of non-compliancies, farm does have the water sampled by accredited labotory after implementation of corrective actions to show compliance - all sampling results are supplied to auditor by the accredited laboratory to show that corrective action has been taken and that farms is now in compliance with the ASC Standard								
3.1.3	Requirement: 7.2 kg/t		A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.				The laboratory VILAS 494. Pond 10: - "Form of taking sample" on 28/11/2012, by the lab' staff for intake water and pond water + Intake water: sample no. GD281112/01 + pond water: sample no. GD281112/02 Cross-checked with:			
							"Farm diary" of pond 10 and "Form of monitoring changing water" confirm the samples are taken in complying with the standard			

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		b. Obtain laboratory results for TP concentration in pond water sample and intake water samples.	B. Review laboratory results for TP concentration				"Analytical Testing Result" on 05/12/2012, for the samples of pond 10: - Intake water: Form no. 45/11-23/11/PKQTN-TT for the sample no. GD281112/01 - TP=0.48mg/L - Pond water: form no. 46/11-23/11/PKQTN-TT for the sample no. GD281112/02 - TP=0.94mg/L
		c. For each pond, identify the total weight of fish produced (result from 2.4.2b) and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm's data	x			"Form of purchasing material" of pond 10, total weigh of harvested fish is 80,045kg; "Form of monitoring changing water" of pond 10 total disharged water is 387,860m3
		d. Enter the values from b and c (above) into the Total TP Discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TP discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.	D. Review farm's calculations to comfirm accuracy.				"Pond report" of pond 10, TP discharged = 2.23kg/ton of harvested fish
		e. Use the TP values (answer d) from different ponds to calculate the farm wide average amount of TP discharged per metric ton of fish produced	E. Review farm's calculations of average TP to confirm compliance with the Requirement.				From 05/2012 to the audit date, there is only one full crop, the farm provide the calculation of pond 10; TP discharged = 2.23kg/ton of harvested fish The farm also provides all records of the other ponds which have not been harvested
		Note: see instructions for Indicator 3.1.3					
	Indicator: Amount of TN discharged per metric ton of	a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.				The laboratory VILAS 494. Pond 10: - "Form of taking sample" on 28/11/2012, by the lab' staff for intake water and pond water + Intake water: sample no. GD281112/01 + pond water: sample no. GD281112/02 Cross-checked with: "Farm diary" of pond 10 and "Form of monitoring changing water", the samples takenis in compliance with the standard
3.1.4	fish produced (See TN measurement methodology and calculation in Annex D)	b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration				"Analytical Testing Result" on 05/12/2012, for the samples of pond 10: -Intake water: no. 45/11-23/11/PKQTN-TT for the sample no. GD281112/01 - TN=1.56mg/L - Pond water: no. 46/11-23/11/PKQTN-TT for the sample no. GD281112/02 - TN=4.22mg/L
3.1.4	Requirement: 27.5 kg/t Applicability: Ponds	c. For each pond, identify the total weight offish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm'data	×			"Form of purchasing material" of pond 10, total weigh of harvested fish is 80,045kg; "Form of monitoring changing water" of pond 10 total disharged water is 387,860m3
		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 offish produced per pond. Repeat for each pond that was sampled.	D. review farm's calculations to confirm accuracy				"Pond report" of pond 10, TN discharged = 12.89kg/ton of harvested fish
		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.				From 05/2012 to the audit date, there is only one full crop, the farm provide the calculation of pond 10; TN discharged = 12,89kg/ton of harvested fish The farm also provides all records of the other ponds which have not been harvested
3.2 Criteria: Me	easuring water quality in receiving water body				Complianc	2	Finding
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
	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	(chemical) method, with accuracy established in peer-reviewed documen procedures are followed: - DO monitoring is conducted fortnightly (i.e. once every two weeks) - On each sampling day, two DO measurements are taken: at 1 hour befo - DO measurements are taken at 0.3 meters below the water surface. -Temperature and salinity is recorded at the same time that DO is measure	ceiving waters. Dissolved oxygen (DO) concentration is reported relative to DO at its. The location of measurements should be the first natural receiving water both re sunrise and at 2 hours before sunset (+/- 30 min) red.	y and as close	as practical to	the point of di	emperature and altitude. DO is measured using a hand-held oxygen meter or a more accurate charge but at a distance not exceeding 200m from the point of discharge. In addition, the following the following service of the following the following the following service of the following the following service of the following
	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	a. Provide DO measurements .	A. Review data set to confirm that monitoring covers the required timeframe				"Form of calculation dissolved oxygen" measures D.O. every 2 weeks, of the receiving water bodies of three settlement ponds
3.2.1	measurement methodology in Annex D) Requirement: ≤ 65%	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 equirement as required.				Technician of the farm has responsibility in checking D.O., he calibrates the testing device by ToC, Salinity and Altitude. And he can demonstrate his awareness
	Applicability: All	c. Calculate percent change in DDO for each monitoring date using the equation in AnnexD.	C. Review calculations to confirm accuracy.	x			Percentage change in diurnal dissolved oxygen of receiving waters is from 14.39% to 32.57%
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		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 ≤ 65 %.				"Report of calculating the average percent change in DO": DDO = 22.5% (<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, raises a non-conformity.				At the audit date, the values of on-site tracking DDO is within the values in farm's records. (eg. of settlement pond 3 is = 17.32%,)
Footnote [22] [DO is the concentration of oxygen dissolved in water, exp	pressed in mg/1 or as percent saturation, where saturation is the maximum	n amount of oxygen that can theoretically be dissolved in water at a given altitude	and tempera	ature (biology-onli	ne.org).	
Footnote [23] "	Receiving water" is the first natural water body that rece	eives the water from the farm and does not belong to the farm.					
3.3 Criteria: Me	easuring quality of pond effluents Water quality of pond e	effluents [24]			Compliance		Finding
E			Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
Footnote [24] I	his criteria is not pertinent to either cage or pen culture:						
3.3.1	Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D). Requirement: 100% Applicability: Ponds	be made by a fully independent laboratory that is accredited to perform to the change in TP and TN from only a subset of the total number of ponds: procedures for collecting water samples are. as follows: - samples are collected by staff from the fully independent accredited labrications are taken from the 'inlet' and the 'outlet' (inlet = the water in the treatment system before being discharged); - samples are collected from pond inlets and outlets during the second ha	uples shall be made using the method: Kejidahl and Indo-phenol Blue. Determinati hese analyses in accordance with ISO 17025. Laboratory results will be accompani in production: 15% of all ponds (value rounded up to the nearest whole number). oratory; ee intake canal, as close as possible to the farm being certified. Outlet =the actual of of crop production (i.e. > 90 days after stocking); and these are taken at least 1 hour apart (use the average value in calculations be 1x100); 1x100 1	ed by a state At least one water being o	ment that indicate at of these ponds s	es complian shall be ran	TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will ce to the methodology set in the ASC Pangasius Standard and this Audit Manual. Farms will measure domly selected. The farm must record the number and selection of ponds before sampling. Required vater. For farms using a water treatment system this could be the water in the final part of the "Testing analytical report" of abstract and discharge water of pond 10. - Abstract water: Form no. 45/11-23/11/PKQPTN-TT on 28/11/2012. TP = 0.48mg/L - Dischare water:
		b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above. c. Use results of 3.3.1(b) to calculate the average percent change in TP	B. Review calculations to verify accuracy. C. Confirm the average percent change inTP is ≤ 100%. If any single value falls	x			1st time: form no. 50/11-23/11/PKQPTN-TT, on 28/11/2012, TP=0.71mg/L 2nd time: form no. 51/11-23/11/PKQPTN-TT, on 28/11/2012, TP=0.65mg/L "Table of calculation percent change TP and TN" pond 10, %TP=41.67%
		over the entire monitoring period.	outside limits, raise a non-conformity.				"Report of average changing TN and TP", %TPavg = 44.795%
		d. Provice evidence of the on-site visit for the sampling of pond effluents for TP and TN staff from the accredited laboratory.	D. Review visit evidence for sampling for TP and TN to comfirm complaince with procedures.				Checked the "farm diary", "Form of taking samples", confirm the staff from laboratory complied with the requirement in taking samples
		Note: see instructions for Indicator 3.3.1					
	Indicator: Maximum average percentage change of TI between inlet [25] and outlet [26] (SeeTN measurement methodology and TN discharge formula	a. Provide laboratory results for TN in water samples from inlet and outlets	A. Review laboratory results for TN.				"Testing analytical report" of abstract and discharge water of pond 10. - Abstract water: Form no. 45/11-23/11/PKQPTN-TT on 28/11/2012. TN = 1.56mg/L - Dischare water: 1st time: form no. 50/11-23/11/PKQPTN-TT, on 28/11/2012, TN=2.02mg/L 2nd time: form no. 51/11-23/11/PKQPTN-TT, on 28/11/2012, TN=1.84mg/L
3.3.2	in Annex D). Requirement: 70%	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.	×			"Table of calculation percent change TP and TN" pond 10, %TN=23.72%
	Requirement: 70% C. Us Applicability: Ponds d. Di	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.				"Report of average changing TN and TP" on 25/12/2012, %TNavg = 22.435%
		d. During the on-site vist, arrange for the auditor to contact observe sampling of pond effluents f or TP and TN.	D. Witness sampling for TP and TN to confirm compliance with procedures.				Checked the "farm diary", "Form of taking samples", confirm the staff from laboratory complied with the requirement in taking samples
Footnote	[25] Inlot: The water in the intake sanal as also	cible to the form or pand being cortified					
Footnote	[25] Inlet: The water in the intake canal, as close as pos						
Footnote	[26] Outlet: The actual water being discharged, not the	receiving water.					

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		Instruction to Clients for Indicator 3.3.3-Measuring DO in Water Discharg See Indicator 3.2.1 for a general description of the equipment and methol system this could be the water in the final part of the treatment system by	d used to measure dissolved oxygen (DO). Take DO measurements at the outlet w	here water is	discharged (i	.e. measure DO	in the actual water being discharged, not in the receiving water. For farms using a water treatment
	Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO	a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months	A. Review data set to confirm that monitoring covers the required timeframe				"Result of measuring DO in discharge water" from 08/01/2012 to 30/12/2012. Measures DO once/week. DO from 3.0mg/L to 4.0mg/L
3.3.3	measurement methodology in Annex D) Requirement: 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 ≥ 6 months	B. Confirm DO in water discharged by farm is > 3 mg/1. If any single value falls outside limits, raise a non-comformity.	x			"Result of measuring DO in discharge water" DOavg = 3.41mg/L
	Applicability: ponds	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.				Onsite measuring: Settlement pond 1: at 5h55 - DO = 3.0mg/L Settlement pond 2: at 5h42 - DO = 3.5mg/L Settlement pond 3: at 5h30 - DO = 3.5mg/L The results of on-site tracking are all in range of farm records
3.4 Criteria: Slu	dge disposal for ponds and pens, not cages [27]				Complianc		Finding
F	[27]		Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
Footnote	[27] For cage culture, there are no requirements forber	nthic monitoring included, as cages account for a small percentage of prod	uction. This situation will be monitored and revised if the production of cage cultu	re rises signifi	cantly.	1	
		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.				"Plan of monitoring fish" no. GDC-GAP, Part P: Controlling waste products (SSOP7)
	Indicator: Evidence that sludge is not discharged	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				"Form of monitoring sludge discharging and treating" records from 30/07/2012 to 29/12/2012, with the information of sludge conditions
3.4.1	directly into receiving waters or natural ecosystems [28] Requirement: Yes	c. If sludge is transferred (e.g. for agricultural use), be in possession of a declaration from the receiving party that specifies the sludge volume, delivery date, and expected use. The party shall declare that the sludge will not be discharged directly into receiving waters or natural ecosystems.	C. If yes to (c), confirm farm has appropriate documentary evidence.	x			"Agreement minute" no 04/2012/GD-BBTT, on 1/04/2012, signed between GODACO and the sludge receipent, sludge is used as fertilizer. After giving sludge to the receiving party, the farm monitors sludge treatments, in "Form of monitoring sludge discharging and treating" records from 30/07/2012 to 29/12/2012
	Applicability: All	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 ors statement from the owner or right of use).	D. If yes to (d), inspect sludge repository during on-site visit.				N/A. The farm do not use sludge pond to keep sludge
			E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems				Interviewed workers and local community confirmed that there is no sign of discharging sludge to the natural environment
Footnote	[28] The complex of a community and its environment	functioning as an ecological unit in nature. More simply, it's both living and	d non-living things that interact with each other. In these standards, both the terre	strial and aqu	atic ecosyste	ms are consider	ed
3.4.2	Indicator: Evidence of a sludge repository of appropriate size (See sludge repository formula in Annex D)	3.4. 1a). All sludge areas and volumes must be considered in the calculati	ndard. Farms shall document how this formula was used to calculate the appropri on. For 'Area of Pond', consider only the area of the pond from which sludge has to he repository exceeds the minimum volume (i.e. it is an appropriate's size).				ository. Farms may, for example, document their calculations in the sludge management plan (see
3.4.2	Requirement: Yes Applicability: Farms managing the sludge using a	a. Provide calculations showing the sludge repository is of appropriate size	A. Review farm's calculations to verify accuracy. Confirm compliance.				Sludge is transferred to use as fertilizer
	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.			×	N/A. However, the farm also prepare a sludge pond with area of 2,500m2 for containing sludge in case of needing
3.5 Criteria: Wa	ste managerment	Compliance Criteria {Required Client Actions}	Auditor Evaluation (Required CB Actions)	Yes	Complianc No	e N/A	Finding
	Indicator: Evrdence 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	Tes	NU	N/A	"Plan of monitoring fish" Part P: Controlling waste products, Item III. The nessesary procedures
	Requirement: None	b. During the on-site visit, arrange for the audit or to inspect the farm's solid waste management system.	B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.	x			There is no solid waste discharge to the natural environment

