



# ASC Audit Report

Tilapia \_\_\_ Pangasius XInitial X Surveillance \_\_\_ Recertification \_\_\_

Name client	<b>HUNG VUONG CORPORATION</b>
Client number	827167
Name contact person	<b>MS. LE KIM PHUNG</b>
Address client	Block 44, My Tho Industrial Zone, My Tho City, Tien Giang province, Vietnam
Telephone, fax, e-mail	Telephone: +84 73 3854245 Fax: +84 73 3854248 Email: info@hungvuongpanga.com
Certificate code	
Date of issue of certificate	
Date and length of audit	26-27/12/2012 - 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 evaluated (in case of group certification)	N/A
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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Email	info@cuperu.com
Website	www.cuperu.com
Certifier	Pilar Kuriyama
Date	March 11 , 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 named as Con Ban Farm, belonging to Hung Vuong Corporation, was completely constructed in 2004 and located at Cam Son Village, Mo Cay Nam District, Ben Tre Province, Viet Nam. The total area of this land is 28ha. The receiving water body of the farm is Co Chien River. There is no any species farmed exception of Pangasius tra. The estimated yearly production of Con Ban Farm is 14,000MT

At the moment, HUNG VUONG CORPORATION also has the certified another farm against ASC Pangasius Standard in year 2012.

### 2.2 Summary

#### Scope:

Standard: ASC Pangasius standard V1.0 April 2012

Specie: Pangasius, single site certification

Unit of certification: Con Ban Farm

Receiving water body: Co Chien River

#### Summary of the report

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

#### **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 5,000m<sup>3</sup>/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



Report number: 827167-ASCRPT-2012-01-LTTT

- 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 PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED**

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

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

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

#### **PRINCIPLE VII. BE SOCIALLY RESPONSIBLE**

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

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

#### **Summary of findings:**

Completing the audit, the farm has 6 Minor Non-conformities that need to be settled for the next surveillance audit in December 2013 (see more details about findings in the audit result)

#### **2.3 Decision**

A certificate has not been issued but HUNG VUONG CORPORATION 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:** 26-27/12/2012

**Report finished at:** 11/01/2013

**Report reviewed at:** 18/02/2013

**Date of the certification decision:** 11-03-2013

#### **Persons involved in the audit:**

- Mr. Nguyen Van Si – Farm Manager

- Mr. Nguyen Quang Hoi – Farm Deputy Manager

- Mr. Tran Ghi – Farm Technician

- Farm's employees

- Interviewed local community: Mr. Nguyen Van Giau; Mr. Nguyen Van Muoi; Mr. Nguyen Van Tinh.

**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: 08/11/2012

Stakeholders consultation opened: 08/11/2012

Pre-audit checklist information desk review: 14/12/2012

#### **2.5 Scope**

**ASC Pangasius standard version:** 1.0 April 2012

**Species:** Pangasius



Report number: 827167-ASCRPT-2012-01-LTTT

**Type of certification:** Single site certification

**Unit of Certification**

Production Unit name	Production Unit number	Address and geographical positions	Receiving water
Con Ban Farm	PRD042042	* The address: Cam Son Village, Mo Cay Nam District, Ben Tre Province, Viet Nam * GPS coordinates: A. N10o00'49.00" - E106o20'40.00" B. N10o00'52.30" - E106o20'32.60" C. N10o01'04.80" - E106o20'14.70" D. N10o01'13.80" - E106o20'13.00" E. N10o01'07.50" - E106o20'27.00" F. N10o00'55.60" - E106o20'36.40"	Co Chien River

**Receiving water:**

The Co Chien 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 Hung Vuong Corporation (Processing plant) – the same legality. Currently, HUNG VUONG CORPORATION has one farm that is on the ASC certification route and one farm has already been certified against ASC Pangasius Standard; 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 Hung Vuong Corporation (Processing plant) 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 Ban Farm and Hung Vuong Corporation (Processing plant) are all belonged to HUNG VUONG CORPORATION)
- **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 HUNG VUONG CORPORATION

**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:

Name and signature of authorized representative:

Position:

Date:

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

## Control Union Certifications

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<b>ASC audit checklist</b>						
ASCASS-PAD.F01(01)						
<b>Reportnumber:</b>		827167-ASC-2012-01-LTTT				
<b>1.1 Client contact data</b>						
CUC number:	827167					
Company name:	HUNG VUONG CORPORATION					
Contact person:	LE KIM PHUNG					
Address:	BLOCK 44, MY THO INDUSTRIAL ZONE					
Postal code:	84					
City:	MY THO					
Country:	VIETNAM					
Telephone number:	084 73 3854245	Fax Number:	084 73 3854248			
e-mail:	<a href="mailto:info@hungvuongpanga.com">info@hungvuongpanga.com</a>					
<b>1.2 Audit information</b>						
Date of last external audit :	The first audit					
Audit date :	26-27/12/2012					
Full name of the lead auditor:	MS. LE TRAN TRUONG THUY					
Audit team:	Auditor: Ms. LE TRAN TRUONG THUY (environmental part)					
	Auditor: Mr. LE ANH NGOC (Social part)					
	Technical expert: Mr. LY VI CUONG					
Type audit :	<u>Announced</u> / Unannounced <u>Initial</u> / Surveillance / Recertification					
<b>1.3 Scope of ASC</b>						
Scope: <b>AQUACULTURE</b>	Standard Version:	1.0	Specie:	Pangasius		
<b>Production units</b>						
	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
		* The address: Cam Son Village, Mo Cay Nam District. Ben Tre Province. Viet Nam				

F-01	HUNG VUONG CORPORATION	<b>* GPS coordinates:</b> <b>A. N10o00'49.00" - E106o20'40.00"</b> <b>B. N10o00'52.30" - E106o20'32.60"</b> <b>C. N10o01'04.80" - E106o20'14.70"</b> <b>D. N10o01'13.80" - E106o20'13.00"</b> <b>E. N10o01'07.50" - E106o20'27.00"</b> <b>F. N10o00'55.60" - E106o20'36.40"</b>	Co Chien River	N/A	Vietnam	Pangasius
<b>Changes since last audit:</b>						
<b>YES <input checked="" type="checkbox"/></b>		<b>NO <input type="checkbox"/></b>		<b>If YES, Description:</b> Add one more farm for ASC Certification		
<b>1.4 Other information</b>						
Brand name of the company:			HUNG VUONG CORPORATION			
Mention other existing certification schemes of licensee:			ASC Pangasius Farm Certificate No. CUP-821749-ASC-2012-01			
Lead Auditor : LE TRAN TRUONG THUY			Company representative :			
signature			signature			

**Control Union Peru SAC**

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**2. Assessment of Pangasius Standard**

Scope: <i>Pangasianodon hypophthalmus, Pangasius bocourti</i>								
<p><b>Preamble:</b> In order to determine the level of compliance against the ASC Pangasius Standard it is essential to use information of completed crop cycle(s), or on a specific point in time in the crop (e.g. stocking) for several requirements. For this reason, for first audit-s, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment. Therefore, at the time of the first audit: • farmer must be able to show full records (e.g. feed-use, mortality rate, etc.) of at least 1 completed crop cycle per site (i.e. from stocking to harvest) and the relevant information for all the crops stocked after having stocked that crop • certifier must use these records of each site to calculate the level of compliance of the relevant indicators Applicable to all relevant requirements in this Audit Manual; Client: At first audit: data of at least 1 full crop cycle per site must be made available to certifier. Auditor: At first audit: data of at least 1 full crop cycle per site must be used to determine compliance.</p>								
<b>PRINCIPLE 1: LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS</b>								
<b>1.1 Criteria: Local and national regulations</b>								
		Compliance Criteria (Required Client Actions)		Auditor Evaluation (Required CB Actions)		Compliance		Finding
						Yes	No	
1.1.1	<p><b>Indicator:</b> Presence of all pertinent permits and registrations required by local and national authorities</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain records to show the farm has all registrations as required by local and national authorities.</p> <p>b. Obtain an aquaculture farming licence (if applicable).</p> <p>c. Obtain a commercial licence (as applicable).</p> <p>d. Obtain any other contracts, licenses, or permits as required by local and national authorities (also see 1.1.3 and 1.1.4)</p>	<p>A. Verify farm has all registrations as required by local and national authorities.</p> <p>B. Verify farm has aquaculture farming licence (as applicable).</p> <p>C. Verify farm has a commercial licence (as applicable).</p> <p>D. Verify compliance</p>	x				<p>"Environmental protection commitment" no. 411/XN-CKBVM and no. 410/XN-CKBVM, issued on 16/10/2008, by the People's Committee of Mo Cay District, Ben Tre Province.</p> <p>"Certificate of compliance with the veterinary hygiene condition" no.34/GCN-NTTS, issued on 10/07/2012 and valid to 9/07/2017, by The Branch office of The Fishery Department of Ben Tre Province</p> <p>"Decision of Approval" by of The People's Committee of Ben Tre Province for Con Ban Farm And "Contract of transferring land-use right"</p> <p>"Business license" no. 5303000053, on 15/01/2007, re-modifying eighth time on 21/06/2010.</p> <p>"Land owner-ship" and "Contract of renting land" between the Con Ban Farm and The Department of Natural Resource and Environment of Ben Tre Province</p> <p>"Contract of transferring land-use right"</p> <p>"Letter of approval" on 21/12/2012, confirm that the farm has the right of using water resource for pangasius farming, by the People's Committee of Mo Cay District, Ben Tre Province.</p>
1.1.2	<p><b>Indicator:</b> Presence of documents proving compliance with pertinent tax: laws</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax) for the last 12 months. For first audits, farm records must cover ≥ 6 months</p> <p>b. Keep updated information on applicable tax laws for the Jurisdiction in which the farm is operating.</p>	<p>A. Verify client has records of tax payments to appropriate authorities. [Note: For integrated systems, tax may only apply at the processing level. Nonetheless clients must show evidence of tax payment]</p> <p>B. Verify client has current tax law information and a basic understanding of tax requirements.</p>	x				<p>"Tax payment receipt"</p> <p>"Decision" no. 156/QD-CT on 26/11/2012 of returning VAT tax and balance to Company income tax</p> <p>The farm provide the information of all tax that they need to full-fill, including: land-use tax, environment tax, VAT tax, personal income tax, company income tax</p>
1.1.3	<p><b>Indicator:</b> Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Ponds</p>	<p>Instruction to Clients for Indicator 1.1.3 -Showing Compliance with Water Discharge Regulations</p> <p>Indicator 1.1.3 requires the farm to show compliance with all water discharge regulations at the local and national level. If the authoritative regulatory agency has imposed limits on farm water discharge (i.e. by issuing a discharge permit or other comparable mechanism) the obligation shall rest with the client to demonstrate compliance. Four types of evidence are acceptable:</p> <p>a. Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge;</p> <p>b. Results of water testing from a fully independent ISO 17025 accredited laboratory;</p> <p>c. Relevant legal documents showing compliance; or</p> <p>d. Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance. Where regulations require monitoring of farm water discharge, that monitoring shall be conducted annually (at a minimum) or more frequently if required under local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will raise a non-conformity.</p> <p>Note 1: The ASC Pangasius Standard also specifies criteria for some water quality parameters. These are considered separately under Principle 3 below:</p>	<p>A. Verify compliance. If (b), (c) or (d), then enter not applicable for (a).</p> <p>B. Verify compliance. If (a), (c) or (d), then enter 'not applicable for (b)</p> <p>C. Verify compliance. If (a), (b) or (d), then enter not applicable for (c)</p> <p>D. Verify compliance. If (a), (b) or (c), then-enter not applicable for (d)</p>	x				<p>"Analytical testing result" on 25/11/2012, of The Center Service of Analysing Natural Resource and Environment, with VILAS 283.</p> <p>"Analytical testing result" on 25/11/2012, about testing farm discharge water</p> <p>Comparing 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</p> <p>N/A.</p>

1.1.4	<p><b>Indicator:</b> Presence of documents proving compliance with local and national legal regulations on land and water use.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. For ponds, maintain copies of land ownership or contract of lease. For pens or cages, maintain permits showing allowance to farm in the designated location.</p> <p>b. Obtain required permits to use and discharge water for the purposes of operating a farm. Comply with any and all permit restrictions stated therein (e.g. maximum capacity of production, water allocation volumes, etc).</p> <p>c. If the farm operates in a country and region with no permitting system for land and water-use, provide documentary evidence (e.g. letter from authorities) attesting to this fact.</p>	<p>A. Verify client has documents to show legal access to and use of land and water.</p> <p>B. Verify farm has permits and complies with the farm.</p> <p>C. As applicable, review evidence to confirm that the farm does not need permits far-land and water use in the country and region of operation.</p>	x			<p>"Land owner-ship" no. T00002, of the land no. 1099, of Con Ban Farm, and "Contract of renting land" no. 52/HD-TD-2004, on 29/11/2004, between the Con Ban Farm and The Department of Natural Resource and Environment of Ben Tre Province</p> <p>"Contract of transferring land-use right" no. 186/2012/HD on 10/07/2012, between Hung Vuong Company and Con Ban Farm, about renting the Land-use right of Con Ban Farm, valid to 10/07/2013</p> <p>"Letter of approving" on 21/12/2012, confirm that the farm has the right of using water resource for pangasius farming, by the People's Committee of Mo Cay District, Ben Tre Province.</p> <p>"Analytical testing result:                  - on 25/11/2012, form no. 01/TNMT-BT about testing farm discharge water                  - on 25/11/2012, form no. 02/TNMT-BT about testing farm abstract water                  Comparing 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</p> <p>N/A</p>
<b>PRINCIPLE II: FARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT</b>							
<b>2.1. Criteria: Meeting official development plans</b>							
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Finding</b>
2.1.1	<p><b>Indicator:</b> Farms [4] located in approved aquaculture development areas</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Provide a detailed map of the farm with at least 4 GPS coordinates</p> <p>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.</p> <p>c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.</p>	<p>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.</p> <p>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.</p> <p>C. Verify farm is located in an approved aquaculture area If there is no such areas, auditors response is 'not applicable'.</p>	x			<p>A. N10o00'49.00" - E106o20'40.00"                  B. N10o00'52.30" - E106o20'32.60"                  C. N10o01'04.80" - E106o20'14.70"                  D. N10o01'13.80" - E106o20'13.00"                  E. N10o01'07.50" - E106o20'27.00"                  F. N10o00'55.60" - E106o20'36.40"</p> <p>"Letter of confirming" on 02/12/2012, states that the farm is located in the area of planning for aquaculture, signed by the People's Committee of Mo Cay District, Ben Tre Province.</p> <p>The farm's address is within the area of aquaculture in the above letter (see b):                  - Address: Cam Son Village, Mo Cay Nam District, Ben Tre Province</p>
Footnote [4] Pond, cage and pen-based facilities							
<b>2.2 Criteria: Conversion of natural ecosystems</b>							
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Finding</b>
2.2.1	<p><b>Indicator:</b> For ponds [5], evidence [6] that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Ponds established after August 31, 2010</p>	<p>a. Provide a declaration that identifies the month and year of farm construction, and specify dates of any subsequent farm expansions</p> <p>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.</p>	<p>A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010.</p> <p>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)</p> <p>C. Verify accuracy of (a) and (b) above during interviews with local community members to confirm there is no evidence for conversion of wetlands or any other ecosystem (other than agriculture or aquaculture land) as applicable under Indicator 2.2.1.</p>	x			<p>The "Contract of renting land" no. 52/HD-TD-2004, on 29/11/2004, between the Con Ban Farm and The Department of Natural Resource and Environment of Ben Tre Province - the farm has been finishing constructed in 2004. And in the "Statement of farm construction" on 05/01/2012, listed all construction activities of the farm. There is no any construction or subsequent farm expansions after 31/08/2010</p>
Footnote [5] For Ponds established after the publication of the PAD standards.							
Footnote [6] From government organizations.							
2.2.2	<p><b>Indicator:</b> 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</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Submit a signed letter to the ASC committing to pay a contribution to the fund for all certified fish harvested from the day of first certification.</p> <p>b. Retain the receipt from ASC showing that farm's signed letter was received.</p> <p>c. Retain evidence of all payments made into the fund.</p>	<p>A. Verify the farm has signed a letter stating commitment to contribute to the fund.</p> <p>B. Verify evidence that ASC has received the letter.</p> <p>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.</p>	x			<p>"Letter of commitment" on 15/08/2012</p> <p>Feeding back email from ASC on 24/12/2012</p> <p>The fund has not been established yet</p>
Footnote [7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered.							
	<p><b>Indicator:</b> Evidence [8] that no earth has been discharged into common water bodies</p>	<p>a. Provide a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010.</p>	<p>A. Verify the farm has made a declaration.</p>				<p>"Farm declaration" states that they do not discharge earth to the natural environment, earth is use to construct pond's bund</p>