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	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.				Human rubbishes and production waste are treated effective and not discharged to the natural environment For the empty feed bags: "Form of hand-over empry feed bag" records about handing-over the empty feed bags back to the feed supplier
		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				Septic tanks are equipped for each toilet to dispose human waste. There is no sign of discharging human solid waste to the natural environment
	Indicator: Evidence of human and animal solid wastes being discharged into the natural environment	b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).	B. Verify that emptying and maintenance fallow the schedule.				"Plan of monitoring fish" Part P: Controlling waste products, Item III. The nessesary procedures, mention about the schedule of emptying septic tanks
3.5.2	Requirement: None 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 empying and maintenance follow the schedule.	х			There is no sign of leaking or directly discharge to natural environment of septic tanks. There is no record of emptying septic tanks because it has not been on-time yet
	7,551.00	d. Provide evidence for burial of animal feces (as applicable).	D. Inspect site to verify that the farm buries any animal feces (if applicable).				Beside fish, there is no any other animal is grownth in the farm.
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).				"Technical designs of septic tank of Con Linh A Farm" in the design of the septic toilet
	Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment	Prepare a plan for farm management of chemical and medicine wastes.	A. Review farm's plan for management of chemical and medicinal wastes.				"Plan of monitoring fish" Part P: "Receiving, using and managing chemical", Item III. "The nessessan procedure"
3.5.3		b. During the on-site visit, allow the auditorto 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			There is no sign of discharging chemical/medicine to 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.				"Form of handing-over chemical empty containers" about sending empty containers back to chemical/medicines suppliers
		Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Prepare a plan for the proper disposal of dead/moribund fish that specific annimals other than pangasius (requires statement from aquatic animal Dead fish should never be used for human consumption unless specificall	es the means of disposal using one or more of the following categories: incineration realth specialist, see Principle 6); sold.	n (excluding	regular burnir	ng, as not allowe	rd); burial; fermentation and as fertilizer; spectic tank; production of fish meal or fish oil; feed for
		a. Provide auditor with the farm's plan for disposal of deadd/moribund fish.	A. Review the farm's plan for compliance with Indicator 3.5.4				"Plan of monitoring fish" no. GDC-GAP, Part K: "Instruction of cleaning farm, pond and preventing cross contamination" (SSOP 02)
		b. burial, incineration: plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).				Dead fishes are burried in the deaf fish burial "Form of monitoring dead fish" of each pond, records from 01/2012 to the audit date. Cross- checked with the "Farm diary" of quantity of dead fish, confirm compliant
	Indicator: Evidence of proper disposal (30) of dead/moribund fish	c. septic tank: plan gives procedures for disposal of fish in septic tanks, specifies the schedule for emptying tanks, and identifies personnel involved (e.g. contracts with external parties).	C.Verify by review of documentary evidence (as applicable).				N/A. Farm does not use septic tank to treat dead fish
3.5.4	Requirement: Yes Applicability: All	d. production offish meal or fish oil: specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.	D. Verify by inspection (as applicable).	x			N/A. Dead fishes are not used to make fish meal or fish oil
		e. feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d"): Option is allowed only if an aquatic animal health specialist concludes that mortality was not caused by an infectious agent or a pesticide/chemical pollutant.	E. Verify that farm possesses written statement(s) from aquatic health specialist (as applicable).				N/A. Dead fishes are not used as feed for animals
		f. sold: Plan identifies the option of sales. For all sales, the farm must prepare a contract that states how the buyer will use the dead fish. If intended as animal feed (either directly or as fish meal/oil) the contract and the statement of the specialist confirm compliance with requirements.	F. Verify review of documentary evidence (as applicable)				"Plan of monitoring fish" no. GDC-GAP, Part K: "Instruction of cleaning farm, pond and preventing cross contamination" (SSOP 02), there is the plan of selling dead fish. But until the audit date, all dead fishes are burried.
			G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposal followed the plan.				The plan is implemented effectively, interviewed some workers, confirm that the dead fishes are treated according to the plan
ootnote		burial, fermentation and use as fertilizer and production offish meal or fish f mortality shall be provided by the aquatic animal health specialist (see Pr		ere is strong	evidence that	the mortality w/	Is sixty talked by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for
Footnote 3.6 Criteria: Ene	animals other than pangasius. Evidence on the cause of			ere is strong	evidence that		sitqt talked by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for Finding

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3.6.1	Indicator: Information available on the following variables (per year per farm in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method.	a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.	A. Review calculations. Verify the farm keep records of energy consuntption.	x			The Invoice of the used energy "Form of monitoring energy using" about monitoring energy using in the farm
	Requirement: Yes Applicability: All	b. Provide records, of mortality quantities, (see Indicator 6.4.4), and their dispose method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop-per site (see preamble).	B. Verify the farm-maintains accurate records of-mortalities and disposals.				"Form of monitoring dead fish" of each pond. Cross-checked with the "Farm diary" of quantity of dead fish, confirm compliant
	ONSERVE SPECIES DIVERSITY AND WILD POPULATIONS						
4.1 Criteria: Pres	sence of pongosius in the woter droinoge system	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliance No	e N/A	Finding
		Note: If the farmed species is not indigenous to the river basin and the sp	pecies does not have a self-recuiting stock estabished, then Indicator 4.1.1. does no	ot apply. Enter	r 'not applicat	ble' here and pro	ceed to assess farm compliance against Indicator 4.1.3.
	Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruit in	a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.	A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.				"Declaration of farm manager" specifies the name of latin fish "Statement of pangasius seedling origin" from the seedling supplier, states the Latin name of the fish that supplied to the farm - Seedlings purchasing records includes: "Contract of supplying seedling" of seedling suppliers and GODACO "Form of inspecting seedling quanlity and declaration of seedling supplier" for each stocking event. Cross checked with the "farm diary" for each pond.
	[32] stock established before Ist January 2005 Requirement: Yes	b. Provide a map of the river basin showing the location of the farm (see 2.1.1).	B.Review map to confirm farm location within river basin.				"Map of Mekong River Basin and Con Linh A farm of GODACO", with the location of the farm in the map.
	Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock	c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).	C. Confirm that documentation show the farmed species is indigenous to the river basin.	х			"Distribution and Ecology of Some Important River Fish Species of the River Mekong Basin"
	established	d. If the species is not indigenous and has a self-recruiting stock established in the river basin, provide documentary evidence (peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times and location) indicating that the stock was self recruiting before 1st January 2005.	D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.				N/A. The farmed specie is indigenous
			E. Verify the identity of the farmed species by direct observation during on-site visit.				Took the visual observation at the farm, confirm that there is only pangasius tra in the farm
4.1.2	Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33] Requirement: Yes Applicability: Farms in a river basin where the species is not-indigenous and a self-recruiting stock is established	a. Provide documentary evidence: peer-reviewed papers, official government (competent authority) statements or other comperable references indicating no negative impacts. Negative impact by a self-recruiting stock includes but is not restricted to; -changing the genetic diversity of wild pa ngasius through interbreeding competition (e.g. displacement of local species) - habitat destruction	A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.			x	N/A. The farmed specie is indigenous, not the self-recruiting specie
Footnote	[32] Self-recruiting is defined as naturally reproducing.	I Peer-reviewed papers, official government (competent authority) stateme	ents or other comparable references on multiple incidences of different age classe:	s at different t	imes-and loca	ation are necessa	ary as evidence.
Footnote		etent authority) statements or other corn parable references are necessar					
	[55] . Co. Testewood papers, ornelar government (comp			record of publi	ishing on the	subject. Cert if ie	er to verify that the evidence credibly demonstrates that operations are compliant with meeting
		international norms around the prevention of introduction of non indiger	nous species in the natural environment outside of client's farm.				
	have 6 self-recruiting stock established, evidene.e that the species cannot establish in the river basin [34] Requirement: Yes Applicability: Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established	a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.	A. Review evidence provided by the farm to confirm that the farmed species can not establish in the river basin.			x	N/A. The farmed specie is indigenous
Footnote:	and a discourse				C		Flo. P
4.2 Criteria: Gen	netic diversity	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliance No	e N/A	Finding
		compliance circula (nequired clicite Actions)	reducer Evolution (nequired ed Actions)	163	140	11/7	

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	Indicator: Demonstration [35] that the seed [36] has	a. Obtain evidence for either of the following: - the species is indigenous to the river basin (result from 4.1.1); or - a self recruiting stock has established in the river basin (result from 4.1.2). b. Provide a map of the river basin showing the location of the-farm (see2.1.1)	A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there. B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river				"Distribution and Ecology of Some Important River Fish Species of the River Mekong Basin" "Map of Mekong River Basin and Con Linh A farm of GODACO", with the location of the farm in the map.
4.2.1	been generated from the pangasius population naturally reproducing in the river basin [37] Requirement: Yes Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	c. Obtain a declaration from seed suppliers) stating that the seed was	C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.	х			"Statement of pangasius seedling origin" from the seedling supplier, on 12/11/2012, stating that the seed was generated from broodstock deriving from the pangasius population naturally reproducing in the river basin. - Seedlings purchasing records includes: "Contract of supplying seedling" no.12/HDKT.TTGTS, on 8/1/2012 of seedling suppliers and GODACO; and "Form of inspecting seedling quanlity and declaration of seedling supplier" for each stocking event. Confirm that the source of seedling is accurately identified in purchase records.
		d. For all seed purchases, maintain sufficient records (e.g. receipts) to indentify the river-basin source of broodstock. For first audits, farm records must cover ≥6 months	D. Verify that sourcing of seed is in compliance with the requirement				The auditor checked the seedling records, and "Statement of pangasius seedling origin" confirm that broodstocks are from the pangasius population naturally reproducing in the river basin
		ed the range of the species, as well as distinct stocks, will be necessary.					
	Throughout these standards, the word "seed" is used for						
Footnote [37] 1		d from either populations which are indigenous or populations which are e	stablished before January 2005.		C		etado
4.3. Criteria: Sc	ource of seea	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliance	N/A	Finding
		a. Provide a declaration that the farm does not use wild-caught seed for grow out	A. Verify declaration of no wild-caught seed for grow out.				"Declaration of farm manager" of the farm, with the delaration of no wild-caught seed for grow out.
	Indicator: Allowance, for use of wild-caught seed for grow out	b. Obtain statement from seed suppliers) that the seed is not wild- caught (e.g. seed is derived from a broodstock held in captivity).	B. Verify that farm has statements from seed suppliers				There is no statment that the hatchery does not use wild-caught seedling
4.3.1	Requirement: None Applicability: All	c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥6 months.	C. Verify the farm maintains accurate records for sourcing of seed.		x		Seedlings purchasing records includes: "Contract of supplying seedling" no.12/HDKT.TTGTS, on 8/1/2012 of seedling suppliers and GODACO; and "Form of inspecting seedling quanlity and declaration of seedling supplier" for each stocking event. Cross checked with the "farm diary" for each pond.
							Confirm there is no wild-caught seedling in the farm
4.4 Criterio: Ge	neticolly engineered ond hybridized strains				Compliance	e	Confirm there is no wild-caught seedling in the farm Finding
4.4 Criterio: Ge	neticolly engineered ond hybridized strains	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliance	e N/A	
4.4 Criterio: Ge	Indicator: No use of genetically engineered (transgenic) or hybrid seed	Compliance Criteria (Required Client Actions) a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.	Auditor Evaluation (Required CB Actions) A. Verify declaration of no use of genetically engineered or hybrid strains.	Yes			
4.4 Criterio: Ge 4.4.1	Indicator: No use of genetically engineered	a. Provide a declaration that the farm does not use genetically		Yes			Finding
4.4.1 Footnote [31]	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modifed organism (GMO) is an organism,	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover 26 months.	A. Verify declaration of no use of genetically engineered or hybrid strains.		x x ctive 2001/18	N/A N/A	Finding "Declaration of farm manager" on 20/11/2012 There is no statment that the seed is not genetically engineered (transgenic) or hybrid.
4.4.1	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modifed organism (GMO) is an organism,	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. 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. with the except ion of human beings, in which the genetic material has be	A. Verify declaration of no use of genetically engineered or hybrid strains. B. Verify that farm maintains statements from seed suppliers. en altered in a way that does-not occur naturally by mating and/or natural recommendations.	bination (Dire	x x ctive 2001/18	N/A N/EC)	Finding "Declaration of farm manager" on 20/11/2012
4.4.1 Footnote [31]	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modifed organism (GMO) is an organism, capees. Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover 26 months.	A. Verify declaration of no use of genetically engineered or hybrid strains. B. Verify that farm maintains statements from seed suppliers.		x x ctive 2001/18	N/A N/A	Finding "Declaration of farm manager" on 20/11/2012 There is no statment that the seed is not genetically engineered (transgenic) or hybrid.
4.4.1 Footnote [31]	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modifed organism (GMO) is an organism, capees. Indicator: Evidence that inlets and outlets to culture	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover 26 months. with the except ion of human beings, in which the genetic material has be Compliance Criteria (Required Client Actions) a. Provide farm records indicating fish sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full	A. Verify declaration of no use of genetically engineered or hybrid strains. B. Verify that farm maintains statements from seed suppliers. en altered in a way that does-not occur naturally by mating and/or natural recomb	bination (Dire	x x ctive 2001/18	N/A N/EC)	Finding "Declaration of farm manager" on 20/11/2012 There is no statment that the seed is not genetically engineered (transgenic) or hybrid. Finding
4.4.1 Footnote [31] 4.5 Criterio: Est	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modified organism (GMO) is an organism, capees. 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	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. 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. with the except ion of human beings, in which the genetic material has be Compliance Criteria (Required Client Actions) 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). b. Maintain records indicating the size of net mesh or grills for the entire	A. Verify declaration of no use of genetically engineered or hybrid strains. B. Verify that farm maintains statements from seed suppliers. en altered in a way that does-not occur naturally by mating and/or natural recom	bination (Dire	x x ctive 2001/18	N/A N/EC)	Finding "Declaration of farm manager" on 20/11/2012 There is no statment that the seed is not genetically engineered (transgenic) or hybrid. Finding "Farm diary" of each pond, fishes are weighed every 15 days "Plan of monitoring fish"Part I, Item II, states the net mesh size for pond and for each period of stocking
4.4.1 Footnote [31] 4.5 Criterio: Est	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modifed organism (GMO) is an organism, copees. Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape Requirement: Yes	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. 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. with the except ion of human beings, in which the genetic material has be Compliance Criteria (Required Client Actions) 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). b. Maintain records indicating the size of net mesh or grills for the entire	A. Verify declaration of no use of genetically engineered or hybrid strains. B. Verify that farm maintains statements from seed suppliers. B. Verify that farm maintains statements from seed suppliers. An altered in a way that does-not occur naturally by mating and/or natural recombination (Required CB Actions) A. Review records for fish size in different holding units. B. Review records for mesh or grill size. C. Duringthe on-site visit, inspecting the size of net mesh or grills to confirm	bination (Dire	x x ctive 2001/18	N/A N/EC)	Finding "Declaration of farm manager" on 20/11/2012 There is no statment that the seed is not genetically engineered (transgenic) or hybrid. Finding "Farm diary" of each pond, fishes are weighed every 15 days "Plan of monitoring fish"Part I, Item II, states the net mesh size for pond and for each period of stocking Cross-checked with the "Form of daily monitoring farm hygiene" for each pond
4.4.1 Footnote [31] 4.5 Criterio: Est	Indicator: No use of genetically engineered (transgenic) or hybrid seed Requirement: Yes Applicability: All A-genetically modifed organism (GMO) is an organism, copees. Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape Requirement: Yes Applicability: All Indicator: Evidence of regular, timely inspections (at least once a day); mitigation and repairs are	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed. 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. with the except ion of human beings, in which the genetic material has be Compliance Criteria (Required Client Actions) 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). b. Maintain records indicating the size of net mesh or grills for the entire farm. For first audits, farm records must cover ≥6 months. a. Provide farm records for daily inspection of net mesh or grills used in	A. Verify declaration of no use of genetically engineered or hybrid strains. B. Verify that farm maintains statements from seed suppliers. B. Verify that farm maintains statements from seed suppliers. B. Verify that farm maintains statements from seed suppliers. An altered in a way that does-not occur naturally by mating and/or natural recombination (Required CB Actions) A. Review records for fish size in different holding units. B. Review records for mesh or grill size. C. Duringthe on-site visit, inspecting the size of net mesh or grills to confirm compliance.	bination (Dire	x x ctive 2001/18	N/A N/EC)	Finding "Declaration of farm manager" on 20/11/2012 There is no statment that the seed is not genetically engineered (transgenic) or hybrid. Finding "Farm diary" of each pond, fishes are weighed every 15 days "Plan of monitoring fish"Part I, Item II, states the net mesh size for pond and for each period of stocking Cross-checked with the "Form of daily monitoring farm hygiene" for each pond Checked the net of ponds in the farm confirm compliance

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				_			
	Applicability: All	c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inpection of meshes and grills to confirm that the program is effective.				On-site observation confirm compliance
	Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy	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.				"The highest water level of each year" from 2002 to 2011, signed by the Center of hydrometeorology of Ben Tre Province
4.5.3	Requirement: Yes	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 verity 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.	×			"The balance note book" on 06/11/2012, about measuring altitude of the farm, done by the Center of hydrometeorology of Ben Tre Province, state the lowest point of the farm "Map of altitude of Con Linh A Farm" state the lowest point of the farm on the map, signed by the Center of hydrometeorology of Ben Tre Province
	Applicability: Ponds	c. Provide a written statement that there were no incident of significant spillage or escapement due to of flooding in the last 12 months	C. During local community and employee interviews, verify there is no evidence for spillage or escapement from the farm in the last 12 months.				Interviewed local community: there is no evidence for spillage or escapement from the farm in the last 12 months.
Footnote [38]	Bund: berm containing the water in the pond.						
Footnote [39]	Consider 10 years maximum water level (including cas	es of storms)					
	Indicator: Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture	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/corn promise fish (e.g. gill nets).				"Farm map" with the quantity and loaction of trapping devices. Onsite observation, confirm the trapping devices are suitable
4.5.4	escapees, a record of findings and actions taken (available for inspection)	b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.	B. Review records of inspection and observed escapees.	x			"Form of daily monitoring hygiene" Table 3. Checked the trapping devices weekly
	Requirement: Yes Applicability: All	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 fier site (see preamble).	C. Review the suitability of any action taken by the farm to reduce escapement				"Form of daily monitoring hygien" Table 3. Checked the trapping devices weekly, there is no any escapee
			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.				On-site visual observation, the trapping devices, does not injure or compromise fish health
	These devices should not injure or compromise fish he	ealth (e.g., gill nets).					
4.6 Criteria: Poi	nd Maintenance	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Compliance No	N/A	Finding
		a. Prepare a procedure for the monitoring and repair of damaged bunds.				.4	"Plan of monitoring fish" No.GDC-GAP, Page 19, Item III. "The nessessary procedure"
	Indicator: Evidence that bund has remained intact [41] throughout the culture cycle	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 corn promised, there shall be evidence that repairs were completed as soon as practical.				"Form of daily monitoring hygien", table 2. checked daily
4.6.1	throughout the culture cycle Requirement: Yes	b. Maintain a record of bund monitoring and repair that identifies date of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds.	months. If a bund was found to be corn promised, there shall be evidence that	×			"Form of daily monitoring hygien", table 2. checked daily Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2
4.6.1	throughout the culture cycle	of damage detection and when the farm initiated and completed repairs.	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and	х			Pond 9, the bund is collapsed and then repaired by reinforcing the bund.
	throughout the culture cycle Requirement: Yes	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds.	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have	×			Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture
	throughout the culture cycle Requirement: Yes Applicability: All	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds.	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have	×			Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture
	throughout the culture cycle Requirement: Yes Applicability: All Has not been affected in such a way to allow the escap Indicator: Evidence assuring there has been no intentional release [42] Requirement: Yes	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds. e in part or all of the farmed stock. a. Prepare a declaration that the farm has made no intentional releases	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle. A. Review declaration to confirm compliance. B. Review records to confirm that all stockings can be accounted by harvest or	x			Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture cycle.
Footnote [41]	throughout the culture cycle Requirement: Yes Applicability: All Has not been affected in such a way to allow the escap Indicator: Evidence assuring there has been no intentional release [42]	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds. e in part or all of the farmed stock. a. Prepare a declaration that the farm has made no intentional releases in the last 12 months b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle. A. Review declaration to confirm compliance. B. Review records to confirm that all stockings can be accounted by harvest or				Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture cycle. "Declaration of farm manager" Checked these records, confirm that all stockings can be accounted by harvest or disposal: "Contract of supplying seedling" about puchasing seedling, "Form of inspecting seedling quanlity and declaration of seedling supplier" about quantity of fish stocked into each pond and quantity of dead fishes, "Form of monitoring dead fish" about quantity of
Footnote [41]	throughout the culture cycle Requirement: Yes Applicability: All Has not been affected in such a way to allow the escap Indicator: Evidence assuring there has been no intentional release [42] Requirement: Yes Applicability: All	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds. e in part or all of the farmed stock. a. Prepare a declaration that the farm has made no intentional releases in the last 12 months b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble). c. Prepare a written justification for any periods of inactivity la sting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble)	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle. A. Review declaration to confirm compliance. B. Review records to confirm that all stockings can be accounted by harvest or disposal C. Review annual production records to determine if there are significant discrepancies that could idicate the possibility of intentional release.	x	and the number	er (or biomass)	Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture cycle. "Declaration of farm manager" Checked these records, confirm that all stockings can be accounted by harvest or disposal: "Contract of supplying seedling" about puchasing seedling, "Form of inspecting seedling quanlity and declaration of seedling supplier" about quantity of seedling, "farm diary" about quantity of fish stocked into each pond and quantity of dead fishes, "Form of monitoring dead fish" about quantity of disposed dead fishes; "Form of purchasing material" about quantity of harvested fish
Footnote [41] 4.6.2 Footnote [42]	throughout the culture cycle Requirement: Yes Applicability: All Has not been affected in such a way to allow the escap Indicator: Evidence assuring there has been no intentional release [42] Requirement: Yes Applicability: All The original intent of footnote [42] from the Pangasius	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds. e in part or all of the farmed stock. a. Prepare a declaration that the farm has made no intentional releases in the last 12 months b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble). c. Prepare a written justification for any periods of inactivity la sting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble) sAquaculture Dialogue Standards has been clarified here for auditing purposes.	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle. A. Review declaration to confirm compliance. B. Review records to confirm that all stockings can be accounted by harvest or disposal C. Review annual production records to determine if there are significant discrepancies that could idicate the possibility of intentional release.	x	and the numbe	er (or biomass)	Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture cycle. "Declaration of farm manager" Checked these records, confirm that all stockings can be accounted by harvest or disposal: "Contract of supplying seedling" about puchasing seedling, "Form of inspecting seedling quantity and declaration of seedling supplier" about quantity of seedling, "Farm diary" about quantity of fish stocked into each pond and quantity of dead fishes, "Form of monitoring dead fish" about quantity of disposed dead fishes; "Form of purchasing material" about quantity of harvested fish There is no any pond inactived longer than 3 months of fish sold in the absence of disease outbreaks, major theft or escapes would indicate the possibility
Footnote [41] 4.6.2 Footnote [42]	throughout the culture cycle Requirement: Yes Applicability: All Has not been affected in such a way to allow the escap Indicator: Evidence assuring there has been no intentional release [42] Requirement: Yes Applicability: All The original intent of footnote [42] from the Pangasius of intentional release."	of damage detection and when the farm initiated and completed repairs. c. During the on-site visit, arrange for auditor to inspect farm's bunds. e in part or all of the farmed stock. a. Prepare a declaration that the farm has made no intentional releases in the last 12 months b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble). c. Prepare a written justification for any periods of inactivity la sting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble) sAquaculture Dialogue Standards has been clarified here for auditing purposes.	months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical. C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs. D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle. A. Review declaration to confirm compliance. B. Review records to confirm that all stockings can be accounted by harvest or disposal C. Review annual production records to determine if there are significant discrepancies that could idicate the possibility of intentional release.	x	and the number	er (or biomass)	Pond 9, the bund is collapsed and then repaired by reinforcing the bund. This action was recorded in the "Form of daily monitoring hygien", table 2 Interviewed local community: confirm that bunds have remained intact throughout the culture cycle. "Declaration of farm manager" Checked these records, confirm that all stockings can be accounted by harvest or disposal: "Contract of supplying seedling" about puchasing seedling, "Form of inspecting seedling quanlity and declaration of seedling supplier" about quantity of seedling, "Form of monitoring dead fish" about quantity of disposed dead fishes; "Form of purchasing material" about quantity of harvested fish There is no any pond inactived longer than 3 months