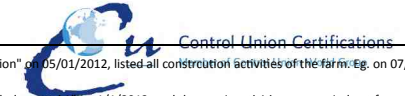
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www.cu Peru.com  
 Email: info@cu Peru.com  
 Requirement: Yes

Applicability: Ponds established after August 31, 2010



2.2.3	b. For construction activities listed in 2.2.1a that involved earth moving and that occurred after August 31, 2010, provide a statement indicating where the earth was moved to or how it was disposed of	B. Review list of construction activities and means of disposing of earth.	x			"Statement of farm construction" of 05/01/2012, listed all construction activities of the farm. Eg. on 07/01/2012 - repair the sludge pond 1. In the "Plan of repairing the sludge pond 1" on 1/1/2012, and the repair activities were carried out from 4-7/01/2012, all earth is used to strengthen the bund  Interviewed local community: Mr. Nguyen Van Giau; Nguyen Van Muoi; Nguyen Van Tinh confirmed that there is no earth discharged to natural environment
		C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.				

Footnote [8] For ponds established after the publication of the PAD standards.

Footnote [9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users.

2.2.4	a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.  b. Determine whether any species occurring in the area are listed as endangered by relevant national authorities.  c. Prepare a list of all endangered species occurring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2).  d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	A. Review search results for adequacy and completeness.  B. Review the source and accuracy of the list.  C. Review list for completeness. Compare with results from search of IUCN database of red list species (see 6.6.2).  D. Review procedures for adequacy.  E. During local community interviews, verify there is no evidence that: - the farm is presently having a negative impact on endangered species - the farm has recently had a negative impact (since August 2010).	x			In the document "Assessment Report of Pangasius farming impacts to endangered species" in Nov.2012, Page 24 - List of reference documents  Circular no. 01/2011/TT-BNNPTNT issued on 05/01/2011 by MARD - additional endangered aquatic species of Vietnam Decision no. 82/2008/QĐ-BNN issue on 17/07/2008 by MARD - list of endangered aquatic animal of Vietnam Vietnamese Redlist, published on 30/01/2007, of the Academy of Scientist and Technology of Vietnam  "Assessment Report of Pangasius farming impacts to endangered species" in Nov.2012, Page 6, Item 3. "Result" - Point 3.2 - "List of endangered species around the Con Ban Farm" The list of search items on the website of IUCN Redlist is in document "Declaration about the list of endangered species in IUCN Redlist around the Con Ban Farm - Mo Cay Nam"  "Assessment Report of Pangasius farming impacts to endangered species" in Nov.2012, Item 3.5 - "Some of necessary solutions for minimizing the impacts of pangasius farming to endangered species around Con Ban Farm" - Part B: "Protection methods"  Interviewed local community: Mr. Nguyen Van Giau; Nguyen Van Muoi; Nguyen Van Tinh, confirmed that: - the farm is presently having a negative impact on endangered species - the farm has recently had a negative impact (since August 2010)
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Footnote [10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.

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

**2.3 Criteria: Site connectivity**

	Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding	
			Yes	No	N/A		
2.3.1	Indicator: Farm does not impede navigation, aquatic animals or water movement.  Requirement: Yes  Applicability: Pens and Cages	a. Obtain community testimonials or similar evidence to show the farm does not impede navigation, aquatic animals or water movement.  B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.			x	Pond	
2.3.2	Indicator: Minimum width of the water body [15] without cages, (see Diagram 1, Annex C)  Requirement: ≥ 50%  Applicability: Cages	a. Provide a map or diagram showing measurement of cages and width of the water body.  b. Provide measurements and calculations sufficient to show compliance (see Diagram 1 from Annex C of the ASC Pangasius Standard)	A. Cross-check the current farm map or diagram using Google-Map, satellite images or similar means (if detailed information is available). If current farm layout differs from the most recent available image, verify that the map or diagram reflects the actual farm layout.  B. Verify that calculations are accurate and confirm compliance			x	Pond

Footnote [15] Water body: Any pond, lake; canal; river, stream or any other distinct mass of water, whether publicly or privately owned, including the banks and shores thereof

2.3.3	Indicator: Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C)  Requirement: ≤ 20% percent of the width of the water body	a. Provide a map or diagram showing measurements of pens and width of the water body.  b. Provide measurements and calculations sufficient to show compliance (see Diagram 2 from Annex C of the ASC Pangasius Standard)	A. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available).  B. Verify that calculations are accurate and confirm compliance.			x	Pond
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	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	<p><b>Indicator:</b> Maximum number of contiguous pens allowed (see Diagram 3, Annex C)</p> <p><b>Requirement:</b> Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens</p> <p><b>Applicability:</b> Pens</p>	<p>a. Provide a map or diagram showing the size and numbers of pens and showing the shoreline distance between pens.</p> <p>b. On the map, show how the arrangement of pens complies with the requirement for number and separation distance (see Diagram 3, Annex C)</p>	<p>A. Inspect site to verify the farm's diagrams accurately show the size and position of pen, and the shoreline distance between pens.</p> <p>B. Verify the farm's arrangement of pens is in compliance</p>			x	<p>Pond</p> <p>Pond</p>	
<b>2.4 Criteria: Water use</b>				<b>Compliance</b>			<b>Finding</b>	
	<b>Compliance Criteria (Required Client Actions)</b>		<b>Auditor Evaluation (Required CB Actions)</b>			<b>Yes</b>	<b>No</b>	<b>N/A</b>
2.4.1	<p><b>Indicator:</b> Farm complies with water allocation [16] limits asset by focal authorities or a reputable independent institution [17]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Ponds</p>	<p>a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>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</p> <p>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.</p> <p>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).</p> <p>e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits</p>	<p>A. Verify the farm keeps complete records of water intake.</p> <p>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.</p> <p>C. Review evidence that water allocation limits have been set for the farm- by a reputable independent institution (as applicable).</p> <p>D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).</p> <p>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).</p>			x	<p>"Diary of changing water" of each pond. Pond 12</p> <p>"Letter of approving" on 21/12/2012, confirm that there is no any allocation limit for the farm, signed by the People's Committe of Mo Cay District, Ben Tre Province.</p> <p>The farm could not provide the statement from the reputable independent institution indicating the water allocation limits for the farm.</p> <p>The organization in 2.4.1 b is The People's Committe of Mo Cay District, Ben Tre Province - an goverment organization</p> <p>There is no legislation requirement of water allocation limits</p>	
Footnote [16] Valid for both surface water and groundwater. Surface water is defined as "water collecting on the ground or in a stream, river, lake, wetland or ocean." Groundwater is defined as "water beneath the earth's surface that supplies wells and springs." Note the term "surface water" is used here in place of the original term "suricial water" that appeared in the Pangasius Aquaculture Dialogue Standards.								
Footnote [17] A reputable independent institution can be a government organization, an academic institution or an organization that is not linked specifically to the aquaculture sector, but has generated water use parameters for the region, or is responsible for water allocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed articles and/or reports on water allocation. Documents produced for a sector other than aquaculture are also acceptable. A track record of at least three years of operation must be available.								
2.4.2	<p><b>Indicator:</b> For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in Annex D)</p> <p><b>Requirement:</b> 5,000 m3/metric ton of fish produced</p> <p><b>Applicability:</b> Ponds</p>	<p>Instruction to Clients for Indicator 2.4.2 -Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced Annex D of the ASC Pangasius Standard provides a formula for calculating "Q," which is the ratio of total water abstracted per ton of fish produced. Farms must perform these calculations using harvest data from individual ponds (i.e. it is done on a crop-by-crop basis) and then using those results to determine a farm-wide average across all ponds. Calculations can be done as described here. For the first pond:</p> <ul style="list-style-type: none"> <li>- compute the total volume of water abstracted ("TEV") in cubic meters (m3), during the production cycle;</li> <li>- compute the total weight offish produced ("A") in metric tons at harvest time; and</li> <li>- calculate Q, for the first pond using the equation: Q=TEV/ A</li> </ul> <p>Repeat the calculations for the second pond, third pond... etc. until Q has been determined for each pond that was harvested. Use the Q values from each pond (Q1, Q2, Q3...Qn) to compute the farm-wide average, or Q<sub>avg</sub></p>	<p>A. Review calculations against intake records to Confirm accuracy.</p> <p>B. Verify the farm keeps records showing the weight "of fish harvested.</p> <p>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).</p> <p>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).</p>			x	<p>"Farm diary" of pond 13</p> <p>"Diary of changing water" pond 13, total volume of changed water is 2,385,000m3</p> <p>"Report of water use efficiency" of pond 13, total volume of changed water is 2,385,000m3</p> <p>"Form of handing-over harvested fish" of pond 13, total weight of harvested fsh is 492.678 ton. The "Form of listing well-boat" of pond 13, total weight of harvested fsh is 492.678 ton.</p> <p>"Report of water use efficiency" of pond 13, total weight of harvested fsh is 492.678 ton.</p> <p>"Report of water use efficiency" of pond 13, ratio of total abstracted water per ton of fish produced = 4,841m3/ton</p>	

		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.				"Report of average water-use of farm for crop 2012-2013" the Average ratio of total abstracted water per ton of fish produced = 4.412m3/ton
Footnote [18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater.							
PRINCIPLE III: MINIMIZE THE NEGATIVE IMPACT OF PANGASIU FARMING ON WATER AND LAND RESOURCES							
3.1 Criteria: Nutrient utilization efficiency							
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
3.1.1	<p><b>Indicator:</b> Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced.</p> <p><b>Requirement:</b> 20 kg/t</p> <p><b>Applicability:</b> Pens and Cages</p>	<p><b>Instruction to Clients for Indicators 3.1.1 and 3.1.2-Laboratory Analysis of TP and TN in Feed</b>                      In order to demonstrate compliance with Indicator 3.1.1 and 3.1.2, farms must be able to establish the amount of total phosphorus (TP) and total nitrogen (TN) in feeds. Farms shall be in possession of a declaration from each of their feed suppliers stating the maximum TP and TN content. Farms shall then verify supplier declarations by testing a representative number of batches (e.g. 1 sample for every 1,000 tonnes of a feed used) for TP and TN content. Tests shall be performed by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Results should show that declarations made by the feed supplier are accurate and that the feed is within the limits stated in the declaration. Farms must demonstrate compliance for all feeds used in the crops that are included in the calculation, regardless of whether those feeds were farm-made or commercially sourced. All calculations should be made on a crop-by-crop basis.                      Note 1: For first audits, farms are not required to check the TP and TN content of feeds using an independent laboratory.                      Note 2: Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification.</p> <p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Obtain relevant declarations of TP content from feed suppliers for a full feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).</p> <p>d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble)</p> <p>e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Confirm the farm has complete and accurate records for feed used</p> <p>B. Verify the farm possesses all declarations for TP content in feed.</p> <p>C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable).</p> <p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.</p> <p>E. Review farm's calculations to confirm the farm complies with the Requirement</p>			x	Pond
Footnote [19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).							
3.1.2	<p><b>Indicator:</b> Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.</p> <p><b>Requirement:</b> 70 kg/t</p> <p><b>Applicability:</b> Pens and Cages;</p>	<p><b>Note:</b> see instructions for Indicator 3.1.1</p> <p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Obtain relevant declarations of TN content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. Provide evidence that the farm tested TN from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).</p> <p>d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TN added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Confirm the farm has complete and accurate records for feed used</p> <p>B. Verify the farm possesses declarations for TN content in feed.</p> <p>C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).</p> <p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.</p> <p>E. Review farm's calculations to confirm the farm complies with the Requirement</p>			x	Pond
Footnote [20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of nitrogen (Australian Government, Department of Meteorology).							
Footnote [21] Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification. Farms that meet the requirements should be able to demonstrate compliance, regardless of whether their feed is made by a commercial feed mill or on site. See Principle 5 for further details.							