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unprocessed fish and/or ash fish) as feed b.	. Maintain records (e.g., receipts) for all purchases of commercial feed in ne last 12 months. For first audits, farm records must cover ≥ 6 months. If any farm-made feed was used, provide a description of ingredients	A. Review-farm's records for commetcially sourced feeds				"Form of monitoring input feed" records about feed input, for every batch of feed, records fully since 01/2012 until the audit date	
ash fish) as feed b.	. If any farm-made feed was used, provide a description of ingredients		4			since 01/2012 difficilitie data care	
		B. Review ingredients to verrfy that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).	x			N/A. There is no farm-made feed	
		C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.				The auditor checked: "Farm diary" about feed given for each pond; "Feed inventory" about the quantity of inpput-storing-output "Form of monitoring input feed" about quantity of input Confirm that there is no indication of unexplained sources of feed.	
II forms of fish or products d	derived from fish (e.g., whole fresh, frozen; minced, dried, meals; oils, an	d processing by-products)					
		A. Review farm's declaration to confirm that no by-products of pangasius fish used as feed for pangasius				"Declaration of farm manager"	
ts m	nanufacturer showing compliance. For first audits, farm records must	B. Review manufacturer's declaraction to confirm no pangasius by-products were in feed	×			"Declaration of feed manufacturer" states that there is no any ingredient original from pangasius in the feed	
de inj re	eclaration that no pangasius by-products were used as feed igredients. If fish meal or fish oil was used, obtain a statement from the espective supplier confirming compliance. For first audits, farm records	C. Review farm documentation to confirm that no pangasius by-products were used In feed preparation (if applicable)				N/A. Farm only uses commercial feed	
frames from the processing	g of fish—either wild or farmed—are processing by-products. Generally,	these- are not counted as part of the "fish product" amount when calculating fee	d fish equival	encies, as this	helps promote t	he best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in	
Instructions to Clients for Indicator 5.1.3- Confirm there are no IUCN Red List Species in Feed For the purposes of this Indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species. For each fish product used as a feed ingredient, determine whether the species, is on fithe IUCN Red Listed species. For each fish product used as a feed ingredient, determine whether the species, is on fithe IUCN Red Listed species. Indicator: Fish products used in feed are not in the "threatened categories" [45] on the International Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with Indicator 5.1.3, consider only species identified as "Vulnerable", ""This products used in feed are not in the ""The primary search field enter the genus and species ""Click on "run search" and record the status of the species, """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and species """ In the primary search field enter the genus and							
all re	Il fish products used as feed ingredients (to specify genus, species and egion of harvest). For first audits, farm records must cover ≥ 6 months	A. Confirm that farm has records of ingredients from all commercially sourced feeds.				"Statement latter" about the ingredient in the feed for pangasius" on 10/04/2010, issued by the feed supplier, states the ingredient of feed for pangasius. "Declaration of feed manufacturer" on 10/11/2012, states all Latin name of all species in the fishmeal	
		B. Repeat search of IUCN database to verify that farm is in possesseion of accurate result	х			Repeat the search on IUCN redlist, shows that the farm is complied	
ca po	ategories" on the IUCN Red List. If fish meal or fish oil were used, be in ossession of a statement from the respective supplier confirming	C. Confirm that farm has provides sufficient evidence of compliance				N/A. Farm only uses commercial feed	
and Critically Endangered.							
latest version. A period of or	ne 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 stand	ards.				
all re in feed are not from on on International Trade	If fish products used as feed ingredients (to specify genus, species and gion of harvest). [See Indicator 5.1.5 about sourcing of trimmings and quacultured products as feed ingredients]. For first audits, farm records usst cover ≥ 6 months and all the feed requirements apply only to fish					"Statement latter" about the ingredient in the feed for pangasius", issued by the feed supplier, states the ingredient of feed for pangasius. "Declaration of feed manufacturer" states all Latin name of all species in the fishmeal	
f financian	a a with processing by-products by a processing by-products by-processing by-products by-products by-processing by-products by-products by-processing by-products by-processing by-products by-processing by-products by-processing by-products by-processing by-products by-processing by-process	a. Prepare a declaration that no by-products of pangasiusfish processing were used as feed for pangasius at anytime during the last 12 months. b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 month and all the feed requirements apply only to fish on site. c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used as feed ingredients. If fish meal or fish oil was used, obtain a statement from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months. Instructions to Clients for Indicator 5.1.3- Confirm there are no IUCN Refor the purposes of this Indicator, the ASC definition of fish products 'sha Thisrestriction extends to feeds, that use by-pro ducts (e.g. trimming) or a for each fish product used as a feed ingredient, determine whether the signoid in the primary search field enter the genus and species. In feed are not in the cilick on "run search" and record the status of the species, Note: The IUCN Red List uses nine categories for ranking species according "Endangered", or "Critically Endangered". Species that are listed in other in the status of the 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. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance. a. Obtain a statement from the respective supplier confirming compliance. c. If farm-made feed was used, verify that no species are in "threatened categories" on the IUCN Red List. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance. a. Obtain a statement from feed manufacturer identifying the origin of all fish product	torms of fish or products derived from fish (e.g., whole fresh, frozen; minced, dried, meals; alls, and processing by-products) a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at amytime during the last 12 months. b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 month and all the feed requirements apply only to fish on site. c. If farm-made feed was used in the last 12 months, prepare a declaration from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months. 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 for the purposes of this indicator, the ASC definition of "fish products" shall encompass all wild-capture marine resources, including finfish and invertebratt This restriction extents to feeds, that use by-pro ducts (e.g. trimming) or aguacultured products of JUCN Red list as follows: - groth http://www.lucnredist.cog/ - groth thtp://www.lucnredist.cog/ - in the primary search field enter the genus and species - redict on "nu search" and record the status of the species, is on the IUCN Red list as follows: - etch to the primary search field enter the genus and species - etch of "Critically Endingered". Species that are not search and region of harvest), for "first all wilds, farm records must cover ≥ 6 months and the feed requirements apply only to fish on site. b. Verify that nose of the species (e.g. "Not evaluated", "Data Deficient") and "least Concern"), may all the feed requirements apply only to fish on site. c. If farm-made feed was used, yerly that no species are in "threatened categories" on the IUCN Red List of Threatened Species. c. If farm-made feed was used, yerly that no species are in "threatened categories" on the IUCN Red List of Threatened pendingered. L	Interest from the processing by-products derived from fish (e.g., whole fresh, frozen, minced, dried, meals; oils, and processing by-products) a. Prepare a declaration that no by-products of pangasius/sh processing were used as feed for pangasius at anytime during the last 12 months, used as feed for pangasius were used as feed for pangasius at anytime during the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover 2 6 month and all the feed requirements apply only to fish on site. C. If farm—made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used a feed ingredients. If fish meal or fish oil was used, obtain a statement 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 equivalent for the purposes of this indicator, the ASC definition of fish products' shall encompass all wild capture marine resources, including finish and invertebrate species (e.g. This restriction extends to feeds, that use by products (e.g. throning) or aquascultured products of UCN Red List especies. For each fish product used as feed ingredient, determine whether the species, is on the IUCN Red List especies. In feed are not in the in the international religion of hardway used of the flore of the species of the products used as feed ingredient determine whether the species, is on the IUCN Red List especies are in the international religion of hardway in the flore of the species are in the international religion of hardway from the species are in "threatened and encounted as a feed ingredient (is a page) and the flore of the species are in "threatened categories" on the IUCN Red List (is the major of fish products used as feed ingredients (to species are in "threatened acaptories" on the IUCN Red List (is the major of fish of the religion of hardway). It is the primary search fled end used to the flo	forms of fish or products derived from fish (e.g., whole fresh, frozes; minced, dried, meaks oils, and processing by-products) a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at anytime during the last 12 months. b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover 2 of month and all the feed requirements apply only to fish on site. c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used as feed ingredients; if fish med or fish oil was used, obtain a statement from the specific supplier confirming compliance. For first audits, farm records must cover 2 of months. Trames 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 first the control of the control o	C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unequilished sources of feed. In processing by-products a. Prepare a declaration that no by-products of paragissis and syndrous during the last 12 months, obtain a declaration to confirm that no by-products of paragissis fish were used as feed for paragissis and syndrous during the last 12 months, obtain a declaration to confirm that no by-products of paragissis fish were exed as feed in paragissis of products and after the exercise of the confirm of the set 12 months, obtain a declaration from the numericative showing compliance. For first usefs, farm records must over 2 months and all the feed requirements apply only to fish on the set 12 months, obtain a declaration than on paragissis by-products of paragissis by-products over 2 months and all the feed requirement apply only to fish on the set 12 months, obtain a declaration than on paragissis by-products over exed 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 2 in months. Enumes from the processing of fish—either with or farmed—are processing by-products. Generally, these-are not counted as part of the "fish product" amount when calculating feed fish equivalencies, as this helps promote to the processing of fish—either with or find audits, farm records must cover 3 in months. In structions to Clients for indicator, the AS definition of "this product" shall encongass all wild capture marine resources, including finish and invertebrate species (e.g., shrimp, crab, squid). Farms me Thiorestriction extends for feels, that use by-pro ducts by exercises and products of the structure of the purposes of the indicator, the AS definition of "this product" shall encongass all wild capture marine resources, including finish and invertebrate species (e.g., shrimp, crab, squid). Farms me Thiorestriction extends for finish products and the spe	

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1	I (a = 1)						
5.1.4	[47] Requirement: Yes Applicability: All	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"	B. Repeat search of CITES database to verify that farm is in possession of an accurate result	х			Repeat the search on CITEST appendice I, II and II, shows that the farm is complied
		C. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance.	C. Confirm that farm has provided sufficient evidence of compliance				N/A. Farm only uses commercial feed
Footnote	[47] http://www.cites.org/eng/app/appendices.shtml						
	Indicator: ISEAL-certified fishmeal and fish oil products must be used in feed	Note 1: "becoming available in a region" means being commercially availa Note 2: "products" does not apply to trimmings and aquacultured produc	able in the region (UN regions) by at least one independent producers and indicat ts as feed ingredients (see Indicator 5.1.3).	ed in grey liter	ature (the da	ite of appearing i	n grey literature is to be used).
5.1.5	a region	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients [to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	 A. Confirm that farm has statement from feed manufacturer indentifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest) 				"Statement latter" about the ingredient in the feed for pangasius" issued by the feed supplier, states the ingredient of feed for pangasius, including fishmeal
	fishmeal and fish oil becoming available in the region of production. Not applicable if only trimming and aquaculture products are used	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.	B. Review evidence and confirm compliance.	х			Currently not applicable in Vietnam
5.1.6	Indicator: ISEAL certified fishmeal and fish oil products must be used in feed. Requirement: Within 5 years from the publication date of the PAD standards	a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits. farm records must cover ≥ 6 months and all the feed requirement apply only to fish on site.	A. Confirm that farm possesses information about feed ingredients.	x			"Statement latter" about the ingredient in the feed for pangasius" issued by the feed supplier, states the ingredient of feed for pangasius, including fishmeal
		b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5,	B. Re view evidence and confirm compliance.				Currently not applicable in Vietnam
	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	 - select "Species" drop down tab to the left - select the species that is utilized by the farm as a source of fish meal or or confirm that the search identifies the correct species, then select the top - Review scores to verify average FS scores > 6.0; no individual score < 6.0, 	o the following:. il tab that reads "Scores" and no "N/A" for "Stock assessment" category (category 4 in Fish Source scoring hen the feed does not meet requirements of the ASC Pangasius Standard. If the s		been assesse	ed (i.e. it is not lis	ted on the FishSource website), then the feed does not meet requirements of the Standard. Contact
5.1.7	IFFO) "Responsible Sourcing Program for Certification of Responsible Practice forFishmeal and Fish Oil Production Requirement: ≥6.0 with no individual score < 6.0 or an N/A in the stock assessment category. Yes	a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	A. Verify that farm possesses information about feed ingredients.				"Statement latter" about the ingredient in the feed for pangasius" issued by the feed supplier, states the ingredient of feed for pangasius. "Declaration of feed manufacturer" states all Latin name and region of harvesting of all species in the fishmeal
	Applicability: Up to when standard 5.1.5 or 5.1.6 can be met. Not applicable if only trimming and	 b. Provide an FS score or verification of IFFO certification for each species used as a feed ingredient in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site. 	B. Review FS scores and IFFO certification for species used-in feed. Cross check against species listed in feed supplier declarations (see 5.1.3a).	x			"Declaration of feed manufacturer" state that only using by products
5.2. Criteria: Eff	icient management of feed use on the form	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	Complianc No	e N/A	Finding
		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	ies	NO	N/A	"Form of inspecting seedling quanlity and declaration of seedling supplier" no. 07/2012, on 15/05/2012, quantity 85,800 seedling, stocked into pond 10 Cross checked with "Farm diary" of pond 10, on 15/05/2012, quantity: 85,000 seedlings
	Indicator: Maximum weighted [50] average of economic Feed-Conversion Ratio (eFCR) for the complete production cycle.	b. Maintain records showing the type of feed and the total weight used (see 3.1.1a) $$	B. Confirm that farm has complete and acccurate record for feed.				"Farm diary" of pond 10, stocking on 15/05/2012, harvesting on 25/12/2012. Total weight of feed given: 122,280kg

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5.2.1	Requirement: 1.68	c. Maintain records (e.g. receipts) showing weight of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify the farm keeps records showing weight of fish harvested.	x			The harvesting record: "Form of purchasing metarial" of pond 10 on 25/12/2012, harvested: 80,045kg of fish
	Applicability: All	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 calculation for accuracy and completeness				"Report of pond 10", eFCR = 1.61 (<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 far accuracy. Confirm compliance.				"Whole farm report", average eFCR of farm = 1.61
ootnote [50]	Weighting to be conducted by the amount offish pro	oduced in different farming units (e.g. ponds, pens and cages).					
522	Indicator: Maximum Fish Feed Equivalence Ratio (FFER)	 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 possesses information about percent inclusion of fish meal and fish oil for all feed types.				"Statement latter" about the ingredient in the feed for pangasius" issued by the feed supplier, states the ingredient of feed for pangasius. "Declaration of feed manufacturer" states all Latin name and region of harvesting of all species in the fishmeal, and state that only using by products
5.2.2	Requirement: 0.5 Applicability: All	b. Calculate the FFER using the formula given in Annex D of the Pangasius Standard. By-products from fish processing of species other than pangasius but not on the IUCN Red List or CITES lists can be used and not be factored in as "fish meal or oil" for this calculation	B. Review calculation verify accuracy. Confirm compliance.	×			Using by-product. Do not calculate FFER. The auditor checked the statement provided by the feed supplier
		naximizing fish health, welfare and ensuring food safety					
5.1 Criteria: Mo	ortalities				Complianc	e	
	T	Compliance Criteria (Required Client Actions).		Yes	No	N/A	
6.1.1	Indicator: Maximum average real percentage mortality, from stocking to harvest, during the grow-out period (See Real Percent Mortality formula in Annex D). Requirement: 20%	 direct counts of fingerlings, or computed by taking the total weight of stocked fish and dividing by the 2) Determine the number of fish harvested. This number may be obtained. direct counts of harvested fish, or computed by taking the total weight of harvested fish and dividing by at 3) Using the formula in Annex D, compute the Real Percentage Mortality 4) Repeat steps 1-3 for every other enclosure used by the farm. 5) Compute the average RPM for all enclosures over the last 12 months a Weighted Average RPM = [(RPME1 x YieldE1) + (RPME2 x YieldE2)+ (RP Where E1, E2, En are the 1st enclosure; the 2nd enclosure and the nth enfort the audits, records must cover at lease 1 full crop per site (see pream Note 1: Only use counts of live fish in these calculations. Do not include on Note 2: Only use information from complete crops. 	d from verage weight of the fish harvested. for the enclosure (Note 1). s follows: MEn x YieldEn)] / (YieldE1 + YieldE2+ (YieldEn) closure	xed fish.			
	Applicability: All	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	A. Review receipts. Confirm that farm records are are sufficient to dertemine of				There are records of each pond. "Form of inspecting seedling quanlity and declaration of seedling supplier" no. 07/2012, on
		12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).	seed stocked into each enclosure.				15/05/2012, quantity 85,800 seedling, stocked into pond 10
		12 months. For first audits, farm records must cover ≥ 6 months and	B. Review records. Confirm that farm records are sufflicient to determine number of fish harvested from each enclosure.	x			
		12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble). b. Maintain harvest records for each crop (e.g. selling receipts or processing plant reciepts) that are sufficient to show the total number of fish harvested from each enclosure. For first audit, records must cover at	B. Review records. Confirm that farm records are sufflicient to determine	х			"Form of purchasing metarial" of pond 10 on 25/12/2012, harvested: 80,045kg of fish, average fish
5.2 Criteria: Ve	terinary medicines and chemicals	12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble). b. Maintain harvest records for each crop (e.g. selling receipts or processing plant reciepts) that are sufficient to show the total number of fish harvested from each enclosure. For first audit, records must cover at least 1 full crop per site (see preamble) 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.	B. Review records. Confirm that farm records are sufflicient to determine number of fish harvested from each enclosure. C. Review farm's calculation to verify accuracy. Confirm that average real		Complianc		"Form of purchasing metarial" of pond 10 on 25/12/2012, harvested: 80,045kg of fish, average fish weight: 966g/fish -> quanity of harvested fish: 82,862 fishes
5.2 Criteria: Ve	terinary medicines and chemicals	12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble). b. Maintain harvest records for each crop (e.g. selling receipts or processing plant reciepts) that are sufficient to show the total number of fish harvested from each enclosure. For first audit, records must cover at least 1 full crop per site (see preamble) c. Calculate the weighted average of the Real Percentage Mortality (see above) using the formula given in Annex D of the Pangasius Standard.	B. Review records. Confirm that farm records are sufflicient to determine number of fish harvested from each enclosure. C. Review farm's calculation to verify accuracy. Confirm that average real	x Yes	Complianc	e N/A	"Form of purchasing metarial" of pond 10 on 25/12/2012, harvested: 80,045kg of fish, average fish weight: 966g/fish -> quanity of harvested fish: 82,862 fishes "Report of pond 10" percent of survival: 96.6%> percent of mortality = 3.4%

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			B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinay medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies).			Records of purchasing, using chemical and receipt of purchasing chemical, cross checked by taking visual observation
	Indicator: Use only Veterinary medicines, chemicals	c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.			"List of farm approved chemical/medicine product"
6.2.1	and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country.	d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.	D. Confirm that liested products used are approved for aquaculture.	x		List of approved chemicals in Vietnam; "Statement of product quality" of antibiotic, such as: No. TCCS: VMD-TYTS 02/08 on 19/02/2008, of an antibiotic, approved by the Branch of Department of Fishery of Can Tho Province
0.2.2	Requirement: Yes Applicability: All	e. Provide list of farm's export (i.e sales to parties in foreign countries) over the lat 12 months.	E. Review list and compare to farm's sales receipts			Farm provides list of their export markets and "Form of purchasing material" about handing-over the harvested fish to the processing unit
		f. If the farm cannot determine the country of export (6.2.1e), prepare a list of top five country importing pangasius from the country where the farm operates (regions operating within the same legislation on this matter, e.g. EU, are considered as a single country).	F. Review list (as applicable)			Decision no. 1471/QD-BNN on 20/06/2012 by MARD, with the list of top five country importing pangasius from the country including; EU, American, Russia, Korea, Taiwan
		g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumsion.	G. Review list.			Decision no. 1471/QD-BNN on 20/06/2012 by MARD, with the regulation about chemical/medicines of those country: EU, American, Russia, Korea, Taiwan
		h. Show that in the last 12 months, the farm did not use any verterinary medicines, chemical or biological products that are banned or non-approved in the importing country.	H.Review eveidence. Cross check the farm export's markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.			Cross-checked the farm's records of using chemical/medicine with the regulation for each market in the Decision no. 1471/QD-BNN on 20/06/2012 by MARD confirm compliance
	Indicator: Use only veterinary medicines and	a. Provide records of prescriptons, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medcines and chmicals used on the farm. For fistr audits, farm records must cover ≥6 months.	Review records of prescriptions or writen advice for veterinary medicines and chemicals.			"Form of fish analysing and treatment" are maintained; signed by the AAH Specialist
6.2.2	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]	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.	×		"Farm diary" of pond 09 used antibiotic for seven days "Form of fish analysing and treatment" on 23/10/2012, prescribed for pond 9, treatment: use antibiotic from 24-30/10/2012, signed by the AAH Specialist and also signed by the pond's technician about applying the treatment
	Requirement: Yes Applicability: All	c. If application differs from the label specification, be possession of written justification from aquatic animal health specialist. For first audits, farm records must cover ≥6 months.	C. Review justification from AAH Specialist as applicable.			Cross-checked the use of antibiotic and other chemical/medicine product in "Farm diary" and "Form of fish analysing and treatment" about the dosage of treatment with the chemical/medicines labels. Confirm that the farm follows the recommends in the label for their treatments
		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.			"Certificate of completion" of the AAH Specialist, on 25/04/2012, issued by the Vietnam Sustainable Pangasius Cooperation Group
Footnote	Veterinarians with at least three months of academic	training on fish health management (for a total of at least 60 hours). This	y. If the government does not regulate on this, the following people can be consid training may be included with the veterinary degree. Id treatment (for a total of at least 60 hours). This training may be included with th		degree.	
Footnote	[56] Label specifications may be overridden by the reco	mmendations of the aquat c animal health specialist when justification for	the decision is documented in the farm book or approved in the animal health pla	an.		
6.2.3	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		A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.	x		"Fish health plan" no. GDC-GAP, signed by the AAH Specilaist
	neighboring wild or farmed populations Requirement: Yes	b. Provide a declaration that the farm follows the recommendations of teh aquatic animal health specialist.	B. Review farm's declaration to confirm following recommendations of the AAH Specialist.			"Farm declaration" states that will follow the recommend of AAH Specialist
	Applicability: All	-	C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.			Chemicals/medicines are stored following the AAH Specialist's recommend

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1		-	D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.				The recommends of AAH Specicalist are followed in the farm
	the completion of the withdrawal period specified on	 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). 	A. Review records of withdrawals.				"Farm diary" records daily the water temperature for each pond Records of using chemical/medicine, prescrption, farm diary: states about the withdrawal periods
	veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label. Standard: None Applicability: All	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.	B. Review labels and completion dates of withdrawal periods.	x			"Label" of a medicine that is used to treat parasite states that the withdrawal period is 3 months. Cross-checked with "Farm diary" and "Form of fish analysing and treatment", the recommends about the withdrawal periods of the label is followed
		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.	C. Evaluate evidence-to verify that no fish were hasrvested before completion of withdrawal period.				Checked the "Farm diary" and "Form of fish analysing and treatment" of pond 10, and cross-checked with the "Form of purchasing material" of pond 10 about harvesting fish, confirm that the withdrawal period is completed before harvest
		 a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least full crop per site (see preamble). 	A. Review list of antibiotics used.				"List of farm approved chemical/medicine product"
6.2.5	for human medicine, as categorized by the World Health Organization [57]. Requirement: None	 b. Prepare declaration stating that farm did not use any antibiotic critically important to human medicine as categorized by the WHO in the last 12 months. 	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.	×			"Farm declaration"
	Applicability: All	c. Provide the up-to-date list of the WHO [57]	C. Verify farm holds an up-to-date copy of the WHO list [57]				List of "WHO - Critical Important Antimicrobiotic for Human Medicine"
-			D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.				On-site inspection, there is no evidence of use of antibiotics critical for human medicine which listed in "WHO - Critical Important Antimicrobiotic for Human Medicine"
Footnote	[57] Refer to the second WHO Expert meeting on Critical	ally Important Antimicrobials for Human Medicine: Categorization for the D		due to Non-hu	ıman Antimic	obial use, 25-3	1 May 2007 http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf
		Provice declaration stating that farm does not any unauthorized prophylactic veterinany medicines (prior to envidance of a specific disease problem).	A. Verify farm holds declaration.				"Farm declaration" on 20/11/2012, stating that farm does not any unauthorized prophylactic veterinany medicines, signed by the Farm Manager and AAH Specialist
	Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of	b. Obtain a declaration from the aquatic animal health specialist indicating that s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months, for first audits, the period covered by the declaration must be ≥ 6 months.	B. Verify the AAH Specialist declareres there is no known unauthorized prophylactic use of veterinary medicines.				"Farm declaration"2, stating that farm does not any unauthorized prophylactic veterinany medicines
6.2.6	a specific disease problem. Standard: None	c. Maintain receipts for all purchases of veterinary medicines. For first audits, records must cover at least full crop per site (see preamble).	C. Verify farm maintains records of all purchases of veterinary medicines.	×			"Form of inputing chemical/medicine" records all event of inputing chemical/medicine into the farm
	Applicability: All		D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.				$\label{lem:coss-checked} Cross-checked the chemical/medicine store. All chemicals/medicines in the store are included with purchasing records$
			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.				The auditor reconcile the quantities purchased against stocks held on-site and records for usage by checking sample chemical/medicine in: - "Form of inputing chemical/medicine", about quantity of inputing; - "Chemical/medicine inventory" about balance of input-storing-ouput of chemical/medicine store; - "Farm diary" about the records of using chemical/medicine
6.2.7	Indicator: Allowance for use of veterinary, medicine (excluding vaccines) to serve as growth promoters [58].	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.	Verify the AAH Specialist supports the declaration that there is no use of veterinaty medicine as growth promoters.	x			"Farm declaration" states that there is no use of veterinaty medicine as growth promoters.
	Requirement: None Applicability: All		B. Reconcile the quantities of veterinary medicines purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.				Checked the records of purchasing, stocks held on-site and records for usage, confirm the quantities are balance
Footnote	[58] Growth promoters: Veterinary medicines, such as a	antibiotics, to be given to healthy fish for the sole purpose of making them	grow faster (i.e., not to treat a specific disease).				