<p>3.1.3</p>	<p>Email: info@cuperu.com</p> <p>Indicator: Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)</p> <p>Requirement: 7.2 kg/t</p> <p>Applicability: Ponds</p>	<p>Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Farms will measure the amount of TP and TN discharged from a minimum of 1 pond in production; at least one of these ponds shall be randomly selected. The farm must record the number and identity of selected ponds before sampling. Required procedures for collecting water samples are as follows:</p> <ul style="list-style-type: none"> <li>- two water samples are taken: one from the pond (=pond water) and one from the intake (=intake water). The two samples are taken on the same day.</li> <li>- all water sample collections are done following the methodology provided by a fully independent ISO 17025 accredited laboratory and will be available to the certifier at the day of the audit. The accredited laboratory will be required to verify that sampling was conducted in accordance with this methodology.</li> <li>- all water samples are collected in second half of crop production (ie. ≥ 90 days after stocking)</li> <li>- pond water samples are collected at 50% of pond depth</li> <li>- all water samples are collected before 11:00am</li> <li>- pond water samples are collected &gt; 6 hours after the intake of water into the pond</li> </ul> <p>For first audits farms records for monitoring TP and TN discharged must cover ≥ 6 months. To prepare for first audit:</p> <ul style="list-style-type: none"> <li>- farm invites accredited laboratory to the farm to have the water sampled</li> <li>- if samples are out of compliance, farm takes corrective actions prior to ASC audit</li> <li>- in case of non-compliances, farm does have the water sampled by accredited labortory after implementation of corrective actions to show compliance</li> <li>- 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</li> </ul>	<p>a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring and a copy of the contract specifying that water sampling and analyses are to be conducted in line with constructions for 3.1.3</p> <p>A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.</p>			<p>"ISO17025:2005 certificate" with VILAS 412 of lab Checked the analytical of pond 10: - "Form of taking sample" by the lab' staff for intake water and pond water + Intake water: sample no. M2070712-03 + pond water: sample no. M2070712-01 "Farm diary" of pond 10 and "diary of changing water", the samples taken are in compliance with the standard</p>
<p>3.1.4</p>	<p>Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D)</p> <p>Requirement: 27.5 kg/t</p> <p>Applicability: Ponds</p>	<p>Note: see instructions for Indicator 3.1.3</p>	<p>a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.</p> <p>A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.</p>			<p>"Analytical Testing Result" - Intake water: form no. 422/KQTN for the sample no. M2070712-03 - TP=0.7mg/L - Pond water: form no. 424/KQTN for the sample no. M2070712-01 - TP=1.7mg/L</p> <p>"Form of handing-over harvested fish" of pond 10, total weight of harvested fish is 714,105kg. and cross-checked with the "Form of listing well-boat" of pond 10, total weight of harvested fish is 714,105kg "Diary of changing water" of pond 10, total volume of changed water is 3,152,600m3</p> <p>"Report of nutrient use efficiency" of pond 10, Amount of TP discharged per metric ton of fish produced = 4.41kg/ton</p> <p>"Report of average TP and TN of farm for crop 2012-2013", average Amount of TP discharged per metric ton of fish produced = 4.117kg/ton</p>
<p>3.2 Criteria: Measuring water quality in receiving water body</p>						<p>"ISO17025:2005 certificate" with VILAS 412 of lab of The Center of Analysing Technical Natural Resource and Enviroment, valid to 9/2/2013 Checked the analytical of pond 10: - "Form of taking sample" on 07/07/2012, by the lab' staff for intake water and pond water + Intake water: sample no. M2070712-03 + pond water: sample no. M2070712-01 "Farm diary" of pond 10 and "diary of changing water" confirm the samples are taken in complying with the standard</p> <p>"Analytical Testing Result": - Intake water: form no. 422/KQTN for the sample no. M2070712-03 - TN=3.6mg/L - Pond water: form no. 424/KQTN for the sample no. M2070712-01 - TN=6.3mg/L</p> <p>"Form of handing-over harvested fish" of pond 10, total weight of harvested fish is 714,105kg. and cross-checked with the "Form of listing well-boat" of pond 10, total weight of harvested fish is 714,105kg "Diary of changing water" of pond 10, total volume of changed water is 3,152,600m3</p> <p>"Report of nutrient use efficiency" of pond 10, Amount of TN discharged per metric ton of fish produced = 11.92kg/ton</p> <p>"Report of average TP and TN of farm for crop 2012-2013" calculates on 22/12/2012, average Amount of TN discharged per metric ton of fish produced = 10.087kg/tán</p>
<p>Compliance Criteria (Required Client Actions)</p>		<p>Auditor Evaluation (Required CB Actions)</p>	<p>Yes</p>	<p>No</p>	<p>N/A</p>	<p>Finding</p>

3.2.1	<p>Indicator: Percentage change in diurnal dissolved oxygen [22] (DO) of receiving waters [23] relative to DO at saturation for the water's specific salinity and temperature. An exception is made for ponds that discharge water with TN and TP lower than the TN and TP of the intake water respectively (see DO measurement methodology in Annex D)</p> <p>Requirement: ≤ 65%</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 3.2.1 -Measuring Percent Change in Diurnal Dissolved Oxygen</p> <p>Farms shall monitor the percent change in diurnal dissolved oxygen in receiving waters. Dissolved oxygen (DO) concentration is reported relative to DO at saturation for the water's specific salinity, temperature and altitude. DO is measured using a hand-held oxygen meter or a more accurate (chemical) method, with accuracy established in peer-reviewed documents. The location of measurements should be the first natural receiving water body and as close as practical to the point of discharge but at a distance not exceeding 200m from the point of discharge. In addition, the following procedures are followed:</p> <ul style="list-style-type: none"> <li>- DO monitoring is conducted fortnightly (i.e. once every two weeks)</li> <li>- On each sampling day, two DO measurements are taken: at 1 hour before sunrise and at 2 hours before sunset (+/- 30 min)</li> <li>- DO measurements are taken at 0.3 meters below the water surface.</li> <li>-Temperature and salinity is recorded at the same time that DO is measured.</li> </ul> <p>Note 1: An exemption to Indicator 3.2.1 is made for farms that have "cleaner" water (i.e. where the value of the farm TP and TN is lower than that of the intake water. This applies regardless of whether the receiving water is eutrophic. See Indicators 3.3.1 and 3.3.2 for more information about measuring differences in TN and TP between pond inlet and outlet.</p>		x			<p>"Report of checking water quality of receiving water body" checks every 2 weeks</p>			
		<p>a. Provide DO measurements .</p>	<p>A. Review data set to confirm that monitoring covers the required timeframe</p>				<p>Technician of farm has responsibility in checking D.O., he calibrates the testing device by ToC, Salinity and Altitude. And he can demonstrate his awareness</p>			
		<p>b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.</p>	<p>B. Verify the farm technicians calibrate equipment as required.</p>				<p>"Report of checking water quality of receiving water body", checks every 2 weeks; the calculations are made for each checking; Percentage change in diurnal dissolved oxygen of receiving waters is from 15.4% to 24.2% The calculations are based on Annex D of Standard</p>			
		<p>c. Calculate percent change in DDO for each monitoring date using the equation in AnnexD.</p>	<p>C. Review calculations to confirm accuracy.</p>				<p>"Table of calculation the average DO in the receiving water body" the calculation on 20/12/2012, the Average Percentage change in diurnal dissolved oxygen of receiving waters is 20.18% (&lt;65%)</p>			
		<p>d. Use results of 3.2.1c to calculate the average percent change in DDO over the entire 12 month monitoring period. For first audits, farm records must cover &gt; 6 months.</p>	<p>D. Confirm the average percent change in DDO ≤ 65 %.</p>				<p>At the audit date, the values of on-site tracking DDO of settlement pond 3 is = 17.3%, within the values of farm's records. (15.4% - 24.2%)</p>			
	<p>e. Arrange to take DO measurements while the auditor is at the farm</p>	<p>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.</p>								
<p>Footnote [22] DO is the concentration of oxygen dissolved in water, expressed in mg / L or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature (at sea level sea level).</p> <p>Footnote [23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.</p>										
<p>3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]</p>										
		Compliance Criteria (Required Client Actions)			Auditor Evaluation (Required CB Actions)		Compliance		Finding	
							Yes No N/A			
<p>Footnote [24] This criteria is not pertinent to either cage or pen cultures</p>										
3.3.1	<p>Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D).</p> <p>Requirement: 100%</p> <p>Applicability: Ponds</p>	<p>Instruction to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet</p> <p>Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Laboratory results will be accompanied by a statement that indicates compliance to the methodology set in theASC Pangasius Standard and this Audit Manual. Farms will measure the change in TP and TN from only a subset of the total number of ponds in production: 15% of all ponds (value rounded up to the nearest whole number). At least one of these ponds shall be randomly selected. The farm must record the number and selection of ponds before sampling. Required procedures for collecting water samples are, as follows:</p> <ul style="list-style-type: none"> <li>- samples are collected by staff from the fully independent accredited laboratory;</li> <li>- samples are taken from the 'inlet' and the 'outlet' (inlet = the water in the intake canal, as close as possible to the farm being certified. Outlet =the actual water being discharged not the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged);</li> <li>- samples are collected from pond inlets and outlets during the second half of crop production (i.e. &gt; 90 days after stocking);</li> <li>- on each sampling day, at least two samples are collected from the outlet and these are taken at least 1 hour apart (use the average value in calculations below); and</li> <li>- at a minimum the farm must sample from one pond per year.</li> </ul> <p>Percent Change in TP =(Outlet TP Conc.) - (Inlet TP Conc.) / (Inlet TP Conc.)x100 Percent Change in TN=(Outlet TN Conc.) - (Inlet TP Conc.) / (Inlet TN Conc.)x100 When more than one pond is sampled, determine a "farm-wide average" by calculating the average percent, change for all sampled ponds. For first audits, farm records for monitoring percent change in TP and TN must cover ≥ 6 months</p>		x			<p>"Testing analytical report" of abstract and discharge water of pond 12 - Abstract water: form no. 400/KQTN for the sample no. M2180612-28 - TP=0.8mg/L - Discharged water: + 1st time: form no. 398/KQTN for the sample no. M2180612-07 - TP=1.3mg/L = 2nd time: form no. 399/KQTN for the sample no. M2180612-08 - TP=1.1mg/L</p>			
		<p>a. Provide laboratory results for TP in water samples from inlet and outlet.</p>	<p>A. Review laboratory results for TP.</p>				<p>"Report of changing TP and TN" of pond 12, percentage change of TP between inlet and outlet is =23.68%</p>			
		<p>b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above.</p>	<p>B. Review calculations to verify accuracy.</p>				<p>"Report of average maximum changing TP and TN of farm for crop 2012-2013" calculation on 22/12/2012, the average percentage change of TP between inlet and outlet is = 44.28%</p>			
		<p>c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.</p>	<p>C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.</p>				<p>Checked the "farm diary", "Form of taking samples", confirm the staff from laboratory complied with the requirement in taking samples</p>			
		<p>d. Provide evidence of the on-site visit for the sampling of pond effluents f or TP and TN staff from the accredited laboratory.</p>	<p>D. Review visit evidence for sampling for TP and TN to confirm compliance with procedures.</p>							
<p>Note: see instructions for Indicator 3.3.1</p>										

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3.3.2	<b>Indicator:</b> Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN measurement methodology and TN discharge formula in Annex D).  <b>Requirement:</b> 70%  <b>Applicability:</b> Ponds	a. Provide laboratory results for TN in water samples from inlet and outlets	A. Review laboratory results for TN.	x			"Testing analytical report" of abstract and discharge water of pond 12 - Abstract water: form no. 400/KQTN for the sample no. M2180612-28 - TP=4.3mg/L - Discharge water: 1st time: form no. 398/KQTN for the sample no. M2180612-07 - TN=5.2mg/L 2nd time: form no. 399/KQTN for the sample no. M2180612-08 - TN=5.2mg/L	
		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.				"Report of changing TP and TN" of pond 12, percentage change of TN between inlet and outlet is =17.44%	
		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 maximum changing TP and TN of farm for crop 2012-2013" calculation on 22/12/2012, the average percentage change of TN between inlet and outlet is = 26.95%	
		d. During the on-site visit, 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] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.							
Footnote	[26] Outlet: The actual water being discharged, not the receiving water.							
3.3.3	<b>Indicator:</b> Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)  <b>Requirement:</b> 3 mg/l  <b>Applicability:</b> ponds	Instruction to Clients for indicator 3.3.3-Measuring DO in Water Discharged See Indicator 3.2.1 for a general description of the equipment and method used to measure dissolved oxygen (DO). Take DO measurements at the outlet where water is discharged (i.e. measure DO in the actual water being discharged, not in the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged). Test DO at least once per week.		x			"Weekly report of DO concentration of discharge water": Measures DO once/week. DO from 3.0 to 5.0mg/L	
		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				"Report of calculating average DO in discharge water of farm for crop 2012-2013", the average minimum dissolved oxygen (DO) concentration in water discharged is 3.69mg/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/l. If any single value falls outside limits, raise a non-conformity.				Onsite measuring DO of the Settlement pond at the outlet canal: - at 05h05 - DO = 3.5mg/L - at 15h25 - DO = 4.64mg/L The results of on-site tracking are in range of farm records	
		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.					
<b>3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]</b>							<b>Compliance</b>	<b>Finding</b>
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>		
Footnote	[27] For cage culture, there are no requirements for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly.							
3.4.1	<b>Indicator:</b> Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28]  <b>Requirement:</b> Yes  <b>Applicability:</b> All	a. Provide a detailed sludge management plan (also see 3.5.1). The plan will ensure that no sludge in any form is discharged directly into receiving waters or natural ecosystems.	A. Review the farm's sludge management plan.	x			"Plan of managing discharge sludge"	
		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..				"Diary of monitoring sludge disposing" about all events of pumping wet sludge to the sludge . "Diary of collecting sludge in the sludge pond" about all events of using dry sludge in the sludge to strengthen the pond bunds	
		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.				N/A. Sludge is not transferred	
		d. If a sludge repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership or statement from the owner or right of use).	D. If yes to (d), inspect sludge repository during on-site visit.				The location is stated in the "farm map", showing legal access to the repository	
			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 non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems are considered							
3.4.2	<b>Indicator:</b> Evidence of a sludge repository of appropriate size (See sludge repository formula in Annex D)  <b>Requirement:</b> Yes  <b>Applicability:</b> Farms managing the sludge using a repository	Instruction to Clients for indicator 3.4.2 -Size of Sludge Repository A Sludge Repository Formula is given in Annex D of the ASC Pangasius Standard. Farms shall document how this formula was used to calculate the appropriate size (minimum volume) of a sludge repository. Farms may, for example, document their calculations in the sludge management plan (see 3.4. 1a). All sludge areas and volumes must be considered in the calculation. For 'Area of Pond', consider only the area of the pond from which sludge has to be removed over the following 2 months. Note 1: If the Sludge Repository Formula yields a negative number then the repository exceeds the minimum volume (i.e. it is an appropriate size).		x			"Statement of calculation the area of sludge pond" Sludge ponds of the farm have the total area of 36000m2, and 4.5m deep. According to the calculation, the auditor confirm that the sludge repository is of appropriate size	
		a. Provide calculations showing the sludge repository is of appropriate size	A. Review farm's calculations to verify accuracy. Confirm compliance.				The location is stated in the "farm map", showing legal access to the 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.					
<b>3.5 Criteria: Waste management</b>							<b>Compliance</b>	<b>Finding</b>
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>		

3.5.1	<p><b>Indicator:</b> Evidence of farm solid wastes being discharged into the natural environment</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Prepare a plan for farm solid waste management. The plan may encompass other forms of farm-generated wastes (see 3.4.1, 3.5.2, 3.5.3, and 3.5.4).</p> <p>b. During the on-site visit, arrange for the audit or to inspect the farm's solid waste management system.</p>	<p>A. Review the farm's solid waste management plan</p> <p>B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.</p> <p>C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.</p>	x		<p>"Plan of managing solid waste" - empty feed bags: giving back to the feed manufacturer - Human rubbishes: collected by the local hygiene service company</p> <p>There is no solid waste discharge to the natural environment</p> <p>There are the records of disposing solids waste: - Human rubbishes: "Contract of disposing human rubbishes" no. 14/HD-HV about collecting and disposing rubbishes - Empty feed bags: "diary of collecting and treating solid waste" about the quantity of feed bags giving back to the feed supplier</p>
3.5.2	<p><b>Indicator:</b> Evidence of human and animal solid wastes being discharged into the natural environment</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. During the on-site visit, give the auditor a general description of the farm's system for removal of human and animal solid waste. Allow the auditor to inspect.</p> <p>b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).</p> <p>c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance.</p> <p>d. Provide evidence for burial of animal feces (as applicable).</p> <p>e. Identify septic toilets in construction contracts if possible.</p>	<p>A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment</p> <p>B. Verify that emptying and maintenance follow the schedule.</p> <p>C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that emptying and maintenance follow the schedule.</p> <p>D. Inspect site to verify that the farm buries any animal feces (if applicable).</p> <p>E. Review construction contracts (if applicable).</p>	x		<p>Septic tanks are equipped for each toilet to dispose human waste. There is no sign of discharging human solid waste to the natural environment</p> <p>"Procedure of running and maintaining the septic toilet" mention about the schedule of emptying septic tanks</p> <p>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</p> <p>There is dog in the farm, the farm prepare "Statement of farm's plan of managing animal" mentions about how to manage the solid waste (dog feces) Inspecting the farm and confirm that the farm buries any animal feces appropriately</p> <p>N/A.</p>
3.5.3	<p><b>Indicator:</b> Evidence of chemical and medicine wastes being discharged into the natural environment</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Prepare a plan for farm management of chemical and medicine wastes.</p> <p>b. During the on-site visit, allow the auditor to inspect the farm's management of chemical and medicinal wastes.</p>	<p>A. Review farm's plan for management of chemical and medicinal wastes.</p> <p>B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.</p> <p>C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.</p>	x		<p>"Plan of managing solid waste" on 01/02/2012</p> <p>There is no sign of discharging chemical/medicine to the natural environment</p> <p>There is the records of disposing chemical/medicine waste: "Contract of collecting, transporting the toxic waste" on 07/12/2011. "Diary of collecting and treating solid waste" records from 10/06/2012 to 09/12/2012</p>
3.5.4	<p><b>Indicator:</b> Evidence of proper disposal (30) of dead/moribund fish</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish Prepare a plan for the proper disposal of dead/moribund fish that specifies the means of disposal using one or more of the following categories: incineration (excluding regular burning, as not allowed); burial; fermentation and as fertilizer; septic tank; production of fish meal or fish oil; feed for animals other than pangasius (requires statement from aquatic animal health specialist, see Principle 6); sold. Dead fish should never be used for human consumption unless specifically slaughtered and processed for that purpose in an appropriate facility.</p> <p>a. Provide auditor with the farm's plan for disposal of dead/moribund fish.</p> <p>b. burial, incineration: plan identifies processes, location(s) and containers.</p> <p>c. septic tank: plan gives procedures for disposal of fish in septic tanks, specifies the schedule for emptying tanks, and identifies personnel involved (e.g. contracts with external parties).</p> <p>d. production of fish meal or fish oil: specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.</p> <p>e. feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d"): Option is allowed only if an aquatic animal health specialist concludes that mortality was not caused by an infectious agent or a pesticide/chemical pollutant.</p>	<p>A. Review the farm's plan for compliance with Indicator 3.5.4</p> <p>B. Verify by inspection (as applicable).</p> <p>C. Verify by review of documentary evidence (as applicable).</p> <p>D. Verify by inspection (as applicable).</p> <p>E. Verify that farm possesses written statement(s) from aquatic health specialist (as applicable).</p>	x		<p>"Plan of managing and using dead fish" on 01/02/2012. Dead fishes are sold to the other party to use as fertilizer</p> <p>N/A. Do not burial dead fish</p> <p>N/A. Farm does not use septic tank to treat dead fish</p> <p>N/A. Dead fishes are not used to make fish meal or fish oil</p> <p>N/A. Dead fishes are not used as feed for animals</p>



		f. sold: Plan identifies the option of sales. For all sales, the farm must prepare a contract that states how the buyer will use the dead fish. If intended as animal feed (either directly or as fish meal/oil) the contract and the statement of the specialist confirm compliance with requirements.	F. Verify review of documentary evidence (as applicable)				"Contract of purchasing dead fish" signed on 01/01/2012, Term 1 - Dead fishes are used to make fertilizer "Diary of selling dead fish of farm for crop 2012-2013"
			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
Footnote	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production offish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality w <sup>a</sup> sitqt talked by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for animals other than pangasius. Evidence on the cause of mortality shall be provided by the aquatic animal health specialist (see Principle 6).						
<b>3.6 Criteria: Energy consumption</b>							
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Compliance</b>			<b>Finding</b>
				Yes	No	N/A	
3.6.1	<p><b>Indicator:</b> 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.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Provide records, of mortality quantities, (see Indicator 6.4.4), and their dispose method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop-per site (see preamble).</p>	<p>A. Review calculations. Verify the farm keep records of energy consumption.</p> <p>B. Verify the farm-maintains accurate records of-mortalities and disposals.</p>	x			<p>The Invoice of the used energy "Report of using energy of the farm" from June 2012 to Dec. 2012, about calculating total energy using in the farm</p> <p>"Diary of monitoring dead fish" for each pond about the quantities of dead fish, pond 9 records from 31/07/2012 to the audit date</p>
<b>PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS</b>							
<b>4.1 Criteria: Presence of pangasius in the water drainage system</b>							
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Compliance</b>			<b>Finding</b>
				Yes	No	N/A	
4.1.1	<p><b>Indicator:</b> Farm located in a river basin where the farmed species is indigenous or has a self-recruit in [32] stock established before 1st January 2005</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p><b>Note:</b> If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established, then Indicator 4.1.1. does not apply. Enter 'not applicable' here and proceed to assess farm compliance against Indicator 4.1.3.</p> <p>a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.</p> <p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p> <p>c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).</p> <p>d. If the species is not indigenous and has a self-recruiting stock established in the river basin, provide documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references on multiple incidences of different age classes at different times and location) indicating that the stock was self recruiting before 1st January 2005.</p> <p>e. Verify the identity of the farmed species by direct observation during on-site visit.</p>	<p>A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.</p> <p>B. Review map to confirm farm location within river basin.</p> <p>C. Confirm that documentation show the farmed species is indigenous to the river basin.</p> <p>D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.</p> <p>E. Verify the identity of the farmed species by direct observation during on-site visit.</p>	x			<p>"Statement about seedling" no. 20/TXN-TM,HV on 26/03/2012, states the Latin name of the fish that supplied to the farm, by the seedling supplier "VAT Invoice" about purchasing seedling, on 5/4/2012, No.0000004, issued by the seedling supplier "Letter of confirming pangasius seedling" of seedling for pond 12, no. 20/TXN-TM,HV on 26/03/2012 Cross-checked with the "Farm diary" of pond 12, stocked on 26/03/2012, confirm that the farmed species is accurately identified in purchase records.</p> <p>"Map of Mekong River Basin", with the location of the farm in the map.</p> <p>"Distribution and Ecology of Some Important River Fish Species of the River Mekong Basin" tháng 6/2005. Trang 74 - about "Pangasianodon Hypophthalmus".</p> <p>N/A. The farmed specie is indigenous</p> <p>Took the visual observation at the farm, confirm that there is only pangasius tra in the farm</p>
4.1.2	<p><b>Indicator:</b> If a self-recruiting stock is established, evidence of no negative impacts on the environment [33]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms in a river basin where the species is not-indigenous and a self-recruiting stock is established</p>	<p>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</p>	<p>A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.</p>		x		N/A. The farmed specie is indigenous, not the self-recruiting specie
Footnote	[32] Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times-and location are necessary as evidence.						
Footnote	[33] Peer-reviewed papers, official government (competent authority) statements or other corn parable references are necessary as evidence						



4.1.3	<p><b>Email:</b> info@cuperu.com</p> <p><b>Indicator:</b> If the species is not indigenous and does not have 6 self-recruiting stock established, evidence that the species cannot establish in the river basin [34]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established</p>	<p>Instructions to Clients and Auditor for Indicator 4.1.3 - particular weight is given to peer reviewed evidence, especially papers in journals that have a track record of publishing on the subject. Certifier to verify that the evidence credibly demonstrates that operations are compliant with meeting international norms around the prevention of introduction of non indigenous species in the natural environment outside of client's farm.</p> <p>a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.</p> <p>A. Review evidence provided by the farm to confirm that the farmed species can not establish in the river basin.</p>			x	N/A. The farmed specie is indigenous	
<p><b>Footnote:</b></p>							
<p><b>4.2 Criteria: Genetic diversity</b></p>							
		<p><b>Compliance Criteria (Required Client Actions)</b></p>	<p><b>Auditor Evaluation (Required CB Actions)</b></p>	<p><b>Yes</b></p>	<p><b>No</b></p>	<p><b>N/A</b></p>	<p><b>Finding</b></p>
4.2.1	<p><b>Indicator:</b> Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p>a. Obtain evidence for either of the following: - the species is indigenous to the river basin (result from 4.1.1); or - a self recruiting stock has established in the river basin (result from 4.1.2).</p> <p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1)</p> <p>c. Obtain a declaration from seed suppliers stating that the seed was generated from broodstock deriving (even if through several generations of spawning in captivity) from the pangasius population naturally reproducing in the river basin.</p> <p>d. For all seed purchases, maintain sufficient records (e.g. receipts) to identify the river-basin source of broodstock. For first audits, farm records must cover ≥6 months</p>	<p>A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.</p> <p>B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river basin</p> <p>C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.</p> <p>D. Verify that sourcing of seed is in compliance with the requirement</p>	x			<p>"Distribution and Ecology of Some Important River Fish Species of the River Mekong Basin" in 6/2005. Trang 74 - about "Pangasianodon Hypophthalmus". The farmed specie is indigenous</p> <p>"Map of Mekong River Basin", with the location of the farm in the map.</p> <p>"Farm declaration letter" on 01/06/2012, with the declaration of the farm "Statement letter about the broodstock origin" on 20/02/2012, issued by the seedling supplier, stating that the seed was generated from broodstock deriving from the pangasius population naturally reproducing in the river basin. - The auditor checked the purchase records of each pond, eg. pond 12: "VAT Invoice" about purchasing seedling, on 5/4/2012, No.0000004, issued by the seedling supplier "Letter of confirming pangasius seedling" of seedling for pond 12, no. 20/TXN-TM,HV on 26/03/2012 The "Farm diary" of pond 12, stocked on 26/03/2012, confirm that the farmed species is accurately identified in purchase records.</p> <p>The auditor checked the seedling records, and "Statement letter about the broodstock origin" on 20/02/2012, confirm that broodstocks are from the pangasius population naturally reproducing in the river basin</p>
<p><b>Footnote [35]</b> A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary.</p>							
<p><b>Footnote [36]</b> Throughout these standards, the word "seed" is used for pangasius seed only.</p>							
<p><b>Footnote [37]</b> This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005.</p>							
<p><b>4.3. Criteria: Source of seed</b></p>							
		<p><b>Compliance Criteria (Required Client Actions)</b></p>	<p><b>Auditor Evaluation (Required CB Actions)</b></p>	<p><b>Yes</b></p>	<p><b>No</b></p>	<p><b>N/A</b></p>	<p><b>Finding</b></p>
4.3.1	<p><b>Indicator:</b> Allowance, for use of wild-caught seed for grow out</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Provide a declaration that the farm does not use wild-caught seed for grow out</p> <p>b. Obtain statement from seed suppliers that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity).</p> <p>c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥6 months.</p>	<p>A. Verify declaration of no wild-caught seed for grow out.</p> <p>B. Verify that farm has statements from seed suppliers</p> <p>C. Verify the farm maintains accurate records for sourcing of seed.</p>	x			<p>"Farm declaration letter" on 01/06/2012, with the declaration of no wild-caught seed for grow out.</p> <p>"Letter of confirming pangasius seedling" for each event of seedling stocking, Eg. of pond 12, letter no. 20/TXN-TM,HV issued on 26/03/2012</p> <p>- The auditor checked the purchase records of each pond, eg. pond 12: "VAT Invoice" about purchasing seedling, on 5/4/2012, No.0000004, issued by the seedling supplier "Letter of confirming pangasius seedling" of seedling for pond 12, no. 20/TXN-TM,HV on 26/03/2012 Cross-checked with the "Farm diary" of pond 12, stocked on 26/03/2012, confirm that the farmed species is accurately identified in purchase records.</p>
<p><b>4.4 Criteria: Genetically engineered and hybridized strains</b></p>							
		<p><b>Compliance Criteria (Required Client Actions)</b></p>	<p><b>Auditor Evaluation (Required CB Actions)</b></p>	<p><b>Yes</b></p>	<p><b>No</b></p>	<p><b>N/A</b></p>	<p><b>Finding</b></p>
4.4.1	<p><b>Indicator:</b> No use of genetically engineered (transgenic) or hybrid seed</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.</p> <p>b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover ≥6 months.</p>	<p>A. Verify declaration of no use of genetically engineered or hybrid strains.</p> <p>B. Verify that farm maintains statements from seed suppliers.</p>	x			<p>"Farm declaration letter" on 01/06/2012, with the declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.</p> <p>"Letter of confirming pangasius seedling" for each event of seedling stocking, Eg. of pond 12, letter no. 20/TXN-TM,HV issued on 26/03/2012</p>
<p><b>Footnote [31]</b> A-genetically modified organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC)</p>							
<p><b>4.5 Criteria: Escapes.</b></p>							
		<p><b>Compliance Criteria (Required Client Actions)</b></p>	<p><b>Auditor Evaluation (Required CB Actions)</b></p>	<p><b>Yes</b></p>	<p><b>No</b></p>	<p><b>N/A</b></p>	<p><b>Finding</b></p>
	<p><b>Indicator:</b> 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</p>	<p>a. Provide farm records indicating fish sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review records for fish size in different holding units.</p>				<p>"Farm diary" of each pond, fishes are weighed every 15 days</p>

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4.5.1	being assessed) to escape <b>Requirement:</b> Yes <b>Applicability:</b> All	b. Maintain records indicating the size of net mesh or grills for the entire farm. For first audits, farm records must cover ≥6 months.	B. Review records for mesh or grill size.	x		"Diary of maintaining net and barrier" records all checking for net and barrier of each pond from 26/03/2012 to the audit date, states the net mesh size for pond and for each period of stocking.  Checked the net of ponds in the farm confirm compliance
4.5.2	<b>Indicator:</b> Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection). <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Provide farm records for daily inspection of net mesh or grills used in production (e.g. grow-out) units.  b. Keep records of mitigation and repairs in a permanent register. For first audit, records must cover at least 1 full crop per site (see preamble).  c. Arrange for the auditor to observe an inspection during the on-site visit.	A. Review records to verify inspections are regular and timely.  B. Review the register to verify repairs are performed and recorded.  c. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.	x		"Diary of maintaining net and barrier" records all daily checking for net and barrier of each pond from 26/03/2012 to the audit date  There is no records of repair because of no any damage  On-site observation confirm compliance
4.5.3	<b>Indicator:</b> Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs. <b>Requirement:</b> Yes <b>Applicability:</b> Ponds	a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 10 years.  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).  c. Provide a written statement that there were no incident of significant spillage or escapement due to of flooding in the last 12 months	A. Review records covering >= 10 years or statement to establish the maximum height of high water when flooding occurs.  B. Review statement and map. During the on-site visit, inspect farm to verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.  C. During local community and employee interviews, verify there is no evidence for spillage or escapement from the farm in the last 12 months.	x		"The balancing note book" on 23/12/2012, states the highest water level in previous 10 years, signed by the Center of Hydrometeorology of Ben Tre Province  "Map of altitude of Con Ban Farm" state the lowest point of the farm on the map, signed by the Center of hydrometeorology of Ben Tre Province  Interviewed local community: Mr. Nguyen Van Giau; Nguyen Van Muoi; Nguyen Van Tinh confirm 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 cases of storms)					
4.5.4	<b>Indicator:</b> Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection) <b>Requirement:</b> Yes <b>Applicability:</b> All	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).  b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.  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).	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).  B. Review records of inspection and observed escapees.  C. Review the suitability of any action taken by the farm to reduce escapement  D. During the on site visit, inspect to verify that traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees.	x		"Farm map" with the quantity and loaction of trapping devices. Onsite observation, confirm the trapping devices are suitable  "Diary of monitoring escapee" from 05/04/2012 to the audit date, checks the trapping devices weekly  "diary of monitoring escapee" from 05/04/2012 to the audit date, checks the trapping devices weekly; there are several fishes found in the traps but not pangasius  On-site visual observation, the trapping devices, does not injure or compromise fish health
Footnote [40]	These devices should not injure or compromise fish health (e.g., gill nets).					
<b>4.6 Criteria: Pond Maintenance</b>			<b>Compliance</b>			<b>Finding</b>
<b>Compliance Criteria (Required Client Actions)</b>			<b>Auditor Evaluation (Required CB Actions)</b>			
			<b>Yes</b>	<b>No</b>	<b>N/A</b>	
4.6.1	<b>Indicator:</b> Evidence that bund has remained intact [41] throughout the culture cycle <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Prepare a procedure for the monitoring and repair of damaged bunds.  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.	A. Review farm's procedure for bund monitoring and repair.  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.  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.	x		"Plan of monitoring, maintaining and repairing bund" on 01/02/2012  "Diary of maintaining farm bunds" records from 01/06/2012 to the audit date. There is no any records of damage  On-site observation, found that the bunds in the direction of north-east, covering the pond 1 to 8 are eroded by the river tide. The farm strenthenned a part of bund by wooden pilars, but there is still remaining part which has not been repaired yet  Interviewed local community: Mr. Nguyen Van Giau; Nguyen Van Muoi; Nguyen Van Tinh confirm that bunds have remained intact throughout the culture cycle.
Footnote [41]	Has not been affected in such a way to allow the escape in part or all of the farmed stock.					
		a. Prepare a declaration that the farm has made no intentional releases in the last 12 months	A. Review declaration to confirm compliance.			"Statement of do not release fish to the river" on 01/01/2012