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6.3 Criteria: Pa	ngasius health plan				Compliance		Finding
		Compliance Criteria (Required Client Actions).		Yes	No	N/A	······ '
		Prepare the farm's written pangasius health plan containing all required elements (Annex E)	A. Review health plan for compliance with Annex E				"Fish health plan" No. GDC-GAP
6.3.1	Indicator: Presence of a written pangasius health plan reviewed yearly; updated and approved by a specified aquatic animal health specialist [59] (See Annex E for health Plan).	b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist.	B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.	x			Signed by the AAH Specilaist
	Requirement: Yes Applicability: All	c. Review the health plan at least once every 12 months. Update as needed and be in possession of approval by the farm's aquatic animal health specialist.	C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audit, the response is "not applicable".				Updated on 01/01/2012
			D. During on-site visit, verify that the plan is implemented and effective.				This plan is well implemented in the farm
Footnote	[59] GlobalG.A.P. AB 5.2.3 was taken as reference and	amended to fit with the requirements of the PAD stakeholders.					
6.4 Criteria: Ho	lding-unit specific record-keeping	_			Compliance		Finding
		Compliance Criteria (Required Client Actions).		Yes	No	N/A	
		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.	A. Verify the farm maintains purchase records.				The records and identifying of all chemical/medicine in the farm are available Although the farm maintains all "Form of inputing chemical/medicine" for every event of input chemical/medicines, but some "VAT invoice" of purchasing chemical/medicines are in lack
	Indicator: Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery	b. Maintain copies of labels showing withdrawal times at the grow-out facilities. For first audits records must cover at least 1 full crop per site (see preamble)	B. Verify the farm maintains records showing withdrawal times at the grow-out facility.				The farm has fully records of withdrawal periods of grow-out periods
6.4.1	and grow-out facilities Requirement: Yes Applicability: All	c. Maintain signed declarations by the farm's aquatic animal health specialist stating the date, diagnosis, treatment and withdrawal times (if different from the label) of all veterinary medicines and chemical used at the grow-out facility. For first audits, farm records must cover ≥ 6 months.	C. Verify that farm maintains relevant declarations from the AAHS at the grow- out facility.		x		"Form of fish analysing and treatment" mentioned about the diagnosis, treatment and withdrawal times
		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 possesses declarations from all seed suppliers.				"Statement of pangasius seedling origin" from the seedling supplier, Item 12 mentions about all chemical/medicines that used in seedling production periods
6.4.2	Indicator: Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated Requirement: Yes Applicability: All	a. For all stocking events in the last 12 months, be in possession of a signed letter from the seed supplier reporting: - the source, size and quality of seed supplied; - the date supplied; - a description of any external signs of abnormalities at the time of sale; - list of veterinary medicines, chemicals and biological products used in earlier life stages (i.e-used at any time from spawning onwards); and - results of pathogen testing following legislation (as applicable). For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains records for seed quality as required	x			According to the stocking event in the "Farm diary" for each pond, the auditor checked: - "Form of inspecting seedling quanlity and declaration of seedling supplier" records about the date, source, size and quality and external signs of seed supplied; - "Statement of pangasius seedling origin" from the seedling supplier, on 12/11/2012,, Item 12 mentions about all chemical/medicines that used in seedling production periods - "Certificate of seedling quarantine" for each bath of seedling in each event of stocking, e.g. Pond 2, certificate No. 001533/CN-KDTS. issued on 24/9/2012, by the Branch office of the The Department of Fishery of Ben Tre Province
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; - gresence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-para sites, fin erosion, etc); and - number of dead fish. For first audits, records must cover at least 1 full crop per site (see prearnble).	A. Review daily records to confirm that all reporting etements are included. Verify compliance.	х			"Farm diary" of each pond" records the date, dead fish quantity, and signs of abnormalities Beside, the "Form of fish analysing and treatment" details all signs of abnormalities in the event of disease
Footnote	[60] Signs of stress or disease include abnormal behavi	our (e.g., swimming), reduced appetite and external abnormalities (e.g., le	sions, spots and fin erosion).				
			o the aquatic animal health specialist. The ASC Pangasius Standard does not presc lality events that is appropriate for identifying significant or "above average" mort. Il include farm information from at least 1 randomly selected pond; during the 1st week, the 1st month, and any month after that; value, not the farmer; and				to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their hing a threshold, the farm must consider the following:
1	Indicator: All mortality events with daily mortality						

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	CHIMINAL CONTROL CONTR						
6.4.4	above the average daily mortality in the farm are reported to the aquatic anirnal health specialist	 a. Maintain a daily record of monitoring farm enclosures for mortality (see 6.4.3). For first audits, records must cover at least 1 full crop per site (see preamble). 	A. Review daily mortality records				"Farm diary" of each pond" records dead fish quantity for each pond
	Requirement: Yes Applicability: All	b. Have the farm's aquatic animal health specialist review the farm's daily records for mortality. Ask the AAH Specialist to specify a threshold for the reporting of mortality events based on review of farm mortality rates (see instructions).	B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events.				The "Farm diary" about the mortality quantoties are reviewed and signed monthly by the AAH Specialist
		c. Describe how the threshold was established in the farm's Pangasius health Plan (see 6.3.1).	C. Review the proposed mortality threshold in the farm's Pangasius health Plant to confirm compliance with requirements.		x		The farm has not established the mortality threshold
		d. Maintain records to show that the farm reports all mortality events exceeding threshold to the AAH Specialist. For first audits, farm records must cover ≥ 6 months.	D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements.				Although they have their own AAH Specialist in the farm to monitor all events of abnormality. But they have not established the mortality threshold following the standard requirement
6.5 Criteria: Fisi	n Welfare	Compliance Criteria (Required Client Actions).		Yes	Complianc No	e N/A	Finding
6.5.1	Indicator: Minimum average growth rate Requirement: 3.85 g/day	Yield (from Pond1) = total weight of fish harvested (from Pond1) - total w AGRP1 = YieldP1 / duration of production cycle (Pond1) Where weights are given in grams (g), duration is given in number of days Repeat the AGR calculations for the second pond, third pond etc. until it Weighted Average AGR = (AGRP1 x YieldP1) + (AGRP2 x YieldP2) + (AGR Clarification note: Indicator 6.5.1 was developed under the assumption that: - fish are stocked at 80 grams, - harvested at 1,000 grams and - average production cycle is 8 months. Given that specific growth rates of Pangasius are variable with body size is	yield and average growth rate (AGR). Farms must perform these calculations using eight of fish stocked (Pond1) s (d), AGR is computed in units of grams per day (g/d), and enclosure are identified an AGR has been determined for each pond that was harvested. For first audits, re Pn x YieldPn)] / (YieldP1 + YieldP2 + YieldPn)	by subscripts cords must co	P1, P2, P3 el ver at least 1	tc. full crop per sit	e (see preamble). Next calculate the farm-wide weighted average AGR using the following formula: naller size than 1 kg. (e.g. farms that harvest fish at 600-700g average body weight).
	Applicability: All	of observed growth rate and monitor whether the farm is in compliance. 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).	A. Verify farm maintains records of the weight of fish stocked in each enclosure.	nt at Stocking	, average ris	i size and weigi	"Farm diary" of each pond for the date of stocking and harvesting: - "Farm diary" of pond 10, stocked on 15/05/2012 - harvested on 25/12/2012 - "Form of inspecting seedling quantity and declaration of seedling supplier" no. 07/2012, on 15/05/2012 - an analysis of the stocked into pond 10.
		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).	B. Verify farm maintains records of the weight of fish harvested from each enclosure.	x			15/05/2012, quantity 85,800 seedling, average weight of seedling is 45g/fish, stocked into pond 10 "Form of purchasing metarial" of pond 10 on 25/12/2012, average fish weight: 966g/fish
		c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).	C. Review calculation to confirm accuracy and completeness.				"Farm dairy" pond 10, grow-rate is 4.15g/day
		d. Using result of 6.5.1c, calculate the farm-wide weighted average AGR.	D. Verify that the farm-wide weighted average AGR complies with the requirements.				"Report of fish in whole farm", the average gorw-rate is 4.012g/day
		a. Provide a plan of the farm showing surface area (m2) of each enclosure.	A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.				"Farm map" with the area of each pond, pond 10, area = 2,200m2
	Indicator: Maximum fish density at anytime	b. Maintain records of the tolal weight (kg) of fish harvested from each pond and/or pen (see 2.4.2b). For first audits, records must cover at least Ifull crop per site (see preamble)	B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.				"Form of purchasing metarial" of pond 10 on 25/12/2012, total weight of harvested fish: 80,045kg
6.5.2	Requirement: 38 kg/m2 for ponds and pen Applicability: Ponds and Pens	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).	C. Review calculations for fish density at harvest to verify compliance	x			"Report of pond 10" on 25/12/2012, density = 36.4kg/m2

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		d. In addition to calculating fish density at harvest (6.5.2.c), farms shall record monthly estimates of fish density for each enclosure using estimated biomass (e.g. from farm diaries) and surface area (see 6.5.2a). For first audits, farm records must cover \geq 6 months.	D. Review monthly estimates of fish density to verify compliance.				"Farm diary" of each pond, with the calculation of density at monthly through-out stocking periods Pond 10, density is within: 1.75kg/m2 - 36.4kg/m2, always <38kg/m2
		Provide a description of the system specifying the total number of cages and volume (m3) of each cage.	A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.			1	Pond
	Indicator: Maximum fish density at anytime	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). B. Confirm the farm keeps acurate record of total weight of fish harvested from each cage.			Pond		
6.5.3	Requirement: 80 kg/m3 for cages Applicability: Cages	c. For each cage, divide the weight of fish harvested (result from 6.5.3b) by the volume of the cage (results from 6.5.3a)to calculate fish density (kg/m3), For first audits, records must cover at least 1 full crop per site (see preamble).	C. Review calculations for fish density at harvest to verify compliance			x	Pond
		d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates offish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.	D. Review monthly estimates of fish defisity to verify compliance.				Pond
6.6 Criteria: Pro	edator control			Van	Compliance		Finding
	Indicator: Use of lethal predator [61] control	Compliance Criteria (Required Client Actions).		Yes	No	N/A	
6.6.1	Requirement: No	a. Prepare a procedure describing how the farm controls predators, and maintain a list of all predator control devices and their locations.	A. Review list	×			In the "Fish health plan" No. GDC-GAP, on 01/01/2012
	Applicability: All	-	B. Inspect site to verify no use of lethal predator controls.			1	Took visual observation, the farm does not use lethal predator controls.
Footnote	[01] Freuators are defined as animals which have the p	otential to kill healthy pangasius. These standards include all types of pred	vactors during the production period, but only birds, reptiles and manimals during the	ne periou oi			
6.6.2	Indicator: Mortality of IUCN red listed species. Requirement: 0 (zero)	go to http://www.iucnredlist.org/ -follow to "other search options" - select "TaKonomy" - select "Animalia" - indicate appropriate "Location", "Systems", "habitat", - click on "run search" and record animal species listed and whether they Note: The IUCN Red List uses nine categories for ranking species accordin further analyses: "Not evaluated", "Data Deficient", and "Least Concern".	ng to threat, and search results may include species that are not curently threatene	ed. For the pu	rposes of dete	eimining whethe	er a farm complies with indicator 6.6.2, species in the following IUCN categories maybe excluded from
	Applicability: All	a. Perform analysis. Record all IUCN red listed species occuring in the area of the farm.	A. Repeat analysis to verify that client possesses an accurate result.				"Report of evaluation and indentification the endangerous species and method to protect them at Con Linh Farm - GODACO" includes the list of search Item on the website of IUCN Redlist
		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 approriate and implemented (as applicable)	x			The procedures are in the "Report of evaluation and indentification the endangerous species and method to protect them at Con Linh Farm - GODACO"
		-	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)]				Interviewed local community: confirm that there is no evidence of the farm causing mortality of IUCN red listed species
7.1 Criteria: La	bor Law	Compliance criteri	a (Required Client Actions):	Yes	Compliance	e N/A	Finding
	Indicator: Compliance with labor laws in the country where pangasius is produced		legulations should cover at least the following issues: labor contracts, child labor,	163	NO	N/A	Vietnam labor law
7.1.1	Requirement: Yes	b. Ensure that the farm and all employees on the farm comply to the labo	or regulations.	×			time regulation dated 22/10/2012
7.2 Cultural v. Cl	Applicability: All						Flating
7.2 Criteria: Ch	illd labor [62] and young workers [63]	Compliance criteria	a (Required Client Actions):	Yes	Compliance No	e N/A	Finding
TOOUNOLE [OZ]	Child. Any person less than 15 years or age, unless local i	thinimum age law supulates a higher age for work or manuatory schooling,	, in which case the higher age would apply. It however, local minimum age law is se	et at 14 years	or age iii acco	ruance with dev	eloping country exceptions under ILO Convention 136, the lower age will apply. Child labor does not
roodnote [63] '	Young worker: Any worker between the age of child as d	a. Maintain a list of all employees employed in the farm indicating date of	of birth				list of employees including 27 people dated 16/11/12
	Indicator: Minimum age of workers	b. Maintain copies of the official ID of all the employees listed showing da	ate of birth			1	Labor contract of a worker, dated 30/11/2012 plus ID
7.2.1	Requirement: Yes			x	1 !	1	
		c. Ensure that no employee is younger than 15 years old (use birthdate to	o calculate exact age), see rootnote [62]		l i	ļ	No employee under 15 years