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4.6.2	<p><b>Indicator:</b> Evidence assuring there has been no intentional release [42]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>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).</p>	<p>B. Review records to confirm that all stockings can be accounted by harvest or disposal</p>	x		<p>The auditor checked: "VAT Invoice" about purchasing seedling and "Letter of confirming pangasius seedling" about quantity of seedling for each pond "Farm diary" of each pond about quantity of seedling and fish in the pond, "Diary of monitoring dead fish" about the quantity of dead fish "Form of handing-over harvested fish" and "Form of listing well-boat" about the quantity of harvesting Confirm that all stockings can be accounted by harvest or disposal</p> <p>The auditor checked Farm diary" and "Table of fish stocking plan" about all event of stocking and harvesting. There is no any pond inactivated longer than 3 months</p>
Footnote [42]	The original intent of footnote [42] from the Pangasius Aquaculture Dialogue Standards has been clarified here for auditing purposes. It now reads: "Significant discrepancies between the number (or biomass) of fish-stocked and the number (or biomass) of fish sold in the absence of disease outbreaks, major theft or escapes would indicate the possibility of intentional release."					
<b>PRINCIPLE 5. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED</b>						
<b>5.1 Criteria: Sustainability of feed ingredients</b>						
		<b>Compliance Criteria (Required Client Actions)</b>	<b>Auditor Evaluation (Required CB Actions)</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
5.1.1	<p><b>Indicator:</b> Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed</p> <p><b>Requirement:</b> No</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain records (e.g. receipts) for all purchases of commercial feed in the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>b. If any farm-made feed was used, provide a description of ingredients and preparations. Maintain evidence of purchase (e.g. Receipts) or ownership of all ingredients. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review farm's records for commercially sourced feeds</p> <p>B. Review ingredients to verify that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).</p> <p>C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.</p>	x		<p>"VAT Invoice" of purchasing feed, keep from 03/04/2012 to 23/12/2012, for every batch of feed Cross-checked with the "Feed inventory records" records all input-storing-output from 03/04/2012 to the audit date</p> <p>N/A. There is no farm-made feed</p> <p>The auditor checked the: "Farm diary" for each pond, about feed given "Feed inventory records" for all records of all input-storing-output And cross-checked with the "VAT Invoice" of purchasing feed, confirm that there is no indication of unexplained sources of feed.</p>
Footnote [43]	Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen; minced, dried, meals; oils, and processing by-products)					
5.1.2	<p><b>Indicator:</b> Use of pangasius fish processing by-products [44] as feed or feed ingredients</p> <p><b>Requirement:</b> No</p> <p><b>Applicability:</b> All</p>	<p>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.</p> <p>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.</p> <p>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.</p>	<p>A. Review farm's declaration to confirm that no by-products of pangasius fish used as feed for pangasius</p> <p>B. Review manufacturer's declaration to confirm no pangasius by-products were in feed</p> <p>C. Review farm documentation to confirm that no pangasius by-products were used in feed preparation (if applicable)</p>	x		<p>"Declaration of farm about do not use pangasius by product in feed for pangasius" on 01/01/2012, declares no by-products of pangasius fish used as feed for pangasius</p> <p>"Declaration letter" on 19/05/2012 from the feed supplier confirm no pangasius by-products were in feed</p> <p>N/A. Farm only uses commercial feed</p>
Footnote [44]	Trimming, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these are not counted as part of the "fish product" amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in pangasius diets					
5.1.3	<p><b>Indicator:</b> Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p><b>Instructions to Clients for Indicator 5.1.3- Confirm there are no IUCN Red List Species in Feed</b> For the purposes of this Indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species do not comply with the Standard. This restriction extends to feeds, that use by-products (e.g. trimming) or aquacultured products of IUCN Red Listed species. For each fish product used as a feed ingredient, determine whether the species, is on the IUCN Red list as follows: - goto <a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a> - in the primary search field enter the genus and species - click on "run search" and record the status of the species, Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with Indicator 5.1.3, consider only species identified as "Vulnerable", "Endangered", or "Critically Endangered". Species that are listed in other IUCN categories (e.g. "Not evaluated", "Data Deficient") and "Least Concern", may be included from further analyses.</p>	<p>A. Confirm that farm has records of ingredients from all commercially sourced feeds.</p> <p>B. Repeat search of IUCN database to verify that farm is in possession of accurate result</p>	x		<p>"Statement of product origin" on 10/01/2012 of the feed supplier, states the Latin name of fish species that used to make fishmeal "Declaration letter" on 10/09/2011, of the feed supplier, state the region of harvest those fish for making fishmeal "Declaration letter" on 19/05/2012, of the feed supplier, states the ingredient of feed for pangasius.</p> <p>Repeat the search on IUCN redlist, shows that the farm is complied</p>

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		c. If farm-made feed was used, verify that no species are in "threatened categories" on the IUCN Red List. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance.	C. Confirm that farm has provides sufficient evidence of compliance				N/A. Farm only uses commercial feed
Footnote	[45] Vulnerable, Endangered and Critically Endangered.						
Footnote	[46] www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards.						
5.1.4	<p><b>Indicator:</b> Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II or III [47]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site</p> <p>b. Determine if any species identified in 5.1.4(a) is listed in CITES appendix I, II, or III by doing the following: - go to <a href="http://www.cites.org/eng/resources/species.html">http://www.cites.org/eng/resources/species.html</a> - select option "Species", enter genus and species, and click "find it"</p> <p>c. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance.</p>	<p>A. Confirm that farm has a statement from the feed manufacture verifying the origin of all fish products used as ingredients in all commercial feeds.</p> <p>B. Repeat search of CITES database to verify that farm is in possession of an accurate result</p> <p>C. Confirm that farm has provided sufficient evidence of compliance</p>	x			<p>"Statement of product origin" on 10/01/2012 of the feed supplier, states the Latin name of fish species that used to make fishmeal "Declaration letter" on 10/09/2011, of the feed supplier, state the region of harvest those fish for making fishmeal "Declaration letter" on 19/05/2012, of the feed supplier, states the ingredient of feed for pangasius.</p> <p>Repeat the search on CITES appendice I, II and II, shows that the farm is complied</p> <p>N/A. Farm only uses commercial feed</p>
Footnote	[47] <a href="http://www.cites.org/eng/app/appendices.shtml">http://www.cites.org/eng/app/appendices.shtml</a>						
5.1.5	<p><b>Indicator:</b> ISEAL-certified fishmeal and fish oil products must be used in feed</p> <p><b>Requirement:</b> Within 3 years of becoming available in a region</p> <p><b>Applicability:</b> All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only trimming and aquaculture products are used</p>	<p>Note 1: "becoming available in a region" means being commercially available in the region (UN regions) by at least one independent producers and indicated in grey literature (the date of appearing in grey literature is to be used). Note 2: "products" does not apply to trimmings and aquacultured products as feed ingredients (see Indicator 5.1.3).</p> <p>a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients [to specify genus, species and region of harvest]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.</p>	<p>A. Confirm that farm has statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest)</p> <p>B. Review evidence and confirm compliance.</p>	x			<p>"Statement of product origin" on 10/01/2012 of the feed supplier, states the Latin name of fish species that used to make fishmeal "Declaration letter" on 10/09/2011, of the feed supplier, state the region of harvest those fish for making fishmeal "Declaration letter" on 19/05/2012, of the feed supplier, states the ingredient of feed for pangasius.</p> <p>Currently not applicable in Vietnam</p>
5.1.6	<p><b>Indicator:</b> ISEAL certified fishmeal and fish oil products must be used in feed.</p> <p><b>Requirement:</b> Within 5 years from the publication date of the PAD standards</p> <p><b>Applicability:</b> All, after August 2015. Not applicable if only trimming and aquaculture products are used</p>	<p>a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirement apply only to fish on site.</p> <p>b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5,</p>	<p>A. Confirm that farm possesses information about feed ingredients.</p> <p>B. Re view evidence and confirm compliance.</p>	x			<p>"Statement of product origin" on 10/01/2012 of the feed supplier, states the Latin name of fish species that used to make fishmeal "Declaration letter" on 10/09/2011, of the feed supplier, state the region of harvest those fish for making fishmeal "Declaration letter" on 19/05/2012, of the feed supplier, states the ingredient of feed for pangasius.</p> <p>Currently not applicable in Vietnam</p>
5.1.7	<p><b>Indicator:</b> Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation's (IFFO) "Responsible Sourcing Program for Certification of Responsible Practice for Fishmeal and Fish Oil Production"</p> <p><b>Requirement:</b> ≥6.0 with no individual score &lt; 6.0 or an N/A in the stock assessment category. Yes</p> <p><b>Applicability:</b> Up to when standard 5.1.5 or 5.1.6 can be met. Not applicable if only trimming and aquaculture products are used</p>	<p>Instruction to Clients for Indicator 5.1.7 -FishSource Score of Products Used in Feed To determine FishSource scores offish species used as feed ingredients, do the following:- - go to <a href="http://www.fishsource.org/">http://www.fishsource.org/</a> - select "Species" drop down tab to the left -select the species that is utilized by the farm as a source of fish meal or oil -confirm that the search identifies the correct species, then select the top tab that reads "Scores" -Review scores to verify average FS scores &gt; 6.0; no individual score &lt; 6.0, and no "N/A" for "Stock assessment" category (category 4 in Fish Source scoring). If results show the species does not meet all three of the above criteria, then the feed does not meet requirements of the ASC Pangasius Standard. If the species has not been assessed (i.e. it is not listed on the FishSource website), then the feed does not meet requirements of the Standard. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment.</p> <p>a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>b. Provide an FS score or verification of IFFO certification for each species used as a feed ingredient in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p>	<p>A. Verify that farm possesses information about feed ingredients.</p> <p>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).</p>	x			<p>"Declaration letter" on 19/05/2012, of the feed supplier, states the ingredient of feed for pangasius.</p> <p>"Declaration letter" on 10/09/2011, of the feed supplier, state that only using by products in the fish meal</p>
5.2. Criteria: Efficient management of feed use on the farm							Finding
Compliance Criteria (Required Client Actions)		Auditor Evaluation (Required CB Actions)			Yes	No	N/A

5.2.1	Email: info@cuperu.com  Indicator: Maximum weighted [50] average of economic Feed-Conversion Ratio (eFCR) for the complete production cycle.  Requirement: 1.68  Applicability: All	a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).	A. Review records to confirm that farm has records for all seed	x			"Letter of confirming pangasius seedling" of pond 13, no. 22/TXN-TM,HV on 03/06/2012, quantity: 726,511 fishes; and the "VAT invoice" on 31/07/2012, quantity is also 726,511 fishes Cross-checked with the "Farm diary" pond 13, stocked into pond on 03/06/2012, and harvested on 08/12/2012, quantity of seedling: 726,511 fishes	
		b. Maintain records showing the type of feed and the total weight used (see 3.1.1a)	B. Confirm that farm has complete and accurate record for feed.				"Farm diary" pond 13, total weight of feed given: 778,040kg The "Feed inventory records" of pond 13	
		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.				"Form of handing-over harvested fish" of pond 13, total weight of harvested fish: 492,678kg. Cross-checked with the "Form of listing well-boat", total weight of harvested fish: 492,678kg	
		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 feed conversion ratio" of pond 13, eFCR = 1.66	
		e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.	E. Review calculations for accuracy. Confirm compliance.				"Report of average eFCR of farm for crop 2012-2013", average eFCR is 1.6575 (<1.68)	
Footnote [50] Weighting to be conducted by the amount of fish produced in different farming units (e.g. ponds, pens and cages).								
5.2.2	Indicator: Maximum Fish Feed Equivalence Ratio (FFER)  Requirement: 0.5  Applicability: All	a. Obtain statement(s) from feed manufacturer indicating the maximum inclusion percentage of fish meal and fish oil in each type of feed used. For first audits, farm records must cover ≥ 6 months.	A. Verify that farm possesses information about percent inclusion of fish meal and fish oil for all feed types.	x			"Declaration letter" of the feed supplier, states the ingredient of feed for pangasius.	
		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 factored in as "fish meal or oil" for this calculation	B. Review calculation verify accuracy. Confirm compliance.				"Declaration letter" of the feed supplier, state that only using by products in the fish meal	
PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety								
6.1 Criteria: Mortalities								
				Compliance			Finding	
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%  Applicability: All	<b>Instructions to Clients for Indicator 6.1.1 - Calculating Average Real Percentage Mortality (RPM)</b> Calculate the Real Percentage Mortality using the stocking & harvesting data from every enclosure used by the farm in the last 12 months. Do one calculation per enclosure as follows: 1) Determine the number of fish stocked. This number may be obtained from - direct counts of fingerlings, or - computed by taking the total weight of stocked fish and dividing by the average weight of the fish stocked. 2) Determine the number of fish harvested. This number may be obtained from - direct counts of harvested fish, or - computed by taking the total weight of harvested fish and dividing by average weight of the fish harvested. 3) Using the formula in Annex D, compute the Real Percentage Mortality for the enclosure (Note 1). 4) Repeat steps 1-3 for every other enclosure used by the farm. 5) Compute the average RPM for all enclosures over the last 12 months as follows: Weighted Average RPM = [ (RPME1 x YieldE1) + (RPME2 x YieldE2)... + (RPME n x YieldEn) ] / (YieldE1 + YieldE2 ... + (YieldEn) Where E1, E2, En are the 1st enclosure; the 2nd enclosure and the nth enclosure For the audits, records must cover at least 1 full crop per site (see preamble)  <b>Note 1:</b> Only use counts of live fish in these calculations. Do not include counts of dead fish when determining number of harvested fish or number of stocked fish. <b>Note 2:</b> Only use information from complete crops.						
		a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers (see 5.2.1a). Maintain records to show the total number of fish stocked into each enclosure during the last 12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).	A. Review receipts. Confirm that farm records are sufficient to determine of seed stocked into each enclosure.	x				"Letter of confirming pangasius seedling" of pond 13 "Farm diary" pond 13, stocked into pond on 03/06/2012, and harvested on 08/12/2012, quantity of seedling: 726,511 fishes
		b. Maintain harvest records for each crop (e.g. selling receipts or processing plant receipts) that are sufficient to show the total number of fish harvested from each enclosure. For first audit, records must cover at least 1 full crop per site (see preamble)	B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.					"Form of handing-over harvested fish" of pond 13 and the "Form of listing well-boat" on 09-11/12/2012, total quantity of harvested fish is 600,827 fishes
		c. Calculate the weighted average of the Real Percentage Mortality (see above) using the formula given in Annex D of the Pangasius Standard. Provide calculations to the auditor.	C. Review farm's calculation to verify accuracy. Confirm that average real percentage mortality is ≤ 20%					"Report of mortality rate" of pond 13, real percentage mortality of pond 13 is 17.3% "Report of Maximum average real percentage mortality of farm for crop 2012-2013", the average percentage mortality of farm is 18.71% < 20%
6.2 Criteria: Veterinary medicines and chemicals								
				Compliance			Finding	
Compliance Criteria (Required Client Actions).				Yes	No	N/A		

6.2.1	<p><b>Indicator:</b> Use only Veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Prepare a list of all veterinary medicines, chemicals and biological products use on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on the farm in the last 12 months. For first audit, records must cover at least 1 full crop per site (see preamble).</p> <p>c. For the list provided in 6.2.1a, identify suppliers and contact information.</p> <p>d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.</p> <p>e. Provide list of farm's export (i.e sales to parties in foreign countries) over the last 12 months.</p> <p>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).</p> <p>g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumption.</p> <p>h. Show that in the last 12 months, the farm did not use any veterinary medicines, chemical or biological products that are banned or non-approved in the importing country.</p>	<p>A. Review list of medicines, chemicals and biological products.</p> <p>B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies).</p> <p>C. Review list.</p> <p>D. Confirm that listed products used are approved for aquaculture.</p> <p>E. Review list and compare to farm's sales receipts</p> <p>F. Review list (as applicable)</p> <p>G. Review list.</p> <p>H. Review evidence. Cross check the farm export's markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.</p>	x		<p>"Statement of chemical/medicines ingredient of supplier" listed all chemical/medicine that used in the farm</p> <p>Records of purchasing, using chemical and receipt of purchasing chemical, cross checked by taking visual observation</p> <p>"Statement of chemical/medicines ingredient of supplier" on 01/02/2012, listed all supplier with contact information</p> <p>The list of approved chemical/medicines in Vietnam, in the Circular no. 69/2010/TT-BNNPTNT issued on 06/12/2010 of the Ministry of Agriculture and Rural Development of Vietnam (MARD)</p> <p>"List of export market of Hung Vuong Company" on 20/03/2012, states all market that import product from Hung Vuong Company and the "Form of handing-over harvested fish" about handing-over the harvested fish to processing unit of Hung Vuong</p> <p>Decision no. 1471/QĐ-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</p> <p>Decision no. 1471/QĐ-BNN on 20/06/2012 by MARD, with the regulation about chemical/medicines of those country: EU, American, Russia, Korea, Taiwan</p> <p>Cross-checked the farm's records of using chemical/medicine with the regulation for each market in the Decision no. 1471/QĐ-BNN on 20/06/2012 by MARD confirm compliance</p>
6.2.2	<p><b>Indicator:</b> Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist [55] based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose [56]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Provide records of prescriptions, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medicines and chemicals used on the farm. For first audits, farm records must cover ≥6 months.</p> <p>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.</p> <p>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.</p> <p>d. Provide copies of the title(s) of the aquatic animal health specialist showing how s/he is suitably qualified for the position.</p>	<p>A. Review records of prescriptions or written advice for veterinary medicines and chemicals.</p> <p>B. Review written descriptions. Confirm use approved by AAH Specialist.</p> <p>C. Review justification from AAH Specialist as applicable.</p> <p>D. Review evidence. Confirm that AAH Specialist is suitably qualified.</p>	x		<p>"Form of prescription" for all treatments, records from 26/03/2012 to the audit date, signed by the AAH Specialist</p> <p>"diary of using chemical - medicine" of pond 14, on 03 - 07/11/2012, used antibiotic</p> <p>"Form of prescription" no. 15, 16, 17, 18, and 19/14., used antibiotic, signed by the AAH Specialist</p> <p>Cross-checked the use of antibiotic and other chemical/medicine product in "diary of using chemical - medicine" and "Farm diary" of each pond about the dosage of treatment. Comparing with the chemical labels confirm that the farm follows the recommends in the label for their treatments</p> <p>"List of completed training subjects" of the AAH Specialist, issued by the Forestry and Agriculture University of Ho Chi Minh City</p>
Footnote	<p>[55] Aquatic animal health specialist defined following government's regulations, if such regulations exist in the producing country. If the government does not regulate on this, the following people can be considered as specialists:</p> <ul style="list-style-type: none"> <li>• Veterinarians with at least three months of academic training on fish health management (for a total of at least 60 hours). This training may be included with the veterinary degree.</li> <li>• Aquaculturists (with university or vocational degree) who have completed at least three months of training on fish pathology and treatment (for a total of at least 60 hours). This training may be included with the university or vocational degree.</li> </ul>					
Footnote	<p>[56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.</p>					
6.2.3	<p><b>Indicator:</b> Follow the aquatic animal health specialist recommendations on:</p> <ol style="list-style-type: none"> <li>1- how to apply the veterinary medicine and chemicals prescribed</li> <li>2- how to handle &amp; store the veterinary medicines and chemicals prescribed</li> <li>3- who needs to be informed about the disease and how</li> <li>4- how to limit the spread of the disease to neighboring wild or farmed populations</li> </ol> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. For veterinary medicines or chemicals applied and for a II mortality events notified, provide statements of the specialist indicating his/her recommendation on:</p> <ul style="list-style-type: none"> <li>- how to apply the veterinary medicine and chemicals prescribed;</li> <li>- how to handle &amp; store the veterinary medicine and chemicals prescribed</li> <li>- who needs to be informed about the disease; and</li> <li>- how to limit the spread of the disease to neighboring wild or farmed population.</li> </ul> <p>For first audits, farm records must cover ≥6 months.</p> <p>b. Provide a declaration that the farm follows the recommendations of the aquatic animal health specialist.</p>	<p>A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.</p> <p>B. Review farm's declaration to confirm following recommendations of the AAH Specialist.</p> <p>C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.</p>	x		<p>"Statement Letter of the AAH Specialist"</p> <p>"Declaration letter about following the recommends of AAH Specialist" on 02/01/2012, signed by the Farm manager</p> <p>Chemicals/medicines are stored following the AAH Specialist's recommend</p>



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			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 Specialist are followed in the farm
6.2.4	<p><b>Indicator:</b> Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label.</p> <p><b>Standard:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. For chemical/medicinal treatments in the last 12 months, provide daily records of product use and water temperature during withdrawal periods. For first audits, records must cover ≥6 months and at least 1 full crop per site (see preamble).</p> <p>b. Provide labels indicating duration of withdrawal periods. If labels do not specify a withdrawal period, provide evidence that withdrawal periods were &gt; 750 degree days.</p> <p>c. Provide evidence (e.g. receipts) to show no fish were harvested before completion of withdrawal period during the last 12 months. For first audits, farm records must cover 6 months.</p>	<p>A. Review records of withdrawals.</p> <p>B. Review labels and completion dates of withdrawal periods.</p> <p>C. Evaluate evidence to verify that no fish were harvested before completion of withdrawal period.</p>	x		<p>"diary of using chemical - medicine" of each pond, with the information of withdrawal periods. Temperature record is in place</p> <p>"Diary of using chemical - medicine" of pond 12, on 25 - 29/10/2012, used antibiotic, withdrawal period: 27 days</p> <p>Checked the "Diary of using chemical - medicine" about the withdrawal period and cross-checked with the "Form of handing-over harvested fish" about the date of harvest, confirm that the withdrawal period is adhered to</p>
6.2.5	<p><b>Indicator:</b> Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least full crop per site (see preamble).</p> <p>b. Prepare declaration stating that farm did not use any antibiotic critically important to human medicine as categorized by the WHO in the last 12 months.</p> <p>c. Provide the up-to-date list of the WHO [57]</p>	<p>A. Review list of antibiotics used.</p> <p>B. Review declaration. Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine.</p> <p>C. Verify farm holds an up-to-date copy of the WHO list [57]</p> <p>D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p>	x		<p>"Statement of chemical/medicines ingredient of supplier" listed all chemical/medicine that used in the farm</p> <p>"Declaration about not using non-approved chemical/medicine" on 01/01/2012, stating that farm did not use any antibiotic critically important to human medicine as categorized by the WHO</p> <p>List of "WHO - Critical Important Antimicrobial for Human Medicine"</p> <p>On-site inspection, there is no evidence of use of antibiotics critical for human medicine which listed in "WHO - Critical Important Antimicrobial for Human Medicine"</p>
Footnote	[57] Refer to the second WHO Expert meeting on Critically Important Antimicrobials for Human Medicine: Categorization for the Development of Risk Management Strategies to Contain Antimicrobial Resistance due to Non-human Antimicrobial use, 25-31 May 2007 http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf					
6.2.6	<p><b>Indicator:</b> Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem.</p> <p><b>Standard:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Provide declaration stating that farm does not use any unauthorized prophylactic veterinary medicines (prior to evidence of a specific disease problem).</p> <p>b. Obtain a declaration from the aquatic animal health specialist indicating that s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months, for first audits, the period covered by the declaration must be ≥ 6 months.</p> <p>c. Maintain receipts for all purchases of veterinary medicines. For first audits, records must cover at least full crop per site (see preamble).</p>	<p>A. Verify farm holds declaration.</p> <p>B. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.</p> <p>C. Verify farm maintains records of all purchases of veterinary medicines.</p> <p>D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.</p> <p>E. Reconcile the quantities purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.</p>	x		<p>"Declaration letter" stating that farm does not use any unauthorized prophylactic veterinary medicines, signed by the Farm Manager and AAH Specialist</p> <p>"Declaration about not using non-approved chemical/medicine" on 01/01/2012</p> <p>"VAT Invoice" of purchasing chemical, keeps all invoices from 01/03/2012 to 7/11/2012</p> <p>Cross-checked the chemical/medicine store. All chemicals/medicines in the store are included with purchasing records</p> <p>The auditor reconcile the quantities purchased against stocks held on-site and records for usage by checking sample chemical/medicine in:</p> <p>"VAT Invoice" of purchasing chemical and medicine</p> <p>"Chemical/medicine inventory records" about balance of input-storing-output of chemical/medicine store;</p> <p>"Diary of using chemical - medicine" of each pond, about the records of using chemical/medicine</p>
6.2.7	<p><b>Indicator:</b> Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters [58].</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Obtain a declaration from the applicant, endorsed by an aquatic animal health specialist indicating that there has been no use of veterinary medicines (excluding vaccines) as growth promoters by the farm in the last 12 months. For first audits, the period covered by the declaration must be ≥ 6 months.</p>	<p>A. Verify the AAH Specialist supports the declaration that there is no use of veterinary medicine as growth promoters.</p> <p>B. Reconcile the quantities of veterinary medicines purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.</p>	x		<p>"Declaration letter" on 01/02/2012, declaration that there is no use of veterinary medicine as growth promoters, signed by the Farm Manager and AAH Specialist</p> <p>Checked the records of purchasing, stocks held on-site and records for usage, confirm the quantities are balance</p>
Footnote	[58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).					
<b>6.3 Criteria: Pangasius health plan</b>				<b>Compliance</b>		<b>Finding</b>
<b>Compliance Criteria (Required Client Actions).</b>				<b>Yes</b>	<b>No</b>	<b>N/A</b>
6.3.1	<p><b>Indicator:</b> Presence of a written pangasius health plan reviewed yearly; updated and approved by a specified aquatic animal health specialist [59] (See Annex E for health Plan).</p>	<p>a. Prepare the farm's written pangasius health plan containing all required elements (Annex E)</p> <p>b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist.</p>	<p>A. Review health plan for compliance with Annex E</p> <p>B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.</p>			<p>"Fish health plan"</p> <p>Signed by the AAH Specialist</p>

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Applicability: All



6.3.1	Requirement: Yes	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".	x		Updated on 20/12/2012
			D. During on-site visit, verify that the plan is implemented and effective.			

Footnote [59] GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders.

**6.4 Criteria: Holding-unit specific record-keeping**

		Compliance			Finding
Compliance Criteria (Required Client Actions).		Yes	No	N/A	
6.4.1	<b>Indicator:</b> 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 <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Maintain records that identify all the veterinary medicines, and chemicals used at the grow-out facility. For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains purchase records.	x	"VAT Invoice" of purchasing chemical, keeps all Invoices from 01/03/2012 to 7/11/2012
		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
		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.		In the "Diary of using chemical - medicine" for each pond and "Form of prescription" for all treatments, 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.		"Letter of confirming pangasius seedling" for each event of seedling stocking; in the Item: "The chemical/medicine that used in the previous period"
6.4.2	<b>Indicator:</b> 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 <b>Requirement:</b> Yes <b>Applicability:</b> 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	"Letter of confirming pangasius seedling" for each event of seedling stocking; 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 The hatchery is also belonged to Hung Vuong Company, the seedlings are transferred internally, so that no need to test pathogen following legislation
6.4.3	<b>Indicator:</b> Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify: - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-para sites, fin erosion, etc); and - number of dead fish. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review daily records to confirm that all reporting elements are included. Verify compliance.	x	"Farm diary" of each pond" records the date, dead fish quantity, and signs of abnormalities Beside, the "Diary of monitoring dead fish" details all signs of abnormalities in the event of disease

Footnote [60] Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion).

6.4.4	<b>Indicator:</b> All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist <b>Requirement:</b> Yes <b>Applicability:</b> All	Instructions to Clients for Indicator 6.4.4- Establishing a Threshold for the Reporting of Mortality Events Indicator 6.4.4 requires that farms report all significant mortality events to the aquatic animal health specialist. The ASC Pangasius Standard does not prescribe a specific threshold value for all farms to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their aquatic animal health specialist to develop a threshold for reporting mortality events that is appropriate for identifying significant or "above average" mortality events based on farm data. In establishing a threshold, the farm must consider the following: -thresholds must be generated using farm data for mortality and this shall include farm information from at least 1 randomly selected pond; -thresholds must be stage-specific to account for differing mortality rates during the 1st week, the 1st month, and any month after that; -the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and -the farm must describe how the threshold was established in the farm's Pangasius Health Plan.		x		"Diary of monitoring dead fish" details quantity of dead fish for each pond
		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			"Diary of monitoring dead fish" details quantity of dead fish for each pond, checked and signed by the AAH Specialist monthly
		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.			"Form of informing mortality threshold" on 22/12/2012, established 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 Plan to confirm compliance with requirements.			"Farm diary" of pond 12, on 26/07/2012, on date 121st, quantity of dead fishes: 2,011 fishes, --> 0.23% of all fishes in the pond "Form of informing mortality threshold" on 22/12/2012, the period of 121st to 150th, the mortality threshold is 0.08%. The AAH Specialist had already informed and signed confirming of this event
	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.				