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	Applicability: All	d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.				Commitment dated 20/11/12
	Indicator: For workers under 18 years old 1 - Work does not jeopardize schooling 2 - Work, when added to the hours of schooling, does	a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job description are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous.				
7.2.2	nof exceed 10 hour/day 3 - Work is restricted to light work [64] 4 - Work is restricted to non-hazardous work [65]	b. Maintain records of schooling commitments of each employee younger than 18 years old.	×			Commitment dated 20/11/12. Verified the list of employee and found that no young workers there
	Requirement: Yes	c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover ≥ 6 months.				, , , , , , , , , , , , , , , , , , , ,
	Applicability: Farms with employees younger than 18 years old.	d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm.				
Foodnote [64] L	!' ight 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 vocation	l nal orientation	or training pr	ograms, or dimir	lish their capacity to benefit from instruction received.
Foodnote [65] H	lazardous work: Work which, by its nature or circumstar	nces in which it is carried out, is likely to harm the health, safety or morals of workers.				
7.3 Criteria: For	ced and compulsory labor [66]			Compliance	e	Finding
		Compliance criteria (Required Client Actions):	Yes	No	N/A	
	orced (Compulsory) labor: All work or service that is ext withholding of identity documents).	racted 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 de	manded as a	repayment of o	debt. "Penalty"'o	an imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction
	Indicator: Workers are free to terminate their	a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment.				Labour contract of a worker, No. 016/HDLD-CLA dated 25/11/2012
	employment and receive full payment until the last day of their employment, based on reasonable [67]	b. Ensure that workers' rights as indicated in this Requirement are duly respected.				
7.3.1	notice given to their employer [68]	c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers.	×			
		d. Ensure that the farm does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for the employer.				Some interview and found that compliance
	Applicability: All	e. Ensure that no employee is obligated to work at the farm to repay debt.	-			
1			l .	1		
Foodnote [67] A	is stated in the contract.					
		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 referen	nce period) ha	ve engaged or	ne or more perso	ns to work for them in their business as employees.
Foodnote [68] E				Compliance	e	ns to work for them in their business as employees. Finding
Foodnote [68] E	mployers are those workers who, working on their own	Compliance criteria (Required Client Actions):	nce period) ha			Finding
Foodnote [68] E	mployers are those workers who, working on their own			Compliance	e	
Foodnote [68] E 7.4 Criteria: Hea	mployers are those workers who, working on their own	Compliance criteria (Required Client Actions):		Compliance	e	Finding
Foodnote [68] E 7.4 Criteria: Hea	mployers are those workers who, working on their own ith and safety Indicator: The employer provides a non-hazardous working and living environment.	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees.		Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and
Foodnote [68] E 7.4 Criteria: Hea 7.4.1	mployers are those workers who, working on their own both and safety Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed.		Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012
Foodnote [68] E 7.4 Criteria: Hea 7.4.1	mployers are those workers who, working on their own ith and safety Indicator: The employer provides a non-hazardous working and living environment.	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.		Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012 Site tour observed and found that no lifevest is available in the boat
Foodnote [68] E 7.4 Criteria: Hea 7.4.1	mployers are those workers who, working on their own both and safety Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. d. Ensure that employees have constant access to potable/safe drinking water.		Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012 Site tour observed and found that no lifevest is available in the boat The bottle of water is provided freely
Foodnote [68] E 7.4 Criteria: Hea 7.4.1	mployers are those workers who, working on their own both and safety Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. d. Ensure that employees have constant access to potable/safe drinking water. e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.		Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012 Site tour observed and found that no lifevest is available in the boat The bottle of water is provided freely Toiles are designed with the waste treatment
7.4.1	Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes Applicability: All Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them. Requirement: Yes Applicability: All, Farm-wide	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. d. Ensure that employees have constant access to potable/safe drinking water. e. Ensure that sanitary conditions for the safe disposal of human waste are in practice. f. Ensure that the employees' housing is constructed of materials able to withstand local conditions.	Yes	Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012 Site tour observed and found that no lifevest is available in the boat The bottle of water is provided freely Toiles are designed with the waste treatment A thatched roof houses are built
7.4.1	Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes Applicability: All Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them. Requirement: Yes Applicability: All, Farm-wide	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. d. Ensure that employees have constant access to potable/safe drinking water. e. Ensure that sanitary conditions for the safe disposal of human waste are in practice. f. Ensure that the employees' housing is constructed of materials able to withstand local conditions. a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b	Yes	Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012 Site tour observed and found that no lifevest is available in the boat The bottle of water is provided freely Toiles are designed with the waste treatment A thatched roof houses are built
7.4.1 7.4.2	Indicator: The employer provides a non-hazardous working and living environment. Requirement: Yes Applicability: All Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them. Requirement: Yes Applicability: All, Farm-wide Indicator: The inherent potential to cause injury or dam age indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action	Compliance criteria (Required Client Actions): a. Maintain a list of all the health and safety hazards in the working and living environment of employees. b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. d. Ensure that employees have constant access to potable/safe drinking water. e. Ensure that sanitary conditions for the safe disposal of human waste are in practice. f. Ensure that the employees' housing is constructed of materials able to withstand local conditions. a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b	Yes	Compliance	e	Finding Hazard identification and risk assessment dated 1/12/12 Regulation for health and safety dated 1/2/12. Training list of employees -27 people for safety and emergency response dated 05/11/2012 Site tour observed and found that no lifevest is available in the boat The bottle of water is provided freely Toiles are designed with the waste treatment A thatched roof houses are built Training list of employees -27 people for safety and emergency response dated 05/11/2012

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Indicator: Employer ensures that all permanent workers have health insurance [71]	a. Maintain a list of all permanent workers.				list of employees including 27 people dated 05/11/12, Interview workers found that they get the safety training properly
Requirement: Yes Applicability: All	b. Provide evidence showing health insurance coverage for all permanent workers.	х			List of receiving the insurance cards dated 16/12/12
Health insurance is required for workers who are employ	ed for >3 months/year. If not covered under national law/employers must provide insurance to cover 100% of any job-related accident/injury for permanel	nt workers. Th	ne cost associa	ted with perma	nent disabilities generated from a job related accident is, however, not included.
eedom of association and collective bargaining [72]			Compliance	е	Finding
	Compliance criteria (Required Client Actions):	Yes	No	N/A	
Collective bargaining: Voluntary negotiation between em	ployers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.				
	a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.	1			Labor contract of No 016/HDLD-CLA dated 25/11/2012
organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative					Labor collective bargain dated 2/12/12
	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).	×			Meeting minutes dated 08/7/12
Applicability: All	d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.				Trade union Leader.
	e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.				Labor collective bargain dated 2/12/12
Worker: A person who enters an agreement of any durat	on with an enterprise to work for the enterprise in return for remuneration in cash orin kind. Immediate family members of the farm owner (i.e., children,	spouse, parer	nts, brothers a	nd sisters) and e	xchange labor may not be considered as workers, unless they express their desire to be workers.
Workers must not be prohibited from accessing such orga	anizations 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	representativ	e structure fre	ely elected by t	ne workers.
scrimination			Compliance	9	Finding
	Compliance criteria (Required Client Actions):	Yes	No	N/A	
Indicator: Workers do not suffer any discrimination [75] from the employer or other workers	 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. 				Discrimination policy dated 10/9/12
Requirement: Yes	b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.		x		Salary sheed from April to November 12. Salary incresement decision of a worker on 12/10/12.
Applicability: All	c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.				No evidence that the pregnant policy has been established
Including but not limited to: race, caste, origin, color, gen	der, age, disability, religion, sexual orientation, resident or migrant, union and political affiliations.				
ir and progressive practices toward workers including d	sciplinary practices)		Compliance	e	Finding
	Compliance criteria (Required Client Actions):	Yes	No	N/A	
Indicator: Employers treat all workers with dignity and respect	a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).				Discrimination policy dated 1/12/12.
Requirement: Yes	b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)	×			working regulation stated that no money deduction
111			Compliance	2	Finding
	Compliance criteria (Required Client Actions):	Yes	No	N/A	
	, , ,				
Indicator: Maximum number of regular working hours	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.				Salary sheed from April to November 12.
Indicator: Maximum number of regular working hours Requirement: 8h/day or48h/week (although these do not have to be consecutive hours) Applicability: All	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months. b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week.	×			Salary sheed from April to November 12. Working regulation dated 22/10/12.
V V	workers have health insurance [71] Requirement: Yes Applicability: All Health insurance is required for workers who are employeedom of association and collective bargaining [72] Collective bargaining: Voluntary negotiation between em Indicator: Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74]. Requirement: Yes Applicability: All Worker: A person who enters an agreement of any durati workers must not be prohibited from accessing such organization Indicator: Workers do not suffer any discrimination [75] from the employer or other workers Requirement: Yes Applicability: All Including but not limited to: race, caste, origin, color, genir and progressive practices toward workers including di Indicator: Employers treat all workers with dignity and respect	Requirement: Yes Applicability: All Deprovide evidence showing health insurance coverage for all permanent workers. Applicability: All Compliance criteria (Required Client Actions): Aminiario copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association. Indicator: Workers [73] have the right to form or join organizations to defend their rights (including their rights (including their rights (including their rights) (including their rig	workers he health insurance [71] Requirement: Yes Applicability. All Conceptions and calculate bargaining (72) Conceptions and calculate bargaining (72) Conceptions and calculate bargaining (72) Conceptions to determine the implementation of workers in the control or employers or employ	workers he health insurance [71] Requirement: Yes Applicability: All Provide evidence showing health insurance coverage for all permanent workers.	workers he health insurance [71] Requirement: Yes Applicability: All or Produce evidence showing health insurance coverage for all permanent workers. or Produce evidence showing health insurance coverage for all permanent workers. or Produce an evidence showing health insurance coverage for all permanent workers. or Produce an evidence of the varieties who are employed for 3 monthly/pear, if not covered under national law/employers must precise insurance to sever 200% of any job related accident/pility for permanent workers. The cost associated the produce of the pr

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			_ ::			
	Requirement: Yes Applicability: All, Farm-Wide	b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave.				Labor collective bargain dated 2/12/12
	Indicator: Minimum time off	a. Ensure that all workers residing at the farm have the right to 2 nights off/week.				Work regulation states 02 nights off/week
7.8.3	Requirement: Two nights/week off if residing on the farm and a total four days/month off for all workers	b. Ensure that all workers have at least 4 days/month off.	x			working regulation dated 22/10/12
	Applicability: All, Farm-Wide	c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.				Attendance record of Nov 12
	Indicator: Overtime hours 1-Are voluntary 2- do not exceed a maximum of 12 hours per week 3- occur on an exceptional (not regular) basis 4- are paid at a premium rate [76], (i.e. an additional	a. Ensure that for all employees, overtime hours: - are voluntary - do not exceed a maximum of 12h/week - occur on an exceptional basis - are paid at a premium rate (following the local/national regulation and at least 20% more than normal salary)				Attendance record of Nov 12
7.8.4	20% is paid to the normal salary)	b. Maintain timesheetsfor all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.	×			Attendance record of Nov 12
	Requirement: Yes Applicability: All, Farm-Wide	c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights.				Labor collective bargain dated 2/12/12.
		d. Maintain records of payments for overtime hours.				No overtime is found.
		week rate. Must comply with national laws/ regulations and/ or industry standards. Must be 120% of normal rate or higher.				
7.9 Criteria: Fai	ir and decent wages			Compliance		Finding
		Compliance criteria (Required Client Actions):	Yes	No	N/A	
	Indicator: The employer pays at least minimum wages as defined by law, or ensures that wages cover basic	a. Obtain legal documents showing minimum wages for the location where the farm operates.				Circular 70/2011/ND-CP dated 22/8/11 with minimum salary is 1.550.000 VND for area 03.
	as defined by law, or crisures that wages cover basic					
7.9.1	needs [77], plus some discretionary income [78], whichever is higher	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.	x			Salary sheed from May to Nov 12.
7.9.1			x			Salary sheed from May to Nov 12. Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012
7.9.1	whichever is higher Requirement: Yes	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times.	x			
Foodnote [77] E authorities and wage (without f	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; w	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, ar rage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur	d the average	care and an ad	lditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country, Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs
Foodnote [77] E authorities and wage (without f	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; w for guidance and methods for basic needs wage calculating.	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, ar rage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur	d the average	care and an ad	lditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country, Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs
Foodnote [77] E authorities and wage (without I Foodnote [78] F	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; w For guidance and methods for basic needs wage calculati Indicator: Workers have the right to know the mechanism for setting the wages and benefits	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, ar rage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur	d the average ments, health liform, tools ar	care and an ad	lditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country, Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs
Foodnote [77] E authorities and wage (without f	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; we for guidance and methods for basic needs wage calculated Indicator: Workers have the right to know the	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, an age should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur on, see SA8000 Guidance Document.	d the average	care and an ad	lditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country. Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs home" pay below a basic needs standard.
Foodnote [77] E authorities and wage (without I Foodnote [78] F	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; w For guidance and methods for basic needs wage calculatindicator: Workers have the right to know the mechanism for setting the wages and benefits Requirement: Yes	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, ar age should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur on, see SA8000 Guidance Document. a. Provide a declaration stating the mechanism used for setting wages.	d the average ments, health ifform, tools as	care and an ad	lditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country. Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs home" pay below a basic needs standard. Salary instruction dated 08/10/2012
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Foodnote [77] E authorities and wage (without I Foodnote [78] F	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; w for guidance and methods for basic needs wage calculati Indicator: Workers have the right to know the mechanism for setting the wages and benefits Requirement: Yes Applicability: All Indicator: Wages shall be paid in cash or in a manner most convenient to workers Requirement: Yes Applicability: All	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, ar age should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur on, see SA8000 Guidance Document. a. Provide a declaration stating the mechanism used for setting wages. b. Ensure that employees are aware of the mechanism used for setting wages. a. Maintain records of the preferred method of payment for each employee.	d the average ments, health ifform, tools as	care and an ad	iditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country. Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs home" pay below a basic needs standard. Salary instruction dated 08/10/2012 Interview and found compliance. Salary record of Nov 2012 with signature.
Foodnote [77] E authorities and wage (without I Foodnote [78] F 7.9.2	whichever is higher Requirement: Yes Applicability: All, Farm-Wide Basic needs are determined by calculating the cost of the multi-lateral developmental agencies. A basic or living w financial deductions) or national legal minimum wage; w for guidance and methods for basic needs wage calculati Indicator: Workers have the right to know the mechanism for setting the wages and benefits Requirement: Yes Applicability: All Indicator: Wages shall be paid in cash or in a manner most convenient to workers Requirement: Yes Applicability: All	and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times. c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees. d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months. basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, ar age should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax pay hichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., ur on, see SA8000 Guidance Document. a. Provide a declaration stating the mechanism used for setting wages. b. Ensure that employees are aware of the mechanism used for setting wages. a. Maintain records of the preferred method of payment for each employee.	d the average ments, health ifform, tools as	care and an ac	iditional 10% dis	Labor contract of a worker No 013/HDLD-CLA dated 13/11/2012 Receipts of salary payments. Country. Recognized representative shopping basket surveys include those undertaken by national cretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs home" pay below a basic needs standard. Salary instruction dated 08/10/2012 Interview and found compliance. Salary record of Nov 2012 with signature.
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1	nequirement. (es		1	1	1		
		b. Ensure that emplyees understand their labor contracts.				Through interview and found workers understood	
Foodnote [79] \agreement.	odnote [79] Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must take place to establish that the employer and the employee understand in the same way the terms of the verbal reement.						
7.10.2	Indicator: Maximum length of probation period stated in the contract for workers, other than farm managers and workers with an university degree.	a. Maintain copies of contracts of employees (other than farm managers and workers with a university degree) and ensure that the probation time is clearly stated and does not exceed 1 months.	x			the list of contracts of empolyee is available	
	Applicability: All	b. Ensure that probation times are understood by employees and respected.				Checked workers, they have the probation for 01 month	
7.10.3	in the contract for farm managers and workers with an university degree.	a. Maintain copies of contracts of farm managers and workers with a university degree and ensure that the probation time is clearly stated and does not exceed 2 months.	×			contracts of empolyee with probation of 1 month, form 17/4/2012 - 17/5/2012	
7.10.3	Requirement: 2 months	b. Ensure that probation times are understood by employees and respected.	Î			Checked workers, they have the probation for 01 month	
7 11 Critoria: N	lanagement system			Compliano	e	Finding	
7.11 Citteria. W	unugement system	Compliance criteria (Required Client Actions):	Yes	No	N/A	riiding	
7.11.1	Indicator: The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions.	a. Maintain complaint boxes for employees throughout the farm.	x			Complaint boxes are available	
	Requirement: Yes Applicability: All	b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management.				Interview worker and found that they are encouraged to use the complaint boxes	
7.11.2	Indicator: Percentage of issues raised by workers which are registered, tracked and responded to by the employer	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.	×			Not complaint yet	
,,,,,,	Requirement: 100% Applicability: All	b. Ensure that emplyees have accesss to the register at reasonable times.	, ^			Complaint boxes are available	
	Indicator: Percentage of complaints that are resolved [80] within one month after being received [81]	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.				Appeal procedure GDC-ASC/GQKN dated 1/12/12	
7.11.3		b. Record the issues being resolved in the register as for 7.11.2a	x			Not complaint yet	
	Applicability: All	c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month.				Not complaint yet	
Foodnote [80] I	Resolution of a conflict is defined as when both parties ag	gree to remove it from the list of conflicts.					
Foodnote [81]	Complaints include the ones corn ing from other resource	e users, employees and buyers (e.g., middlemen or processors).					
7.11.4	Indicator: A plan for addressing the yet to be resolved conflicts is developed and complied with	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.	×			Conflict procedure GDC-GQXD dated 1/2/12	
7.11.4	Requirement: Yes Applicability: All	b. Ensure that the plan is adhered to.	^			Plan is adhered to	
7.11.5	Indicator: Timeframe for the contracting [82] of suppliers and service providers that ensure suitable health and safety conditions for their workers [83]	a. For first audit, prepare a declaration of commitment to contract only suppliers and service provides that ensure suitable health and safety condition within 1 year.			x	N/A. Has not applied yet	