**6.5 Criteria: Fish Welfare**





Compliance Criteria (Required Client Actions)		Yes	No	N/A			
6.5.1	<p><b>Indicator:</b> Minimum average growth rate</p> <p><b>Requirement:</b> 3.85 g/day</p> <p><b>Applicability:</b> All</p> <p><b>Compliance Criteria (Required Client Actions):</b>                      Instructions to Clients for Indicator 6.5.1- Calculating Average Growth Rate                      Annex D of the ASC Pangasius Standard provides formulas for calculating yield and average growth rate (AGR). Farms must perform these calculations using harvest and stocking data from individual ponds (i.e. it is calculated on a crop-by-crop basis). It should be done as follows:                       Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1)                       AGRP1 = YieldP1 / duration of production cycle (Pond1)                       Where weights are given in grams (g), duration is given in number of days (d), AGR is computed in units of grams per day (g/d), and enclosure are identified by subscripts P1, P2, P3 etc.                       Repeat the AGR calculations for the second pond, third pond... etc. until an AGR has been determined for each pond that was harvested. For first audits, records must cover at least 1 full crop per site (see preamble). Next calculate the farm-wide weighted average AGR using the following formula:                       Weighted Average AGR = (AGRP1 x YieldP1) + (AGRP2 x YieldP2)... + (AGRPn x YieldPn) / (YieldP1 +YieldP2 ...+ YieldPn)   <b>Clarification note:</b>                      Indicator 6.5.1 was developed under the assumption that:                      - fish are stocked at 80 grams,                      - harvested at 1,000 grams and                      - average production cycle is 8 months.                       Given that specific growth rates of Pangasius are variable with body size (i.e. size and age dependent), formulas will yield a reduced level of absolute growth if fish are harvested at a substantially smaller size than 1 kg. (i.e. farms that harvest fish at 600-700g average body weight).</p>						
		a. Maintain records (e.g. receipts from seed suppliers) showing the weight of fish stocked into each enclosure (e.g. see 6.1.1). For first audits, records must cover at least 1 full crop per site (see preamble).	A. Verify farm maintains records of the weight of fish stocked in each enclosure.	x			"Farm diary" of pond 10, stocked into pond on 05/04/2012, harvested on 27/09/2012 --> 176 days "Letter of confirming pangasius seedling" no. 17/TXN-TM,HV on 05/04/2012 stocked into pond 10, average fish size: 20g/fish
		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.				"Form of handing-over harvested fish", average harvested fish size: 700g/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.				"Report of fish grow rate" pond 10 total of growing day, The average growth rate is 3.854g/day >3.8g/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 average growth rate of farm for crop 2012-2013", farm-wide weighted average is 3.85g/day
6.5.2	<p><b>Indicator:</b> Maximum fish density at anytime</p> <p><b>Requirement:</b> 38 kg/m2 for ponds and pen</p> <p><b>Applicability:</b> Ponds and Pens</p> <p><b>Compliance Criteria (Required Client Actions):</b>                      a. Provide a plan of the farm showing surface area (m2) of each enclosure.                      b. Maintain records of the total weight (kg) of fish harvested from each pond and/or pen (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble)                      c. For each enclosure, divide the weight of fish harvested (result from 6.5.2b) by the surface area of the enclosure (results from 6.5.2a) to calculate fish density (kg/m2). For first audits, records-must cover at least 1 full crop per site (see preamble).                      d. In addition to calculating fish density at harvest (6.5.2.c), farms shall record monthly estimates of fish density for each enclosure using estimated biomass (e.g. from farm diaries) and surface area (see 6.5.2a). For first audits, farm records must cover ≥ 6 months.</p>						
		A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.	x			"Farm map" with the area of each pond, pond 10, area = 22,000m2	
		B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.				"Form of handing-over harvested fish" on 01/10/2012, total weight of harvested fish = 714,105kg	
		C. Review calculations for fish density at harvest to verify compliance				"Report of average fish density at time of harvesting" calculated on 20/12/2012, pond 10, the density = 32.46kg/m2	
D. Review monthly estimates of fish density to verify compliance.	The record of monthly estimates of fish density						
6.5.3	<p><b>Indicator:</b> Maximum fish density at anytime</p> <p><b>Requirement:</b> 80 kg/m3 for cages</p> <p><b>Applicability:</b> Cages</p> <p><b>Compliance Criteria (Required Client Actions):</b>                      a. Provide a description of the system specifying the total number of cages and volume (m3) of each cage.                      b. Maintain records of the total weight (kg) of fish harvested from each cage. For first audits, records must cover at least 1 full crop per site (see preamble).                      c. For each cage, divide the weight of fish harvested (result from 6.5.3b) 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).                      d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates of fish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.</p>						
		A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.	x			Pond	
		B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.				Pond	
		C. Review calculations for fish density at harvest to verify compliance				Pond	
D. Review monthly estimates of fish density to verify compliance.	Pond						
<b>6.6 Criteria: Predator control</b>		<b>Compliance</b>			<b>Finding</b>		
Compliance Criteria (Required Client Actions).		Yes	No	N/A			

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6.6.1	<p>Email: info@cuperu.com Indicator: Use of lethal predator [61] control</p> <p>Requirement: No</p> <p>Applicability: All</p>	<p>a. Prepare a procedure describing how the farm controls predators, and maintain a list of all predator control devices and their locations.</p>	<p>A. Review list</p>	x		<p>"Plan of controlling predators" on 01/02/2012.</p>	
Footnote	<p>[61] Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all types of predators during the production period, but only birds, reptiles and mammals during the period of preparation of the holding with (e.g. ponds, pens and cages). Data and prices are evaluated from sensitivities as they are available here. Fish on the farm, be endangered as soon as possible.</p>						
6.6.2	<p>Indicator: Mortality of IUCN red listed species.</p> <p>Requirement: 0 (zero)</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 6.6.2 -Presence of IUCN Red Listed Species Determine whether IUCN red list species are present in the region as follows: -go to <a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a> -follow to "other search options" - select "Taxonomy" - select "Animalia" - indicate appropriate "Location", "Systems", "habitat", - click on "run search" and record animal species listed and whether they are threatened by the farming activity. Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether a farm complies with indicator 6.6.2, species in the following IUCN categories may be excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".</p>	<p>A. Repeat analysis to verify that client possesses an accurate result.</p> <p>B. Verify that farm procedures are appropriate and implemented (as applicable)</p> <p>C. During local community interviews, verify there is no evidence of the farm causing mortality of IUCN red listed species [also see Indicator 2.2.4(E)]</p>	x		<p>"Assessment Report of Pangasius farming impacts to endangered species" in Nov.2012, Page 6, Item 3. "Result" - Point 3.2 - "List of endangered species around the Con Ban farm" The list of search items on the website of IUCN Redlist is in document "Declaration about the list of endangered species in IUCN Redlist around the Con Ban Farm - Mo Cay Nam", on 20/02/2012</p> <p>"Assessment Report of Pangasius farming impacts to endangered species" in Nov.2012, Item 3.5 - "Some of necessary solutions for minimizing the impacts of pangasius farming to endangered species around Con Ban Farm" - Part B: "Protection methods"</p> <p>Interviewed local community: Mr. Nguyen Van Giau; Nguyen Van Muoi; Nguyen Van Tinh confirm that there is no evidence of the farm causing mortality of IUCN red listed species</p>	
<b>7.1 Criteria: Labor Law</b>		<b>Compliance criteria (Required Client Actions):</b>			<b>Compliance</b>		<b>Finding</b>
		Yes			No		N/A
7.1.1	<p>Indicator: Compliance with labor laws in the country where pangasius is produced</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Obtain all national and local labor regulations applicable to the farm. Regulations should cover at least the following issues: labor contracts, child labor, working time, working/living conditions, minimum wage and benefits/allowance, health and safety, presence of on-farm regulation.</p> <p>b. Ensure that the farm and all employees on the farm comply to the labor regulations.</p>	x			<p>Vietnam labor law</p> <p>Time regulation dated 01/02/2012.</p>	
<b>7.2 Criteria: Child labor [62] and young workers [63]</b>		<b>Compliance criteria (Required Client Actions):</b>			<b>Compliance</b>		<b>Finding</b>
		Yes			No		N/A
Footnote	<p>[62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is not stipulated, or is in progress with developing countries, under ILO Convention 138, the language will apply. Child labor does not include children under their own farm.</p>						
Footnote	<p>[63] Young worker: Any worker between the age of child as defined and under the age of 18.</p>						
7.2.1	<p>Indicator: Minimum age of workers</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain a list of all employees employed in the farm indicating date of birth</p> <p>b. Maintain copies of the official ID of all the employees listed showing date of birth</p> <p>c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]</p> <p>d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.</p>	x			<p>list of employees including 46 people dated 22/12/12</p> <p>Labr contract of a worker dated 16/12/12 plus ID</p> <p>No employee under 15 years</p> <p>Commitment dated 28/5/12</p>	
7.2.2	<p>Indicator: For workers under 18 years old</p> <p>1 - Work does not jeopardize schooling</p> <p>2 - Work, when added to the hours of schooling, does not exceed 10 hour/day</p> <p>3 - Work is restricted to light work [64]</p> <p>4 - Work is restricted to non-hazardous work [65]</p> <p>Requirement: Yes</p> <p>Applicability: Farms with employees younger than 18 years old.</p>	<p>a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job description are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous.</p> <p>b. Maintain records of schooling commitments of each employee younger than 18 years old.</p> <p>c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover ≥ 6 months.</p> <p>d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm.</p>	x			<p>Commitment dated 28/5/12</p> <p>Verified the list of employee and found that no young workers there</p>	
Footnote [64] Light Work: (ILO convention 138, article 7.1) Light work is work that is 1) not likely to be harmful to a child's health or development and 2) not likely to prejudice their attendance at school, participation in vocational orientation or training programs, or diminish their capacity to benefit from instruction received.							
Footnote [65] Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers.							
<b>7.3 Criteria: Forced and compulsory labor [66]</b>		<b>Compliance</b>			<b>Compliance</b>		<b>Finding</b>



		Compliance criteria (Required Client Actions):			Yes	No	N/A	
Footnote [66] Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents).								
7.3.1	<p><b>Indicator:</b> Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment.</p> <p>b. Ensure that workers' rights as indicated in this Requirement are duly respected.</p> <p>c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers.</p> <p>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.</p> <p>e. Ensure that no employee is obligated to work at the farm to repay debt.</p>	x				<p>Labour contracts are available</p> <p>Some interview and found that compliance</p>	
Footnote [67] As stated in the contract.								
Footnote [68] Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees.								
<b>7.4 Criteria: Health and safety</b>								
		Compliance criteria (Required Client Actions):			Compliance			Finding
					Yes	No	N/A	
7.4.1	<p><b>Indicator:</b> The employer provides a non-hazardous working and living environment.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain a list of all the health and safety hazards in the working and living environment of employees.</p> <p>b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed.</p> <p>c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.</p> <p>d. Ensure that employees have constant access to potable/safe drinking water.</p> <p>e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.</p> <p>f. Ensure that the employees' housing is constructed of materials able to withstand local conditions.</p>		x			<p>Hazard identification and risk assessment dated 1/06/12.</p> <p>Regulation for health and safety dated 1/2/12</p> <p>It was found that the path from the boat to the farm gate is not safety</p> <p>the bottle of water is provided freely</p> <p>Toiles are designed with the waste treatment</p> <p>A thatched roof houses are built</p>	
7.4.2	<p><b>Indicator:</b> Workers are aware of the health and safety hazards [69] at the work place and how to deal with them.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All, Farm-wide</p>	<p>a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b</p>	x				<p>Training request and training result dated 10/6/12 -25 people</p>	
Footnote [69] Hazard: The inherent potential to cause injury or damage to people's health - for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals.								
7.4.3	<p><b>Indicator:</b> The employer records all accidents, even if minor [70], and take preventive and corrective action for each.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Ensure that corrective action are in place as relevant.</p>		x			<p>Accident report of 2012 date 25/7/12</p> <p>Corrective action dated 25/7/12</p>	
Footnote [70] Accidents that could not be handled in-house, the person was taken to the closest clinic								
7.4.4	<p><b>Indicator:</b> Employer ensures that all permanent workers have health insurance [71]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain a list of all permanent workers.</p> <p>b. Provide evidence showing health insurance coverage for all permanent workers.</p>		x			<p>List of employees including 46 people dated 22/12/12</p> <p>Interview workers found that they get the safety training properly</p> <p>List of receiving the insurance cards dated 23/11/12</p>	
Footnote [71] Health insurance is required for workers who are employed for >3 months/year. If not covered under national law/employers must provide insurance to cover 100% of any job-related accident/injury for permanent workers. The cost associated with permanent disabilities generated from a job related accident is, however, not included.								
<b>7.5 Criteria: Freedom of association and collective bargaining [72]</b>								
		Compliance criteria (Required Client Actions):			Compliance			Finding
					Yes	No	N/A	
Footnote [72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.								
7.5.1	<p><b>Indicator:</b> Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74].</p>	<p>a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.</p> <p>b. Ensure that workers have the freedom to form and join any trade union, are free of any form of interference from employers or competing organizations set up or backed by the employer. ILO specifically prohibits acts which are designed to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations.</p>		x			<p>Labr contract of a worker dated 16/12/2012</p> <p>Labor collective bargain dated 2/12/12</p>	

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Requirement: Yes

Applicability: All

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).
d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.
e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.

	<b>Control Union Certifications</b> Member of Control Union World Group
Meeting minutes dated 04/12/12	
There is Trade union Leader	
Labor collective bargain dated 2/12/12	

Foodnote [73] Worker: A person who enters an agreement of any duration with an enterprise to work for the enterprise in return for remuneration in cash or in kind. Immediate family members of the farm owner (i.e., children, spouse, parents, brothers and sisters) and exchange labor may not be considered as workers, unless they express their desire to be workers.

Foodnote [74] Workers must not be prohibited from accessing such organizations when they exist. If they do not exist or are illegal, companies must make it clear that they are willing to engage in a collective dialogue through a representative structure freely elected by the workers.

7.6 Criteria: Discrimination		Compliance			Finding
		Compliance criteria (Required Client Actions):			
		Yes	No	N/A	
7.6.1	<b>Indicator:</b> Workers do not suffer any discrimination [75] from the employer or other workers	x			Discrimination policy dated 1/12/12.
	<b>Requirement:</b> Yes				Salary shed from April to November 12. Salary increment decision of a worker date 12/10/12.
	<b>Applicability:</b> All				Pregnancy policy dated 1/2/12

Foodnote [75] Including but not limited to: race, caste, origin, color, gender, age, disability, religion, sexual orientation, resident or migrant, union and political affiliations.