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	Requirement: Within 1 year from achieving					
	certification	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				N/A. This is the first audit
	Applicability: All	respected by all emplyees of suppliers and service providers who are working in the farm.				
oodnote [82]	Including either written or verbal contracts.					
oodnote [83]	As defined in these Requirements.					
7.12 Criteria: R	Record-keeping			Compliance	е	Finding
		Compliance criteria (Required Client Actions):	Yes	No	N/A	
	Indicator: Records of the hours worked by every worker employed in the farm are available	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.				Attendance record of April to Nov 12
7.12.1	Requirement: Yes Applicability: All, Farm-Wide	b. Maintain a list of all employees employed in the farm	x			List of employees including 27 people dated 05/11/12
				Compliance		
1.13 Criteria: P	Participatory social impact assessment for local commun					Finding
		Compliance criteria (Required Client Actions):	Yes	No	N/A	
	Indicator: A participatory Social Impact Assessment (p- SIA)[84] is conducted (See Annex F for more information)	a. Provide a p-SIA inclusive of all items reported in Annex F. For large scale farms (e.g. vertically integrated operations) the p-SIA should be conducted at least every 3-years.				P-SIA dated 17/7/12
7.13.1	Requirement: Yes	b. For large scale farms, provide evidence of the experience of the professional commissioned. Evidence must indicate a track record of at least 3 years conducting participatory consultations with rural communities.	x			Confirmation of participant in P-SIA.
	Applicability: All	ites and risks or a planned or onigonity project (e.g., a farm or farm development) undertaken in such a manner that an stakenoider groups have input in				
00011010 [04]	5 SIA. All assessment of positive and negative consequen	Accessed in a production of product (L.B.) a form of named exceptioning undertaken in such a manner that an attachment groups have input in				
	Indicator: Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language	a. Maintain records of all the people having received copy of the p-SIA.				List of people receiving P-SIA.
7.13.2	Requirement: Yes b. Obtain signatures from community (if such a repre	b. Obtain signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).	x			List of people receiving P-SIA - 18/22 people. Receiving date 26/10/2012
	Applicability: All	natteristics who are mixed by social ties, share common perspectives, and are joined by contective engagements within a geographically commed area. Four				
amman indian	store are 4. A state of arganized assists in small form (to					
7.14 Criteria: C	Complaints by local communities			Compliance		Finding
		Compliance criteria (Required Client Actions):	Yes	No	N/A	
		a. Prepare and ensure the application of a conflict resolution policy for local communities.				Conflict procedure GDC-GQXD dated 1/2/12
	Indicator: A verifiable conflict resolution policy [86],	b. Maintain records of all the people having received copy of the policy.				list of people receiving Conflic procedure -11/22 people.
7.14.1	[87], for local communities is developed and applied Requirement: Yes	c. Obtain signatures from at least 50% of the people having received copies of policy. The people signing must include at least: a representative of the local community (if such a representant can be identifies by the majority of the community), a representative of the local government and ane civil society organization (if available).	x			Receiving date 18/10/2012.
	Applicability: All	d. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least one meeting (this could be part of the p-SIA process if the p-SIA was conducted less than 6 months before the audit)				N/A
ondnote [86]		be tracked transparently and explain how to respond to all received complaints.				
oounote [80]						
	The process of resolution is documented and meetings a	ore summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of pad dresolved if both parties in the negotiation process have agreed to take it off the agenda.	rticipants. Lo	cal governmer	nt and at least o	ne civil society or customary organization chosen by the community shall have access to the conflict
	The process of resolution is documented and meetings a cess and the documentation thereof. A conflict is deemed	ore summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of pa	rticipants. Lo	cal governmer	nt and at least o	ne civil society or customary organization chosen by the community shall have access to the conflict Complaint boxes are available.
	The process of resolution is documented and meetings a	ore summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of pad of resolved if both parties in the negotiation process have agreed to take it off the agenda.	rticipants. Lo	cal governmer	nt and at least o	

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		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.				Not complaint yet. Community interview community and found that no died fish; sludge or waste out cause the pollution
	Indicator: Percentage of conflict resolved within the date of being filed. Requirement:	a. Maintain a register of complaints as.per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date.				Not conflict yet.
7.14.3	Within 6 months 50% Within 1 year 75%	b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved.	х			Not conflict yet.
7.15 Criteria: P	referential employment for local communities	Compliance criteria (Required Client Actions):	Yes	Compliano	N/A	Finding
	Indicator: Evidence of advertising positions within	a. Maintain a list of all employees employed in the farm indicating also place of origin.	103			List of employees including 27 people dated 05/11/12
7.15.1		b. For farms where employees are corning from a location other than the location-of the farm (based on 7.15.1a) present copies of the dated advertisements posted amund the farm to advertise. For first audit copies must cover more than previous ≥ 6 months.	х			Recruitment notice dated 02/09/12
		c. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present a list containing the name, address and contact number of all the people consulted to advertise the position in the local community. For first audit records must cover more than previous ≥ 6 months.				List of employees including 27 people dated 05/11/12
7.15.2	Indicator: An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities.	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 7.15.1a	x			list of employees including 27 people dated 05/11/12, there is 2 worker that are not coming from the local area.
	1	b. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) provide a written explanation for employing workers outside the local community.				Report of empoyment dated 22/9/12 explaining of the two workers (not local people)

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ASC audit checklist ASCASS-PAD.F01(
Reportnumber: 824383-ASC-2012-01-LTTT									
3. Summary and 0	Conclusion								
3.1a . Outstanding	3.1a . Outstanding non-conformities since previous audit report								
No NC: N/A (The irrst audit) Standard and Requirement: N/A (The first audit) Category: N/A (The first audit)									
Date found: N/A (The first audit)	(
Description of requi N/A (The first audit)									
Description of non-	conformity: N	I/A (The first audit)							
Evidence received,	and analysis	s of corrections and corrective actions p	provided for NC closure: N/A (The first audit)						
Status:N/A (The firs	t audit)								
3.1b Identified nor	-conformiti	es during present evaluation							
Finding: 01	Standard and Requirement: ASC pangasius Category: Minor								
Date found: 04/01/2013	Dead line f	or correction: 03/01/2014							
Description of requirement:									

Farm complies with water allocation limits asset by focal authorities or a reputable independent institution

d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable).

Description of non-conformity:

The farm could not provide the statement from the reputable independent institution indicating the water allocation limits for the farm.

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

Finding: 02	Standard and Requirement: ASC pangasius standard 4.3.1	Category: Minor
Date found: 04/01/2013	Dead line for correction: 03/01/2014	

Description of requirement:

Allowance, for use of wild-caught seed for grow out

b. Obtain statement from seed suppliers that the seed is not wild-caught

Description of non-conformity:

There is no statment that the hatchery does not use wild-caught seedling

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

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Finding: 03	Standard and Requirement: ASC pangasius standard 4.4.1	Category: Minor
Date found: 04/01/2013	Dead line for correction: 03/01/2014	

Description of requirement:

No use of genetically engineered (transgenic) or hybrid seed

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.

Description of non-conformity:

There is no statment that the seed is not genetically engineered (transgenic) or hybrid.

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

Finding: 04	Standard and Requirement: ASC pangasius standard 6.4.1	Category: Minor
Date found: 04/01/2013	Dead line for correction: 03/01/2014	

Description of requirement:

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

a. Verify the farm maintains purchase records.

Description of non-conformity:

Although the farm maintains all "Form of inputing chemical/medicine" for every event of input chemical/medicines, but some "VAT invoice" of purchasing chemical/medicines are in lack

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

IFinding: 05	Standard and Requirement: ASC pangasius standard 6.4.4	Category: Minor
Date found: 04/01/2013	Dead line for correction: 03/01/2014	

Description of requirement:

All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist

- c. Describe how the threshold was established in the farm's Pangasius health Plan
- 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.

Description of non-conformity:

c&d. The farm has not established the mortality threshold

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

Finding: 06	Standard and Requirement: ASC pangasius standard 7.4.1	Category: Minor
Date found: 04/01/2013	Dead line for correction: 03/01/2014	

Description of requirement:

The employer provides a non-hazardous working and living environment.

 Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.

Description of non-conformity:

Site tour observed and found that no lifevest is available in the boat

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

Finding: 07	Standard and Requirement: ASC pangasius standard 7.6.1	Category: Minor
Date found: 04/01/2013	Dead line for correction: 03/01/2014	

Description of requirement:

Workers do not suffer any discrimination [75] from the employer or other workers

c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.

Description of non-conformity:

No evidence that the pregnant policy has been established

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

Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)

Status: OPEN

3.5 Attachments to this report

The farm map

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3.7 Summary and	d conclusion		
Does the farm cor	nply with ASC Pangasius	standard?	
☑ YES	□ NO		
4. Valid period of	f Certificate		
Date of issue	20/03/2013	20/03/2013	
Date of expiry	19/03/2016		
5. Determination	of the start of the CoC		
Can the product	enter further certified C	hains of Custody an	d eligible to carry the ASC label?
☑ YES	□ NO		
5. Approval of the	e assessment report by	Client	
Date: 04/01/2013			Date:
Auditor : Le Tran Truong Thuy			Company representative :
signature			signature
6. Review of the	assessment report by tl	he certifier	
Date:	accoccinent report by a	Comments:	
Date.			
Certifier :			
Signature:			