7.7 Criteria: Fair and progressive practices toward workers including disciplinary practices		Compliance			Finding
		Compliance criteria (Required Client Actions):			
		Yes	No	N/A	
7.7.1	<b>Indicator:</b> Employers treat all workers with dignity and respect	x			Discrimination policy dated 1/12/12
	<b>Requirement:</b> Yes				Working regulation stated that no money deduction
	<b>Applicability:</b> All				

7.8 Criteria: Working hours		Compliance			Finding
		Compliance criteria (Required Client Actions):			
		Yes	No	N/A	
7.8.1	<b>Indicator:</b> Maximum number of regular working hours	x			Salary shed from April to November 12.
	<b>Requirement:</b> 8h/day or 48h/week (although these do not have to be consecutive hours)				working regulation dated 5/9/12
	<b>Applicability:</b> All				
7.8.2	<b>Indicator:</b> Workers have the right to leave the farm after completing the standard work-day	x			Labor collective bargain dated 2/12/12
	<b>Requirement:</b> Yes				Labor collective bargain dated 2/12/12
	<b>Applicability:</b> All, Farm-Wide				
7.8.3	<b>Indicator:</b> Minimum time off	x			Labor contract states 02 nights off/week
	<b>Requirement:</b> Two nights/week off if residing on the farm and a total four days/month off for all workers				working regulation dated 5/9/12
	<b>Applicability:</b> All, Farm-Wide				Attendance record of Nov 12
7.8.4	<b>Indicator:</b> Overtime hours	x			Attendance record of Nov 12
	1-Are voluntary				Attendance record of Nov 12
	2- do not exceed a maximum of 12 hours per week				Labor collective bargain dated 2/12/12
	3- occur on an exceptional (not regular) basis				No overtime is found
	4- are paid at a premium rate [76], (i.e. an additional 20% is paid to the normal salary)				
	<b>Requirement:</b> Yes				
	<b>Applicability:</b> All, Farm-Wide				

Foodnote [76] Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/ regulations and/ or industry standards. Must be 120% of normal rate or higher.

7.9 Criteria: Fair and decent wages		Compliance			Finding
		Compliance criteria (Required Client Actions):			
		Yes	No	N/A	
	<b>Indicator:</b> The employer pays at least minimum wages				Circular 70/2011/ND-CP dated 22/8/11 with minimum salary is 1.400.000 VND for area 04.

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 as defined by law, or ensures that wages cover basic  
 needs, whichever is higher

Requirement: Yes

Applicability: All, Farm-Wide

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		
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.			



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Salary sheet from May to Nov 12
Labr contract of a worker dated 16/12/2012
receipts of salary payments

Foodnote [77] Basic needs are determined by calculating the cost of the basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, and the average size of a household in a given country. Recognized representative shopping basket surveys include those undertaken by national authorities and multi-lateral developmental agencies. A basic or living wage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax payments, health care and an additional 10% discretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs wage (without financial deductions) or national legal minimum wage; whichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., uniform, tools and lunches) will not bring "take home" pay below a basic needs standard.

Foodnote [78] For guidance and methods for basic needs wage calculation, see SA8000 Guidance Document.

7.9.2	Indicator: Workers have the right to know the mechanism for setting the wages and benefits Requirement: Yes Applicability: All	a. Provide a declaration stating the mechanism used for setting wages. b. Ensure that employees are aware of the mechanism used for setting wages.	x			Stated in labor contract Interview and found compliance
7.9.3	Indicator: Wages shall be paid in cash or in a manner most convenient to workers Requirement: Yes Applicability: All	a. Maintain records of the preferred method of payment for each employee. b. Maintain records of payments indicating the method of payment.	x			Pay slip of Oct 12 Pay slip of Oct 12

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

7.10.1	Indicator: Workers have copies of, and can understand, their labor contract [79] Requirement: Yes Applicability: All	a- Ensure that employees have copies of their labor contracts. b. Ensure that employees understand their labor contracts.		x		Interview a worker and found that he did not receive his labor contract. It did not meet article 28-Viet Nam Labour law Thorough interview and found workers understood
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Foodnote [79] Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must take place to establish that the employer and the employee understand in the same way the terms of the verbal agreement.

7.10.2	Indicator: Maximum length of probation period stated in the contract for workers, other than farm managers and workers with an university degree. Requirement: 1 month Applicability: All	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. b. Ensure that probation times are understood by employees and respected.	x			the list of contracts of employee is available Checked any workers and found that they have the probation for 01 month from 16/10/2012 - 16/11/2012
7.10.3	Indicator: maximum length of probation period stated in the contract for farm managers and workers with an university degree. Requirement: 2 months Applicability: All	a. Maintain copies of contracts of farm managers and workers with a university degree and ensure that the probation time is clearly stated and does not exceed 2 months. b. Ensure that probation times are understood by employees and respected.	x			Probation contract of a worker probation for 01 months Checked any workers and found that they have the probation for 01 month from 16/10/2012 - 16/11/2012

7.11 Criteria: Management system			Compliance			Finding
Compliance criteria (Required Client Actions):			Yes	No	N/A	

7.11.1	Indicator: The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions. Requirement: Yes Applicability: All	a. Maintain complaint boxes for employees throughout the farm. b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management.	x			Complaint boxes are available Interview workers 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 Requirement: 100% Applicability: All	a. Maintain a register recording issues raised by workers (including complaint forms), date and response taken. For first audit, register must contain all records of the previous ≥ 6 months. b. Ensure that employees have accesss to the register at reasonable times.	x			Not complaint yet Appeal procedure ASC-BM05 dated 1/2/12
	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 ASC-BM05 dated 1/2/12

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7.11.3	Requirement: 90%	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] Resolution of a conflict is defined as when both parties agree to remove it from the list of conflicts.						
Foodnote [81] Complaints include the ones coming from other resource users, employees and buyers (e.g., middlemen or processors).						
7.11.4	Indicator: A plan for addressing the yet to be resolved conflicts is developed and complied with	a. Maintain a register recording issues, raised by workers (as for 7.11.2a) and including the plan for addressing yet to be resolved conflicts.	x			Conflict procedure ASC/Q77 dated 1/2/12
	Requirement: Yes	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 providers that ensure suitable health and safety condition within 1 year.			x	No Commitment of safety from construction Company -the subcontractor for construction
	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 7.4j) are respected by all employees of suppliers and service providers who are working in the farm.				N/A.This is the first audit
Foodnote [82] Including either written or verbal contracts.						
Foodnote [83] As defined in these Requirements.						
7.12 Criteria: Record-keeping						
Compliance criteria (Required Client Actions):			Yes	No	N/A	Finding
7.12.1	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.	x			Attendance record of April to Nov 12
	Requirement: Yes	b. Maintain a list of all employees employed in the farm				list of employees including 46 people dated 22/12/12
Applicability: All, Farm-Wide						
7.13 Criteria: Participatory social impact assessment for local communities.						
Compliance criteria (Required Client Actions):			Yes	No	N/A	Finding
7.13.1	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.	x			P-SIA dated 21/12/12
	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.				Confirmation of participant in P-SIA
Applicability: All						
Foodnote [84] p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project (e.g., a farm or farm development) undertaken in such a manner that all stakeholder groups have input in assessing results and outcomes of such an assessment, and that the assessment is transparent, ethical, and accessible to all.						
7.13.2	Indicator: Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language	a. Maintain records of all the people having received copy of the p-SIA.	x			list of people receiving P-SIA
	Requirement: Yes	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 representative can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).				list of people receiving P-SIA
Applicability: All						
Foodnote [85] Community: a group of people with possibly diverse characteristics who are united by a common perception, interests, or geographical proximity, and who are identified by a common perception, interests, or geographical proximity.						
Foodnote [86] Conflict resolution policy: a set of procedures and mechanisms for resolving conflicts, established by the organization, which is accessible to all.						
7.14 Criteria: Complaints by local communities						
Compliance criteria (Required Client Actions):			Yes	No	N/A	Finding
	Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied	a. Prepare and ensure the application of a conflict resolution policy for local communities.				Conflict procedure ASC/Q77 dated 1/2/12
		b. Maintain records of all the people having received copy of the policy.				No evidence of receiving copies of the conflict resolution policy from local community found

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7.14.1	<p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>c. Obtain signatures from at least 50% of the people having received copies of policy. The people signing must include at least: a representative of the local community (if such a representant can be identifies by the majority of the community), a representative of the local government and ane civil society organization (if available).</p> <p>d. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least one meeting (this could be part of the p-SIA process if the p-SIA was conducted less than 6 months before the audit)</p>		x		<p>N/A</p> <p>N/A</p>
Foodnote [86] The policy shall state how conflicts and corn plaints will be tracked transparently and explain how to respond to all received complaints.						
Foodnote [87] The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local government and at least one civil society or customary organization chosen by the community shall have access to the conflict resolution process and the documentation thereof. A conflict is deemed resolved if both parties in the negotiation process have agreed to take it off the agenda.						
7.14.2	<p><b>Indicator:</b> Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain complaint boxes in public locations reachable by the local community.</p> <p>b. Retain-complaintforms.submitted by local communities. For first audits, records must include at least previous ≥ 6 months.</p> <p>c. Provide evidence that complaints have been acknowledges to the local community (e.g. through a statement from the local community stating having received acknowledgement or acknowledgement receipts).</p> <p>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.</p>		x		<p>Complaint boxes are available</p> <p>Not conflict yet</p> <p>Not complaint yet</p> <p>Not complaint yet. Community interview with Mr. Nguyen Van Giau; Nguyen Van Muoi; Nguyen Van Tinh and found that no died fish; sludge or waste out cause the pollution.</p>
7.14.3	<p><b>Indicator:</b> Percentage of conflict resolved within the date of being filed.</p> <p><b>Requirement:</b> Within 6 months 50% Within 1 year 75% Within 2 years 100%</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain a register of complaints as.per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date.</p> <p>b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved.</p>		x		<p>Not conflict yet</p> <p>Not conflict yet</p>
<b>7.15 Criteria: Preferential employment for local communities</b>			<b>Compliance</b>			<b>Finding</b>
<b>Compliance criteria (Required Client Actions):</b>			<b>Yes</b>	<b>No</b>	<b>N/A</b>	
7.15.1	<p><b>Indicator:</b> Evidence of advertising positions within local communities before migrant workers are hired.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain a list of all employees employed in the farm indicating also place of origin.</p> <p>b. For farms where employees are corn ing 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.</p> <p>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.</p>		x		<p>list of employees including 46 people dated 22/12/12</p> <p>Recruitment notice dated 02/09/12</p> <p>list of employees including 46 people dated 22/12/12</p>
7.15.2	<p><b>Indicator:</b> An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities.</p> <p><b>Requirement:</b> Yes, if workers outside the local community are employed</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain a list of all employees employed in the farm indicating also place of origin as in 7.15.1a</p> <p>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.</p>		x		<p>list of employees including 46 people dated 22/12/12 Any workers are not coming from the local area</p> <p>Report of employment dated 23/12/12 explaining of workers (not local people)</p>



<b>ASC audit checklist</b>		
ASCASS-PAD.F01(01)		
<b>Reportnumber:</b>	827167-ASC-2012-01-LTTT	
<b>3. Summary and Conclusion</b>		
<b>3.1a . Outstanding non-conformities since previous audit report</b>		
<b>No NC: N/A (The first audit)</b>	<b>Standard and Requirement:N/A (The first audit)</b>	<b>Category: N/A (The first audit)</b>
<b>Date found: N/A (The first audit)</b>	<b>Dead line for correction: N/A (The first audit)</b>	
Description of requirement: N/A (The first audit)		
Description of non-conformity: N/A (The first audit)		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: N/A (The first audit)		
Status:N/A (The first audit)		
<b>3.1b Identified non-conformities during present evaluation</b>		
<b>Finding: 01</b>	<b>Standard and Requirement: ASC pangasius standard 2.4.1</b>	<b>Category: Minor</b>
<b>Date found: 27/12/2012</b>	<b>Dead line for correction: 26/12/2013</b>	
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		
<b>Finding: 02</b>	<b>Standard and Requirement: ASC pangasius standard 4.6.1</b>	<b>Category: Minor</b>
<b>Date found: 27/12/2012</b>	<b>Dead line for correction: 26/12/2013</b>	
Description of requirement: Evidence that bund has remained intact [41] throughout the culture cycle c. During the on-site visit, arrange for auditor to inspect farm's bunds.		
Description of non-conformity: On-site observation, found that the bunds in the direction of north-east, covering the pond 1 to 8 are eroded by the river tide. The farm strenthenned a part of bund by wooden pilars, but there is still remaining part which has not been repaired yet		
Corrective action request:It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)		
Status: OPEN		
<b>Finding: 03</b>	<b>Standard and Requirement: ASC pangasius standard 7.4.1</b>	<b>Category: Minor</b>
<b>Date found: 27/12/2012</b>	<b>Dead line for correction: 26/12/2013</b>	





<p><b>Description of requirement:</b> The employer provides a non-hazardous working and living environment. c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.</p>		
<p><b>Description of non-conformity:</b> It was found that the path from the boat to the farm gate is somewhat not safety</p>		
<p><b>Corrective action request:</b>It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence</p>		
<p><b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b> [only fill in case the NC can be closed during the audit)</p>		
<p><b>Status:</b> OPEN</p>		
<b>Finding: 04</b>	<b>Standard and Requirement: ASC pangasius standard 7.10.1</b>	<b>Category: Minor</b>
<b>Date found: 27/12/2012</b>	<b>Dead line for correction: 26/12/2013</b>	
<p><b>Description of requirement:</b> Workers have copies of, and can understand, their labor contract a- Ensure that employees have copies of their labor contracts.</p>		
<p><b>Description of non-conformity:</b> Interview a worker and found that he did not receive his labor contract. It did not meet article 28-Viet Nam Labour law</p>		
<p><b>Corrective action request:</b>It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence</p>		
<p><b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b> [only fill in case the NC can be closed during the audit)</p>		
<p><b>Status:</b> OPEN</p>		
<b>Finding: 05</b>	<b>Standard and Requirement: ASC pangasius standard 7.11.5</b>	<b>Category: Minor</b>
<b>Date found: 27/12/2012</b>	<b>Dead line for correction: 26/12/2013</b>	
<p><b>Description of requirement:</b> Timeframe for the contracting of suppliers and service providers that ensure suitable health and safety conditions for their workers 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</p>		
<p><b>Description of non-conformity:</b> No commitment of safety from construction Company -the subcontractor for construction</p>		
<p><b>Corrective action request:</b>It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence</p>		
<p><b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b> [only fill in case the NC can be closed during the audit)</p>		
<p><b>Status:</b> OPEN</p>		
<b>Finding: 06</b>	<b>Standard and Requirement: ASC pangasius standard 7.14.1</b>	<b>Category: Minor</b>
<b>Date found: 27/12/2012</b>	<b>Dead line for correction: 26/12/2013</b>	



<b>Description of requirement:</b> A verifiable conflict resolution policy, for local communities is developed and applied b. Maintain records of all the people having received copy of the policy	
<b>Description of non-conformity:</b> No evidence of receiving copies of the conflict resolution policy from local community found	
<b>Corrective action request:</b> It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence	
<b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b> [only fill in case the NC can be closed during the audit)	
Status: OPEN	
<b>3.5 Attachments to this report</b>	
The farm map	
<b>3.7 Summary and conclusion</b>	
Does the farm comply with ASC Pangasius standard?	
<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO
<b>4. Valid period of Certificate</b>	
Date of issue	
Date of expiry	
<b>5. Determination of the start of the CoC</b>	
Can the product enter further certified Chains of Custody and eligible to carry the ASC label?	
<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO



<b>5. Approval of the assessment report by Client</b>	
Date: 27/12/2012 Auditor : Le Tran Truong Thuy	Date: 27/12/2012 Company representative : Le Kim Phung

<b>6. Review of the assessment report by the certifier</b>	
Date:  Certifier :  Signature:	Comments: