ASC Audit Report

Tilapia ____ Pangasius _X_

Initial _X_ Surveillance ____ Recertification ____

Name client	**TRA VINH FOOD-STUFFS AGRICULTURAL PRODUCTS COMPANY**
Client number	828141
Name contact person	**MS. NGUYEN THU NGUYET**
Address client	Vinh Yen Hamlet, Long Duc Village, Tra Vinh City, Tra Vinh Province, Vietnam
Telephone, fax, e-mail	Telephone: +84 74 361 6567 Fax: +84 74 361 6989 Email: travifaco@vnn.vn
Certificate code	CUP-C-828141-ASC-01-2013
Date of issue of certificate	07/10/2013
Date and length of audit	21-22/05/2013 - 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
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Website	www.cuperu.com
Certifier	Pilar Kuriyama
Date	09/10/2013
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 Co fish farm, belonging to Tra Vinh Food-Stuffs and Agricultural Products Company, was located at Con Co Hamlet, Hung My Village, Chau Thanh District, Tra Vinh Province, Viet Nam. The total area of this farm is 43.3 ha ha. The receiving water body of the farm is Tien River. There is no any species farmed exception of Pangasius tra. The estimated yearly production of Con Co fish farm is 10,000MT.
At the moment, this is the first farm of Tra Vinh Food-Stuffs and Agricultural Products Company that registered to be certified against ASC Pangasius Standard.

2.2 Summary

Scope:
Standard: ASC Pangasius standard V1.0 April 2012
Specie: Pangasius, single site certification
Unit of certification: Con Co fish farm
Receiving water body: Tien River

Summary of the report
The company has closed his major NCs and minor NC will close in the next audit. Therefore we recommend getting the ASC certification.

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. About the water discharge, the farm provide the testing analytical result in order to comply with the regulation of Ministry of Agriculture and Rural Development (MARD), but the farm could not provide the evidence that samples of discharge water are collected by the lab's staff. Beside, there are 3 settlement ponds in the farm, but there was only testing result of 1 settlement pond, the testing results of the others were not in place for inspection. The farm provided the new analysis results to show his compliance

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 limit set by ASC Pangasius Standard which is lower than 5,000m^3/metric ton of fish produced, and beside, there is no water limitation in Vietnam.
However, the farm could not provide the water allocation limits set by a reputable independent institution

for the farm.

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
- Maximum average percentage change of TP, TN between inlet and outlet
- Dissolved Oxygen (DO) concentration in water discharged is in the allowable range of the standard
- Diurnal Dissolved Oxygen (DDO) of receiving waters, the records of checking and %DDO calculation after 24/12/2012 were in lack.

About the waste products, the farm uses the sludge repository to contain and treat sludge in order not to dispose sludge into receiving water or natural ecosystems. Dead fishes are collected and sold to other parties to use as fertilizer. The farm also builds the septic toilets for all workers. But onsite observation in the audit date, there is evidence of animal feces in the farm and some places in the farm still have human rubbish.

PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

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

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

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

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

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

PRINCIPLE VII. BE SOCIALLY RESPONSIBLE

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

However, there are some bridges in the farm not safety, so the farm could not ensure to provide the non-hazardous working environment to workers.

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

Summary of findings:

Completing the audit, the farm has total 04 Major Non-conformities that need to be closed within 3 months after the audit date. And there are also 13 Minor Non-conformities that need to be settled for the next surveillance audit in May 2014 (see more details about findings in the audit result)

2.3 Decision

TRA VINH FOOD-STUFFS AGRICULTURAL PRODUCTS COMPANY is recommended for the ASC farm certification. The certification process will be completed after public consultation of this draft report

2.4 Audit background

Author(s): LE TRAN TRUONG THUY
Audit dates: 22-23/05/2013
Report finished at: 15/06/2013
Report reviewed at: 09/10/2013
Date of the certification decision: 09/10/2013

Persons involved in the audit:
- *Mr. Bui Phi Hung – Aquaculture Manager of the Company*
- *Mr. Le Thanh Huong - Deputy Aquaculture Manager of the Company*
- *Mr. Le Thanh Sieng - Deputy Aquaculture Manager of the Company*

- Ms. Lâm Thị Quang Man – Deputy Manager of Hatchery of the Company
- Mr. Tran Phuoc Hung – Deputy Head of Aquaculture Department of Con Co Farm
- Farm's employees
- Local community:
Mr. Nguyen Van Trung – Chairman of People's Committee of Con Co Hamlet
Mr. Ngyen Van Thinh – Chairman of Farmer Association of Con Co Hamlet
Mr. Dinh Cong Thai – Aquaculture officer of Hung My Village
Mr. Bui Phuc Duy – Chairman of Farmer Asscociation fof Hung My Village
Mr. Nguyen Duy Quy – Chairman of Union of Hung My Village

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: 17/04/2013
Stakeholders consultation opened: 14/03/2013
Pre-audit checklist information desk review: 13/05/2013

2.5 Scope
ASC Pangasius standard version: 1.0 April 2012
Species: *Pangasianodon Hypophthalmus*
Type of certification: Single site certification
Unit of Certification

Production Unit name	Production Unit number	Address and geographical positions	Receiving water
Con Co fish farm	PRD043389	* The address: Con Co Hamlet, Hung My Village, Chau Thanh District, Tra Vinh Province, Viet Nam * GPS coordinates: Tọa độ GPS: A. N9o56'24.00'' – E106o24'05.00'' B. N9o56'24.00'' – E106o24'20.00'' C. N9o56'42.00'' – E106o24'11.00'' D. N9o56'32.00'' – E106o24'59.00''	Tien River

Receiving water:
The Tien 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 Cau Quan Seafood Processing Factory (Processing plant) – the same legality. Currently, Tra Vinh Food-Stuffs and Agricultural Products Company has only one farm that is on the ASC certification route; and all fishes from this farm 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 Cau Quan Seafood Processing Factory (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 Co fish farm and the Cau Quan Seafood Processing Factory (Processing plant) are belonged to the same legal entity)
- **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 Tra Vinh Food-Stuffs and Agricultural Products Company

2.7 Evaluation results

See audit checklist attached to this report

2.8 Non-conformity report(s)
See audit checklist attached to this report
Comments:

Name and signature of authorized representative: Pilar Kuriyama Roca

Position: certifier

Date: 09/10/2013

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

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ASC audit checklist ASCASS-PAD.F01(01)			
Reportnumber:	**828141.ASC.2013.01.LTTT**		
1.1 Client contact data			
CUC number:	**828141**		
Company name:	**TRA VINH FOOD-STUFFS AND AGRICULTURAL PRODUCTS COMPANY**		
Contact person:	**MS. NGUYEN THU NGUYET**		
Address:	**VINH YEN HAMLET, LONG DUC VILLAGE, TRA VINH CITY, TRA VINH PROVINCE, VIETNAM**		
Postal code:	**84**		
City:	**Tra Vinh**		
Country:	**Vietnam**		
Telephone number:	**84.74.3616567**	Fax Number:	**84 74 3616989**
e-mail:	travifaco@vnn.vn		
1.2 Audit information			
Date of last external audit **:**	**The first audit**		
Audit date **:**	**21-22/05/2013**		
Full name of the lead auditor**:**	**Ms. LE TRAN TRUONG THUY**		
Audit team:	Auditor: Ms. LE TRAN TRUONG THUY Auditor: Mr. LE ANH NGOC Technical expert: Mr. LY VI CUONG		
Type audit :	**Announced** / Unannounced **Initial** / Surveillance / Recertification		

1.3 Scope of ASC						
Scope: **Aquaculture**		Standard Version: ASC Pangasius standard V 1.0 April 2012 Specie: *Pangasianodon hypothalmus*				
Production units						
	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
F-01	Con Co (Co Island)	* Address: Con Co Hamlet, Hung My village, Chau Thanh district , Tra Vinh province * GPS Coordinates: A. N9o56'24.00'' – E106o24'05.00'' B. N9o56'24.00'' – E106o24'20.00'' C. N9o56'42.00'' – E106o24'11.00'' D. N9o56'32.00'' – E106o24'59.00''	Tien River and the river next to Ben Tre	N/A	Vietnam	Pangasius tra
Changes since last audit:						
YES ☐	**NO x**	**If YES, Description:**	N/A			

1.4 Other information	
Brand name of the company:	TRAVIFACO
Mention other existing certification schemes of licensee:	N/A

Lead Auditor : LE TRAN TRUONG THUY signature	Company representative : signature

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2. Assessment of Pangasius Standard

Scope: *Pangasianodon hypophthalmus, Pangasius bocourti*

Preamble:
In order to determine the level of compliance against the ASC Pangasius Standard it :is essential to use information of completed crop.cycle(s), or on a specific point in time in the crop (e.g. stocking) for several requirements. For this reason, for first audft-s, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment.
Therefore, at the time of the first audit:
•farmer must be able to show full records (e.g. feed-use, mortality rate, etc.) of at least 1 completed crop cycle per site (i.e.from stocking to harvest) and the relevant information for all the crops stocked after having stocked that crop
• certifier must use these records of each site to calculate the level of compliance ofthe 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 complianice.

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

1.1 Criteria: Local and national regulations				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
1.1.1	Indicator: Presence of all pertinent permits and registrations required by local and national authorities **Requirement:** Yes **Applicability**: All	a. Maintain records to show the farm has all registrations as required by local and national authorities.	A. Verify farm has all registrations as required by local and national authorities.	x			* No.02/CN-CCNTTS: Veterianrian Hygience licence of Aquacultural Depratment of Tra Vinh * Land-ownership transferation contract * Landownership licience * Environemental protection report
		b. Obtain an aquaculture farming licence (if applicable).	B. Verify farm has aquaculture farming licence (as applicable).				* Summarizational report related to Aquacultural area of tra Vinh to 2015 and to intendence to 2020
		c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).				* Business licence 0300613198-012 on 10/08/2009 and updated on 28/06/2011 version4.0 - Planning and investment of Tra Vinh - Business registration Department
		d. Obtain any other contracts, licenses, or permits as required by local and national authorities (also see 1.1.3 and 1.1.4)	D. Verify compliance				* Abstraction (01 sample) and discharged analyis results (03 samples)
1.1.2	Indicator: Presence of documents proving compliance with pertinent tax: laws **Requirement:** Yes **Applicability:** All	a. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax) for the last 12 months. For first audits, farm records must cover ≥ 6 months	A. Verify client has records of tax payments to appropriate authorities. [Note; For integrated systems, tax may only apply at the processing level. Nonetheless clients must show evidence of tax payment]	x			* Lisence tax: of 2013, 2012 * Agriculture tax 07/2012: Tra Vinh Aquaculture JSC * Income tax of Enterprise of 4 quaters.
		b. Keep updated information on applicable tax laws for the Jurisdiction in which the farm is operating.	B. Verify client has current tax law information and a basic understanding of tax requirements.				* Agriculture tax law based on 55/2010/QH12 * Lisence tax law 42/2003/TT-BTC (supplement of 96/2002 of Finanial Department; 75/2002/NĐ-CP pn 30/8/2002
		Instruction to Clients **for** Indicator 1.1.3 -Showing Compliance with Water Discharge Regulations Indicator 1.1.3 requires the farm to show compliance with all water discharge regulations at the local and national level. If the authoritative regulatory agency has imposed limits on farm water discharge (i.e. by issuing a discharge permit or other comparable mechanism) the obligation shall rest with the client to demonstrate compliance. Four types of evidence are acceptable: a. Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge; b. Results of water testing from a fully independent ISO 17025 accredited laboratory; c. Relevant legal documents showing compliance; or d. Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance. Where regulations require monitoring of farm water discharge, that monitoring shall be conducted annually (at a minimum) or more frequently if required under local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will raise a non-conformity. Note 1: The ASC Pangasius Standard also specifies criteria for some water quality parameters. These are considered seraparetly under Principle 3 below:					

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1.1.3	Indicator: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations **Requirement:** Yes **Applicability:** Ponds	a. Submit a statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge	A. Verify compliance. If (b), (c) or (d). then enter not applicable for (a).		x		The lab. VILAS 280, Discharge water is tested 4 times/ year. There is no statement from the lab that their staff collected samples at discharge. And the location of taking samples was in lack
		b. Submit results of water testing from a fully independent ISO 17025 accredited laboratory	B. Verify compliance. If (a), (c) or (d), then enter 'not applicable for (b)				* Discharged water analysis result - No.34/KQTN-TTKT 0N 18/02/2013, NH3, H2S, CO2 (higher than 45) - 53/KQTN-TTKT on 18/03/2013 * Abstracton warer analysis result: - 31/KQTN-TTKT on 18/02/2013 There are 3 settlement ponds in use, the testing analytical result of only one settlement pond is in place
		c. Submit relevant legal documents showing compliance	C. Verify compliance. If (a), (b) or (d), then enter not applicable for (c)				Circular no. TT45/2010/BNN-PTNT on 22/07/2010
		d. Be in possession of a statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance.	D. Verify compliance. If (a), (b) or (c), then-enter not applicable for (d)				N/A
1.1.4	Indicator: Presence of documents proving compliance with local and national legal regulations on land and water use. **Requirement:** Yes **Applicability:** All	a. For ponds, maintain copies of land ownership or contract of lease. For pens or cages, maintain permits showing allowance to farm **in** the designated location.	A. Verify client has documents to show legal access to and use of land and water.		x		* No.02/CN-CCNTTS ON 15/10/2012 VALID TO 15/10/2017: Veterianrian Hygience licence of Aquacultural Depratment of Tra Vinh - MARD * Land-ownership transferation contract between TRA VINH AQUACULTURE JSC and TRAVIFISHCO. on 08/10/2012 * Landownership licience * Environemental protection report
		b. Obtain required permits to use and discharge water for the purposes of operating a farm. Comply with any and all permit restrictions stated therein (e.g. maximum capacity of production, water allocation volumes, etc).	B. Verify farm has permits and complies with the farm.				* Discharged water analysis results - No.34/KQTN-TTKT 0N 18/02/2013, NH3, H2S, CO2 (higher than 45) - 53/KQTN-TTKT on 18/03/2013 * Abstracton warer analysis results: - 31/KQTN-TTKT on 18/02/2013 There are 3 settlement ponds in use, the testing analytical result of only one settlement pond is in place
		c. If the farm operates in a country and region with no permitting system for land and water-use, provide documentary evidence (e.g. letter from authoritaties) attesting to this fact.	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.				The letter from locl authority about no have rule for water-use

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

2.1. Criteria: Meeting official development plans				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
2.1.1	Indicator: Farms [4] located in approved aquaculture development areas Requirement: Yes Applicability: All	a. Provide a detailed map of the farm with at least 4 GPS coprdinates	A. Review map to confirm farm location and accuracy of GPS coordinates. If possible, verify spatial information using Google Map, satellite images or similar means.				GPS coordinates: A. N9o56'24.00'' – E106o24'05.00'' B. N9o56'24.00'' – E106o24'20.00'' C. N9o56'42.00'' – E106o24'11.00'' D. N9o56'32.00'' – E106o24'59.00''
		b. Provide official plans that identify approved aquaculture development areas. If there are none, be in possession of a statement from the authorities as confirmation.	B. Review plans. If farm states there is no plan, confirm that the country and region of operation does not have approved aquaculture development areas.	x			* Summarizational report related to Aquacultural area of tra Vinh to 2015 and intendence to 2020

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		c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	C. Verify farm is located in an approved aquaculture area If there is no such areas, auditors response is 'not applicable'.				
Footnote |4] Pond, cage and pen-based facilities							
2.2Criteria: Conversion of noturol ecosystems				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
2.2.1	Indicator: For ponds [5], evidence [6] that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion **Requirement:** Yes **Applicability:** Ponds established after August 31, 2010	a. Provide a declaration that identifies the month and year of farm construction, and specify dates of any subsequent farm expansions	A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010.	x			* Payment Report of completed Construction after 31/08/2010 * Landownership licience * The confirmation letter of Chief of peole's commiteed of Hung My hamllet about the farm located in agriculture area in ten years ago
		b. If the farm (or any of its expansions) was constructed after August 31, 2010, be in possession of a statement/historical land use map from a government organization indicating that the land was agriculture or aquaculture land for 10 years prior to their construction.	B. Review evidence from government organizations. Where land-use maps or spatial information is provided, cross-check against map of farm (see 2.1.1)				Before 31/08/2010, the farm was owned by Tra Vinh Aquaculture JSC
			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.				interviewing local community, confirm that there is no evidence for conversion of wetlands or any other ecosystem
Footnote [5] For Ponds established after the publication of the PAD standards.							
Footnote [6] From government organizations.							
2.2.2	Indicator: Evidence that a contribution of at least USD $0.50 per ton offish produced has been paid to the environmental and social restoration fund [7] annually **Requirement:** Yes **Applicability:** All	a. Submit a signed letter to the ASC committing to pay a contribution to the fund for all certified fish harvested from the day of first certification.	A. Verify the farm has signed a letter stating commitment to contribute to the fund.	x			The letter was sent to ASC on 09/05/2013
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.				
		c. Retain evidence of all payments made into the fund.	C. Verify farm has made payment|s) into the fund. As soon as ASC has set-up the fund, this information will be posted on the ASC website.				
Footnote [7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered.							
2.2.3	Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies **Requirement:** Yes **Applicability**: Ponds established after August 31, 2010	a. Provide a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010.	A. Verify the farm has made a declaration.	x			* a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010 signed on 01/10/2012
		b. For construction activities listed in 2.2.la that involved earth moving and that occurred after August 31, 2010, provide a statement indicating where the earth was moved to or how it was disposed of	B.Review list of construction activities and means of disposing of earth.				* Payment Report of completed Construction after 31/08/2010 to show list of construction activities and means of disposing of earth
			C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.				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.							

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Footnote [9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users.							
2.2.4	**Indicator**: Evidence [10] of no negative Impacts on endangered species [11] **Requirement:** Yes **Applicability:** All	a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.	A. Review search results for adequacy and completeness.	x			"Potential impact assessment or Pangasius farming to endangered species".
		b. Determine whether any species occuring in the area are listed as endangered by relevant national authorities.	B. Review the source and accuracy of the list.				Red list of Vietnam
		c. Prepare a list of all endangered species occuring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2).	C. Review list for completeness. Compare with results from search of IUCN database of red list species (see 6.6.2).				Review list for completeness. Compare with results from search of IUCN database of red list species
		d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	D. Review procedures for adequacy.				The procedure of avoiding negative impacts to endangered species is in place
			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).				Interview local communityconfirm that there is no evidence that: - the farm is presently having a negative impact on endangered species -the farm has recently had a negative impact (since August 2010).
Footnote [10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.							
Footnote [11] As set by IUCN and national authorities.							
2.3 Criteria: Site connectivity				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	**Auditor Evaluation (Required CB Actions)**	**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 orwater movement.	A. Inspect site to verify that pens, cages and/or associated farm structures do not impede navigation, aquatic animals or water movement.			x	N/A. Pond aquaculture
			B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.				N/A. Pond aquaculture
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.	A. Cross-check the current farm map or diagram using Google-Map, satellite images or similar means (if detailed information is available). If current farm layout differs from the most recent available image, verify that the map or diagram reflects the actual farm layout.			x	N/A. Pond aquaculture
		b. Provide measurements and calculations sufficient to show compliance (see Diagram 1 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are accurate and confirm compliance				N/A. Pond aquaculture
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							
	Indicator: Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C)	a. Provide a map or diagram showing measurements of pens and width of the water body.	A. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available).				N/A. Pond aquaculture

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2.3.3	its minimum (see Diagram 2, Annex C) **Requirement**: ≤ 20% percent of the width of the water body **Applicability:**Pens	b. Provide measurements and calculations sufficient to show compliance (see Diagram 2 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are acurate and confirm compliance.			x	N/A. Pond aquaculture
			C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.				N/A. Pond aquaculture
2.3.4	Indicator: Maximum number of contiguous pens allowed (see Diagram 3, Annex C) **Requirement:** Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens **Applicability:** Pens	a. Provide a map or diagram showing the size and numbers of pens and showing the shoreline distance between pens.	A. Inspect site to verify the farm's diagrams accurately show the size and position of pen, and the shoreline distance between pens.				N/A. Pond aquaculture
		b. On the map, show how the arrangement of pens complies with the requirement for number and separation distance (see Diagram 3, Annex C)	B. Verify the farm's arrangement of pens is in compliance			x	N/A. Pond aquaculture

2.4 Criteria: Water use				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
2.4.1	Indicator: Farm complies with water allocation [16] limits asset by focal authorities or a reputable independent institution [17] **Requirement:** Yes **Applicability:** Ponds	a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Verify the farm keeps complete records of water intake.				records of water intake
		b. Obtain a statement from local authorities indicating the water allocation limits (units given) for the farm. If local authorities do not set water allocation limits for farms operating in the region, be in possession of a statement from local authorities attesting to this fact	B. Review the water allocation limits set for the farm by local authorities. If local authorities do not set water allocation limits, confirm the farm has an attestation.				There is statement from local authorities indicating mo have the water allocation limitation (units given) for the farm
		c. If water allocation limits are not set by local authorities (see 2.4.1b), be in possession of a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given) for the farm.	C. Review evidence that water allocation limits have been set for the farm- by a reputable independent institution (as applicable).		x		There is no evidence for reputability of the authority/institution responsible for water allocation
		d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable)	D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).				
		e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits	E. Check the farm's water intake against the wafer - allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).				"Intake water diary of pond at Con Co farm" - Pond 3 from 20/06/2012 to 27/12/2012: 937540m3; Harvested fish= 259442kg; Q=3613,6m3/ton of fish The total abstracted water is 1,355,750m3 The volume for this pond is 4,325 m3/ton of fish

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 "suriicial 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.

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2.4.2	Indicator: For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in Annex D) **Requirement:** 5,000 m3/metric ton of fish produced **Applicability:** Ponds	Instruction to Clients for Indicator 2.4.2 -Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced Annex D of the ASC Pangasius Standard provides a formula for calculating "Q." which is the ratio of total water abstracted per ton of fish produced. Farms must perform these calculations using harvest data from individual ponds (i.e. it is done on a crop-by-crop basis) and then using those results to determine a farm-wide average across all ponds. Calculations can be done as described here. For the first pond: - compute the total volume of water abstracted ("TEV") in cubic meters (m3), during the production cycle; - compute the total weight offish produced ("A") in metric tons at harvest time; and - calculate Q. for the first pond using the equation: Q=TEV/ A Repeat the calculations for the second pond, third pond... etc. until Q has been determined for each pond that was harvested. Use the Q values from each pond (Q1, Q2, Q3...Qn) to compute the farm-wide average, or Q_{avg}					
		a. Using records of water intake (see 2.4.1a), calculate total water abstracted (m3) for each pond harvested by the farm. For first audits, records must cover at least Ifull crop per site (see preamble).	A. Review calculations against intake records to Confirm accuracy.				records of water intake
		b. Maintain records showing weight of fish harvested from each pond.	B. Verify the farm keeps records showing the weight "of fish harvested.				"Form of harvest" for pond 2, 3, 11, 12
		c. Calculate the total, weight of fish produced (in metric tons) from each pond	C. Review calculations against sales records and estimates of current stock biomass (weight) to confirm accuracy. If needed, reconcile the totals with the weight of any fish that were harvested but not sold (i.e. Crops lost after a disease outbreak).				"Diary of changing water" and "Water use report"
		d. For each pond, calculate the ratio of total water abstracted per ton of fish produced (see above Instructions and Annex D of the ASC Pangasius Standard as an example).	D. Review- farm's calculations for accuracy. Cross-check that water volumes (2.4.2a) and harvest weights (2.4.2b) from individual ponds can be reconciles with total annual production (2.4.2c) and total annual water intake (2.4.1e).				Pond 3: water use: 937,540m3, harvested: 259,442kg --> 3,613.5m3/ton
		e. Using results from all harvested ponds, calculate the farm-wide average ratio of total water abstracted per ton of fish produced (see Instructions above).	E. Confirm the farm-wide, average Q is < 5,000 m3/metric ton of fish produced.				Checked water used of all harvested pond, avg. is 4,112.9m3/ton of fish harvest.
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 PANGASIUS FARMING ON WATER AND LAND RESOURCES							
3.1 Criteria: Nutrient utilization efficiency				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	**Auditor Evaluation (Required CB Actions)**	**Yes**	**No**	**N/A**	
	Indicator: Maximum amount of total phosphorus (TP) [19] added as feed per metricton of fish	Instruction to Clients for Indicators 3.1.1 and 3.1.2-Laboratory Analysis of TP and TN in Feed In order to demonstrate compliance with Indicator 3.1.1 and 3.1.2, farms must be able to establish the amount of total phosphoms (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.					
		a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used				N/A. Pond aquaculture

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3.1.1	produced. **Requirement:** 20 kg/t **Applicability:** Pens and Cages	b. Obtain relevant declarations of TP content from feed suppliers for a II feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm possesses all dedarations for TP content in feed.				N/A. Pond aquaculture
		c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TP content is reported accuraiely by feed suppliers (if applicable).			x	N/A. Pond aquaculture
		d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble)	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				N/A. Pond aquaculture
		e. Using tolal weight of fish produced (answer from 2.4.2c), calculate the a mount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	E. Review farm's calculations to confirm the farm complies with the Requirement				N/A. Pond aquaculture
Footnote [19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).							
3.1.2	Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metricton offish produced. **Requirement**: 70 kg/t **Applicability:** Pens and Cages;	Note: see instructions for Indicator 3.1.1					
		a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least lfull crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used				N/A. Pond aquaculture
		b. Obtain relevant declarations of TN content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm posseses declarations for TN content in feed.				N/A. Pond aquaculture
		c. Provide evidence that the farm tested TN from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TN content is reported accuraiely by feed suppliers (if applicable).			x	N/A. Pond aquaculture
		d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				N/A. Pond aquaculture
		e. Using total weight offish produced (answer from 2.4.2c), calculate the amount of TN added as feed per metric ton offish pmduced. For first audits, records-must cover at least 1 full crop per site (see preamble).	E. Review-farm's calculations to confirm the farm complies with the Requirement				N/A. Pond aquaculture
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.							

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3.1.3	Indicator: Amount of TP discharged per metric ton of fish produced (SeeTP measurement methodology and calculation in Annex D) **Requirement**: 7.2 kg/t **Applicability:** Ponds	IInstruction 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: Kejldahl 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 disharged from a minimum of 1 pond in production; at least one of these ponds shall be randomly selected. The farm must record the number and identity of selected ponds before sampling. Required procedures for collecting water samples are as follows: - two water samples are taken: one from the pond (=pond water) and one from the intake (=intake water). The two samples are taken on the same day. - all water sample collections are done following the methodology provided by a fully independent ISO 17025 accredited laboratory and will be available to the certifier at the day of the audit. The accredited laboratory will be required to verify that sampling was conducted in accordance with this methodology. - all water samples are collected in second half of crop production (ie. ≥ 90 days after stocking) - pond water samples are collected at 50% of pond depth - all water samples are collected before 11:00am - pond water samples are collected > 6 hours after the intake of water into the pond For first audits farms records for monitoring TP and TN discharged must cover ≥ 6 months. To prepare for first audit: - farm invites accredited laboratory to the farm to have the water sampled - if samples are out of compliance, farm takes corrective actions prior to ASC audit - in case of non-compliancies, farm does have the water sampled by accredited labotory after implementation of corrective actions to show compliance - all sampling results are supplied to auditor by the accredited laboratory to show that corrective action has been taken and that farms is now in compliance with the ASC Standard				
		a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring and a copy of the contract specifying that water sampling and analyses are to be conducted in line with constructions for 3.1.3	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.		x		Lab VILAS280: "Form of taking sample" of pond 11 and 12: - intake water: at 08h30, on 20/10/2012 - Pond water 11 and 12 at 08h40 on 20/10/2012, but the pond samples are taken in the settlement pond insted of taking in each pond, not complied with the instruction of the standard Samples are taken by the Lab's staff
		b. Obtain laboratory results for TP concentration in pond water sample and intake water samples.	B. Review laboratory results for TP concentration				Analysing testing report of pond 11, - Intake water: report no. M2201012-02, TP=0.62mg/L - Pond water: report no. T2201012-04, TP=1.81mg/L
		c. For each pond, identify the total weight of fish produced (result from 2.4.2b) and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm's data				"Form of harvest" of pond 11, total: 254,550kg "Dairy of water changing" and "Report of preparing pond before stocking" of pond 11, total water use: 1,209,248m3
		d. Enter the values from b and c (above) into the Total TP Discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TP discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.	D. Review farm's calculations to comfirm accuracy.				Total TP discharge=5.65kg/ton harvested fish.
		e. Use the TP values (answer d) from different ponds to calculate the farm wide average amount of TP discharged per metric ton of fish produced	E. Review farm's calculations of average TP to confirm compliance with the Requirement.				"Farm wide average TP and TN discharge" the average TP discharge=5.4kg/ton of harvested fish.
		Note: see instructions for Indicator 3.1.3					
		a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.				Lab. VILAS280: "Form of taking sample" of pond 11 and 12: - intake water: at 08h30, on 20/10/2012 - Pond water 11 and 12 at 08h40 on 20/10/2012, Taking samples doesn't follow instrcution 3.1.3

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3.1.4	Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D) **Requirement:** 27.5 kg/t **Applicability:** Ponds	b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration				Analysing testing report of pond 11, - Intake water: report no. M2201012-02, TN=1.86mg/L - Pond water: report no. T2201012-04, TN=7.32mg/L
		c. For each pond, identify the total weight offish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm'data		x		"Form of harvest" of pond 11, total: 254,550kg "Dairy of water changing" and "Report of preparing pond before stocking" of pond 11, total water use: 1,209,248m3
		d. Enter the values from b and c (above) into the Total TN discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TN discharged per metric ton offish produced per pond. Repeat for each pond that was sampled.	D. review farm's calculations to confirm accuracy				Total TN discharge=25.94kg/ton harvested fish.
		e. Use the TN values (answer d) from different ponds and to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.	E. Review farm's calculations of average TN to confirm compliance with the Requirement.				"Farm wide average TP and TN discharge" the average TN discharge=22.65kg/ton of harvested fish
3.2 Criteria: Measuring water quality in receiving water body							
		Compliance Criteria {Required Client Actions}	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	**Finding**
3.2.1	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) **Requirement:** ≤ 65% **Applicability:** All	Instruction to Clients for Indicator 3.2.1 -Measuring Percent Change in Diurnal Dissolved Oxygen Farms shall monitor the percent change in diurnal dissolved oxygen in receiving waters. Dissolved oxygen (DO) concentration is reported relative to DO at saturation for the water's specific salinity, temperature and altitude. DO is measured using a hand-held oxygen meter or a more accurate (chemical) method, with accuracy established in peer-reviewed documents. The location of measurements should be the first natural receiving water body and as close as practical to the point of discharge but at a distance not exceeding 200m from the point of discharge. In addition, the following procedures are followed: - DO monitoring is conducted fortnightly (i.e. once every two weeks) - On each sampling day, two DO measurements are taken: at 1 hour before sunrise and at 2 hours before sunset (+/- 30 min) - DO measurements are taken at 0.3 meters below the water surface. -Temperature and salinity is recorded at the same time that DO is measured. **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.					
		a. Provide DO measurements .	A. Review data set to confirm that monitoring covers the required timeframe				"Report of checking water of receiving water body quality" checked every two weeks from 14/04/2012 - 28/12/2012 - but the date after 28/12/2012 was not in place for inspection. There are 4 settlement pond.
		b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.	B. Verify the farm technicians calibrate equirement as required.				Mr. Le Truong An has responsiblity in checking DO, he could show his awareness of caliblrating the checking equiment
		c. Calculate percent change **in** DDO for each monitoring date using the equation in Annex D.	C. Review calculations to confirm accuracy.				"Report of checking water of receiving water body quality" the calculation follow the formular in Annex D of the standard.
		d. Use results of 3.2.1c to calculate the average percent change in DDO over the entire 12 month monitoring period. For first audits, farm records must cover > 6 months.	D. Confirm the average percent change in DDO ≤ 65 %.		x		The average %DDO of the farm is from 41.1% - 47%

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		e. Arrange to take DO measurements while the auditor is at the farm	E. Witness the farm measuring DO to confirm compliance with procedures. On-site values should fall within range of farm data for DDO. If an out of range measurement is observed, raises a non¬conformity.				Onsite checking %DDO: + Settlement pond 1: %DDO= 10.11% At 05h37, To=30oC, S=1ppt, DO = 3.61mg/L At 15h37, To=34oC, S=1ppt, DO = 3.61mg/L + Settlement pond 2: %DDO= 25.455% At 05h37, To=30oC, S=1ppt, DO = 4.9mg/L At 15h37, To=31oC, S=1ppt, DO = 6.58mg/L Settlement pond 3: %DDO= 14.83% At 05h37, To=30oC, S=1ppt, DO = 4.8mg/L At 15h37, To=31oC, S=1ppt, DO = 6.65mg/L Settlement pond 4: %DDO= 11.57% At 05h37, To=30oC, S=1ppt, DO = 5.0mg/L At 15h37, To=31oC, S=1ppt, DO = 5.62mg/L Onsite checking is lower than the range of farm records (41.1% - 47%)

Footnote [22] DO is the concentration of oxygen dissolved in water, expressed in mg/1 or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature (biology-online.org).

Footnote [23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.

3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]			Compliance			Finding
	Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	

Footnote [24] This criteria is not pertinent to either cage or pen cultures

3.3.1	Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D). **Requirement:** 100% **Applicability:** Ponds	Instrurtion to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Betwen Inlet and Outlet Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejidahl 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 at of these ponds shall be randomly selected. The farm must record the number and selection of ponds before sampling. Required procedures for collecting water samples are. as follows: - samples are collected by staff from the fully independent accredited laboratory; - samples are taken from the 'inlet' and the 'outlet' (inlet = the water in the intake canal, as close as possible to the farm being certified. Outlet =the actual water being discharged not the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged); - samples are collected from pond inlets and outlets during the second half of crop production (i.e. > 90 days after stocking); - on each sampling day, at least two samples are collected from the outlet and these are taken at least 1 hour apart (use the average value in calculations below); and - at a minimum the farm must sample from one pond per year. Percent Change in TP =(Outlet TP Conc.)- (Inlet TP-Conc.) / (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				
		a. Provide laboratory results for TP in water samples from inlet and outlet.	A. Review laboratory results for TP.				"Testing analytical result" of pond 12: - intake water: form no. M2201012-02, TP=0.62mg/L - Discharge water: sample 1: form no. T2201012-07, TP=0.91mg/L sample 2: form no. T2201012-07, TP=1.02mg/L
		b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above.	B. Review calculations to verify accuracy.		x		The calculation of %TP is followed the annex D %TP = 55.65%
		c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.	C. Confirm the average percent change inTP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.				"Report of %TP-TN change of the farm"%TP average is 51.62%

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		d. Provice evidence of the on-site visit for the sampling of pond effluents f or TP and TN staff from the accredited laboratory.	D. Review visit evidence for sampling for TP and TN to comfirm complaince with procedures.				Checked the "Form of taking samples" for each sample, the confirm that the samples are taken by the lab's staff and following the standard instruction
3.3.2	Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (SeeTN measurement methodology and TN discharge formula in Annex D). **Requirement:** 70% **Applicability:** Ponds	**Note: see instructions for Indicator 3.3.1**					
		a. Provide laboratory results for TN in water samples from inlet and outlets	A. Review laboratory results for TN.	x			"Testing analytical result" of pond 12: - intake water: form no. M2201012-02, TN=1.86mg/L - Discharge water: sample 1: form no. T2201012-07, TN=2.63mg/L sample 2: form no. T2201012-07, TN=2.78mg/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.				The calculation of %TP is followed the annex D %TN = 45.43%
		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 %TP-TN change of the farm"%TP average is 44.7%
		d. During the on-site vist, arrange for the auditor to contact observe sampling of pond effluents f or TP and TN.	D. Witness sampling for TP and TN to confirm compliance with procedures.				Checked the "Form of taking samples" for each sample, the confirm that the samples are taken by the lab's staff and following the standard instruction
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	Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D) **Requirement:** 3 mg/l **Applicability:** 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.					
		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 DO in dishcharge water" of settlement pond of pond 01 and 02, records from 27/04/2012 - 24/12/2012, but there is no records after this day until the audit date. The records of the settlement ponds 3 and 4 are not in place for inspection
		b. Use data from all weekly measurements to calculate the average DO in water discharged over the entire monitoring period. For first audits, farm records must cover ≥ 6 months	B. Confirm DO in water discharged by farm is > 3 mg/1. If any single value falls outside limits, raise a non-comformity.		x		"Table of DO average" but the farm has not calculate the DO average.
		c. During the on site visit, make arrangements for the auditor to observe calibration of equipment and measurements.	C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.				Onsite checking DO of water in the settlement pond 1 and 2, was: 2.71mg/L (<3.0mg/L) and 3.52mg/L respectively. However, in the audit date, the farm does not dicharge the water from any settlement pond
3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions)	**Auditor Evaluation (Required CB Actions)**	**Yes**	**No**	**N/A**	
Footnote	[27] For cage culture, there are no requirements forbenthic 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.						
		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.				sludge management plan

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3.4.1	Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28] **Requirement:** Yes **Applicability:** All	b. Maintain records of sludge disposal to show volume or weight and condition (i.e. Fresh or dried) when disposed. For first audits, farm records must cover ≥ 3 months.	B. Review records to confirm appropriate disposal according to plan..		x		There is the records of sludge disposal with the volume of the wet slugde, but there is no weight of dried sludge as building the bund of ponds surrouding.
		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.				in possession of a declaration from the receiving party that specifies the sludge volume
		d. If a sludge repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership ors statement from the owner or right of use).	D. If yes to (d), inspect sludge repository during on-site visit.				a map showing its location within the farm or documents 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				Interview local community and employee, confirm that there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems
Footnote	[28] The complex of a community and its environment functioning as an ecological unit in nature. More simply, it's both living and non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems are considered						
3.4.2	Indicator: Evidence of a sludge repository of appropriate size (See sludge repository formula in Annex D) **Requirement:** Yes **Applicability:** Farms managing the sludge using a repository	Instruction to Clients for Indicator 3.4.2 -Size of Sludge Repository A Sludge Repository Formula is given in Annex D of the ASC Pangasius Standard. Farms shall document how this formula was used to calculate the appropriate size (minimum volume) of a sludge repository. Farms may, for example, document their calculations in the sludge management plan (see 3.4. 1a). All sludge areas and volumes must be considered in the calculation. For 'Area of Pond', consider only the area of the pond from which sludge has to be removed over the following 2 months. Note 1: If the Sludge Repository Formula yields a negative number then the repository exceeds the minimum volume (i.e. it is an appropriate's size).					
		a. Provide calculations showing the sludge repository is of appropriate size	A. Review farm's calculations to verify accuracy. Confirm compliance.			x	There is no calculations showing the sludge repository is of appropriate size
		b. Provide evidence of legal access to the sludge repository (see 3.4.1c).	B. During on-site visit, inspect the farm's sludge repository.				The farm provide the evidence of legal access to the sludge repository
3.5 Criteria: Waste managerment				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
3.5.1	Indicator: Evrdence of farm solid wastes being discharged into the natural environment **Requirement:** None **Applicability:** All	a. Prepare a plan for farm solid waste management. The plan may encompass other forms of farm-generated wastes (see 3.4.1, 3.5.2, 3.5.3, and 3.5.4).	A. Review the farm's solid waste management plan				a plan for farm solid waste management
		b. During the on-site visit, arrange for the audit or to inspect the farm's solid waste management system.	B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.		x		There are waste around the farm
			C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate If there is a risk or potential for discharges.				The plan is not effectively implemented
		a. During the on-site visit, give the auditor a general description of the farm's system for removal of human and animal solid waste. Allow the auditor to inspect.	A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment				a general description of the farm's system for removal of human and animal solid waste Waste treatment for human in Septic tanks.

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3.5.2	Indicator: Evidence of human and animal solid wastes being discharged into the natural environment **Requirement:** None **Applicability:** All	b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).	B. Verify that emptying and maintenance fallow the schedule.	x			Septic system: * Human and animal * Septic tanks for burying dead fish The schedule of empying and maintenance is in Septic toilet treatment plans.
		c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance.	C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that empying and maintenance follow the schedule.				No leakage in the septic toilet and septic tanks (dead fish). The schedule of emptying and maintenance is in Septic tanks treatment plans
		d. Provide evidence for burial of animal feces (as applicable).	D. Inspect site to verify that the farm buries any animal feces (if applicable).				There is no dog
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).				Septic tanks are built by construction company, the plan of maintanance according to the contruction design
3.5.3	Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment **Requirement:** None **Applicability:** All	a. Prepare a plan for farm management of chemical and medicine wastes.	A. Review farm's plan for management of chemical and medicinal wastes.		x		a plan for farm management of chemical and medicine wastes.
		b. During the on-site visit, allow the auditor to inspect the farm's management of chemical and medicinal wastes.	B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural enviroment surrounding the farm.				Medicine/chemical is not collect as plan. Workers use empty chemical containers for reusing
			C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.				The plan is not effectively implemented
3.5.4	Indicator: Evidence of proper disposal (30) of dead/moribund fish **Requirement:** Yes **Applicability:** All	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 burnimg, as not allowed); burial; fermentation and as fertilizer; spectic tank; production of fish meal or fish oil; feed for annimals 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 putpose in an appropriate facility.					
		a. Provide auditor with the farm's plan for disposal of deadd/moribund fish.	A. Review the farm's plan for compliance with Indicator 3.5.4	x			the farm's plan for disposal of deadd/moribund fish. The contract of selling dead fish. The record of monitoring and selling dead fish
		b. burial, incineration: plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).				Almost dead fishes are buried and sold as fertilization.
		c. septic tank: plan gives procedures for disposal of fish in septic tanks, specifies the schedule for emptying tanks, and identifies personnel involved (e.g. contracts with external parties).	C.Verify by review of documentary evidence (as applicable).				Selling to another farmers as fertilization
		d. production offish meal or fish oil: specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.	D. Verify by inspection (as applicable).				Selling to another farmers as fertilization
		e. feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d"): Option is allowed only if an aquatic animal health specialist concludes that mortality was not caused by an infectious agent or a pesticide/chemical pollutant.	E. Verify that farm possesses written statement(s) from aquatic health specialist (as applicable).				Selling to another farmers as fertilization

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		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)				The contract of selling dead fish
			G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposal followed the plan.				The farm's plan is effectively implemented.
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^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).						
3.6 Criteria: Energy consumption				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
3.6.1	Indicator: Information available on the following variables (per year per farrn in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method. **Requirement:** Yes **Applicability:** All	a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.	A. Review calculations. Verify the farm keep records of energy consuntption.	x			Records of farm energy consumption is in place
		b. Provide records, of mortality quantities, (see Indicator 6.4.4), and their .dispose method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop-per site (see preamble).	B. Verify the farm-maintains accurate records of-mortalities and disposals.				the farm's plan for disposal of deadd/moribund fish. The contract of selling dead fish. The record of monitoring and selling dead fish
PRINCIPLE IV: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS							
4.1 Criteria: Presence of pongosius in the woter droinoge system				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
4.1.1	Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruit ins 1321 stock established before Ist January 2005 **Requirement:** Yes **Applicability:** Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	Note: If the farmed species is not indigenous to the river basin and the species does not have a self-recuiting stock estabished, then Indicator 4.1.1. does not apply. Enter 'not applicable' here and proceed to assess farm compliance against Indicator 4.1.3.					
		a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.	A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.	x			* a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the rive basin. * the records of supplier contract of buying seedling are in place
		b. Provide a map of the river basin showing the location of the farm (see 2.1.1).	B.Review map to confirm farm location within river basin.				a map of the river basin showing the location of the farm
		c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).	C. Confirm that documentation show the farmed species is indigenous to the river basin.				Distribution and Ecology of some Important river fish species of the Mekong River Basin
		d. If the species is not indigenous and has a self-recruiting stock established in the river basin, provide documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references on multiple incidences of different age classes at different times and location) indicating that the stock was self recruiting before 1st January 2005.	D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.				N/A. The specie is indigenous
			E. Verify the identity of the farmed species by direct observation during on-site visit.				By direct observation during on-site visit, there is only pangasius

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4.1.2	Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33] **Requirement:** Yes **Applicability:** Farms in a river basin where the species is not-indigenous and a self-recruiting stock is established	a. Provide documentary evidence: peer-reviewed papers, official government (competent authority) statements or other comperable references indicating no negative impacts. Negative impact by a self-recruiting stock includes but is not restricted to; - changing the genetic diversity of wild pa ngasius through interbreeding - competition (e.g. displacement of local species) - habitat destruction	A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.			x	N/A. The specie is indigenous
Footnote	[32] Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times-and location are necessary as evidence.						
Footnote	[33] Peer-reviewed papers, official government (competent authority) statements or other corn parable references are necessary as evidence						
4.1.3	Indicator: If the speefe is not indigenous and does.not have 6 self-recruiting stock established, evidene.e that the species cannot establish in the river basin [34] **Requirement:** Yes **Applicability:** Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established	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. Cert if ier to verify that the evidence credibly demonstrates that operations are compliant with meeting international norms around the prevention of introduction of non indigenous species in the natural environment outside of client's farm.					
		a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptabte.	A. Review evidence provided by the farm to confirm that the farmed species can not establish in the river basin.			x	N/A. The specie is indigenous
Footnote:	[34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.						
4.2 Criteria: Genetic diversity				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
4.2.1	Indicator: Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37] **Requirement:** Yes **Applicability:** Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	a. Obtain evidence for either of the following: - the species is indigenous to the river basin (result from 4.1.1); or - a self recruiting stock has established in the river basin (result from 4.1.2).	A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.	x			the species is indigenous to the river basin
		b. Provide a map of the river basin showing the location of the-farm (see2.1.1)	B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river basin				a map of the river basin. the farm is inTra Vinh
		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.	C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.				* a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the rive basin * the records of supplier contract of buying seedling are in place
		d. For all seed purchases, maintain sufficient records (e.g. receipts) to indentify the river-basin source of broodstock. For first audits, farm records must cover ≥6 months	D. Verify that sourcing of seed is in compliance with the requirement				The supplier contract of buying seedling with the cerification to show source of broodstock is in the river-basin
Footnote [35] A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary.							
Footnote [36] Throughout these standards, the word "seed" is used for pangasius seed only.							
Footnote [37] This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005.							
4.3. Criteria: Source of seed				**Compliance**			**Finding**

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		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
4.3.1	Indicator: Allowance, for use of wild-caught seed for grow out **Requirement:** None **Applicability:** All	a. Provide a declaration that the farm does not use wild-caught seed for grow out	A. Verify declaration of no wild-caught seed for grow out.	x			declaration that the farm does not use wild-caught seed for grow out on
		b. Obtain statement from seed suppliers) that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity).	B. Verify that farm has statements from seed suppliers				a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the rive basin
		c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥6 months.	C. Verify the farm maintains accurate records for sourcing of seed.				* the records of supplier contract of buying seedling are in place
4.4 Criterio: Genetically engineered ond hybridized strains				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	**Auditor Evaluation (Required CB Actions)**	**Yes**	**No**	**N/A**	
4.4.1	Indicator: No use of genetically engineered (transgenic) or hybrid seed **Requirement:** Yes **Applicability:** All	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.	A. Verify declaration of no use of genetically engineered or hybrid strains.	x			declaration that the farm does not use wild-caught seed for grow out
		b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover ≥6 months.	B. Verify that farm maintains statements from seed suppliers.				a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed in the rive basin
Footnote [31]	A-genetically modifed organism (GMO) is an organism, with the except ion of human beings, in which the genetic material has been altered in a way that does-not occur naturally by mating and/or natural recombination (Directive 2001/18/EC)						
4.5 Criterio: Escapees.				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	**Auditor Evaluation (Required CB Actions)**	**Yes**	**No**	**N/A**	
4.5.1	**Indicator:** Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape **Requirement:** Yes **Applicability:** All	a. Provide farm records indicating fish sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review records for fish size **in** different holding units.	x			Diary of pond 2, 3, 11 and 12. Weight of fish is done every month
		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.				Inlet and outlet mesh size is mentioned in declaration: 1,2cm and 2cm. The net and grill mantainance
			C. Duringthe on-site visit, inspecting the size of net mesh or grills to confirm compliance.				Duringthe on-site visit, inspecting the size of net mesh or grills is compliance.
4.5.2	**Indicator:** Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection). **Requirement:** Yes **Applicability:** All	a. Provide farm records for daily inspection of net mesh or grills used in production (e.g. grow-out) units.	A. Review records to verify inspections are regular and timely.	x			There is records of daily checking and maintaining net/grid
		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).	B. Review the register to verify repairs are performed and recorded.				Repairs are also registered in the records of daily checking and maintaining net/grid
		c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inpection of meshes and grills to confirm that the program is effective.				the farm performing an inpection of meshes and grills to confirm that the program is effective.
4.5.3	Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs. **Requirement:** Yes **Applicability:** Ponds	a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 10 years.	A. Review records covering >= 10 years or statement to establish the maximum height of high water when flooding occurs.	x			Records of show the high water level covering 10 year since 2002 until 2013
		b. Obtain a statement from local authorities or reputable organisation reporting the altitude (m above sealevel) of the bund in its lowest point. Show location of bund low-point on a map of the farm (see 2.1.1).	B. Review statement and map. During the on-site visit, inspect farm to verity that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.				statement and map are in place

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	Applicability: Ponds	c. Provide a written statement that there were no incident of significant spillage or escapement due to of flooding in the last 12 months	C. During local community and employee interviews, verify there is no evidence for spillage or escapement from the farm in the last 12 months.				During local community and employee interviews, 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	Indicator: Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection) **Requirement:** Yes **Applicability:** 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).	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).	x			Presence of trapping devices placed in each settlement pond at the effluent/drainage canals to capture escapees, a record of findings and actions taken (available for inspection
		b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.	B. Review records of inspection and observed escapees.				There is the form for checking escapee, but there is no any escapee until the audit date
		c. When escapees are detected, record any actions taken to reduce or eliminate escapement. For first audits, these records must cover at least 1 full crop fier site (see preamble).	C. Review the suitability of any action taken by the farm to reduce escapement				There is no any excapee
			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.				Onsite checking, confirm compliance
Footnote [40]	These devices should not injure or compromise fish health (e.g., gill nets).						
4.6 Criteria: Pond Maintenance				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
4.6.1	Indicator: Evidence that bund has remained intact [41] throughout the culture cycle **Requirement**: Yes **Applicability**: All	a. Prepare a procedure for the monitoring and repair of damaged bunds.	A. Reyiew farm's procedure for bund monitoring and repair.	x			Procedure of monitoring bund and repairing damage
		b. Maintain a record of bund monitoring and repair that identifies date of damage detection and when the farm initiated and completed repairs.	B. Review records for evidence that the bund has remained intact in the last 12 months. If a bund was found to be corn promised, there shall be evidence that repairs were completed as soon as practical.				Record of checking bund, with records of damage. l
		c. During the on-site visit, arrange for auditor to inspect farm's bunds.	C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.				onsite checking, there is some points with damage, and the farm has strenthen all by wooden pilars
			D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.				Interviewing local community and workers, confirm compliance
Footnote [41]	Has not been affected in such a way to allow the escape in part or all of the farmed stock.						
4.6.2	Indicator: Evidence assuring there has been no intentional release [42] **Requirement:** Yes **Applicability:** All	a. Prepare a declaration that the farm has made no intentional releases in the last 12 months	A. Review declaration to confirm compliance.	x			a declaration that the farm has made no intentional releases
		b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records to confirm that **all** stockings can be accounted by harvest or disposal				Checking "Receipt of purchasing seedling", "Farm diary" and "Form of harvest" confirm all crops are harvested and there is no intentional release
		c. Prepare a written justification for any periods of inactivity la sting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble)	C. Review annual production records to determine if there are significant discrepancies that could idicate the possibility of intentional release.				There is no any pond that not stocking longer than 3 months

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Footnote [42]	The original intent of footnote [42] from the PangasiusAquaculture Dialogue Standards has been clarified here for auditing purposes. It now reads: "Significant discrepancies between the number (or biomass) of fish-stocked and the number (or biomass) of fish sold in the absence of disease outbreaks, major theft or escapes would indicate the possibility of intentional release."						
PRINCIPLE 5. USE FEED AND FEEDING PRACTICLES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED							
5.1 Criteria: Sustainability of feed ingredients				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	**Auditor Evaluation (Required CB Actions)**	**Yes**	**No**	**N/A**	
5.1.1	Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed **Requirement:** No **Applicability:** All	a. Maintain records (e.g. receipts) for all purchases of commercial feed in the last 12 months. For first audits, farm records must cover ≥ 6 months.	A. Review- farm's records for commetcially sourced feeds	x			The farm provides the "Form of out-take feed" from the feed manufaturer, there is only one feed supplier. The records for all purchases of commercial feed from the suppliers are in place. (eg. receipt of purchasing feed)
		b. If any farm-made feed was used, provide a description of ingredients and preparations. Maintain evidence of purchase (e.g. Receipts) or ownership of all ingredients. For first audits, farm records must cover ≥6 months.	B. Review ingredients to verrfy that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).				N/A. There is no farm-made feed
			C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.				farm records are sufficient to account for all feed used
Footnote [43]	Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen; minced, dried, meals; oils, and processing by-products)						
5.1.2	Indicator: Use of pangasius fish processing by-products [44] as feed or feed ingredients **Requirement**: No **Applicability**: All	a. Prepare a declaration that no by-products of pangasiusfish processing were used as feed for pangasius at anytime during the last 12 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish used as feed for pangasius	x			a declaration that no by-products of pangasiusfish processing were used as feed for pangasius
		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.	B. Review manufacturer's declaraction to confirm no pangasius by-products were in feed				manufacturer's declaraction to confirm no pangasius by-products were in feed
		c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by¬products were used as feed ingredients. If fish meal or fish oil was used, obtain a statement from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months.	C. Review farm documentation to confirm that no pangasius by-products were used In feed preparation (if applicable)				N/A. There is no farm-made feed
Footnote [44]	Trimmings, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these- are not counted as part of the "fish product" amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in pangasius diets						
	Indicator: Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature	Instructions to Clients for Indicator 5.1.3- Confirm there are no IUCN Red List Species in Feed For the purposes of this Indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species.do not comply with the Standard, Thisrestriction extends to feeds, that use by-pro ducts (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 fthe IUCN Red list as follows: - goto http://www.iucnredlist.org/ - in the primary search field enter the genus and species - click on "run search" and record the status of the species, Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with Indicator 5.1.3, consider only species identified as "Vulnerable", "Endangered", or "Critically Endangered". Species that are listed in other IUCN categories (e.g. "Not evaluated","Data Deficient") and "Least Concern"), may be encluded from further analyses.					

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5.1.3	International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46] **Requirement:** Yes **Applicability:** All	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	A. Confirm that farm has records of ingredients from all commercially sourced feeds.	x			a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (Tilapia and red tilapia
		b. Verify that none of the species identified in 5.1.3 (a) are in "threatened categories" on the IUCN Red List of Threatened Species.	B. Repeat search of IUCN database to verify that farm is in possesseion of accurate result				Verified in IUCN database to show farm is in possesseion of accurate result
		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 no farm-made feed
Footnote	[45] Vulnerable, Endangered and Critically Endangered.						
Footnote	[46] www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards.						
5.1.4	Indicator: Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II or III [47] **Requirement:** Yes **Applicability:** All	a. Obatin a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site	A. Confirm that farm has a statement from the feed manufacture verifying the origin of all fish products used as ingredients in all commercial feeds.	X			a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011)
		b. Determine if any species identified in 5.1.4(a) is listed in CITES appendix I, II, or III by doing the following: - go to http://www.cites.org/eng/resources/species.html - select option "Species", enter genus and species, and click "find it"	B. Repeat search of CITES database to verify that farm is in possession of an accurate result				Verified CITES database to show farm is in possesseion of accurate result
		C. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, be in possession of a statement from the respective supplier confirming compliance.	C. Confirm that farm has provided sufficient evidence of compliance				N/A no farm-made feed
Footnote	[47] http://www.cites.org/eng/app/appendices.shtml						
5.1.5	Indicator: ISEAL-certified fishmeal and fish oil products must be used in feed **Requirement:** Within 3 years of becoming available in a region **Applicability:** All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only trimming and aquaculture products are used	Note 1: "becoming available in a region" means being commercially available in the region (UN regions) by at least one independent producers and indicated in grey literature (the date of appearing in grey literature is to be used). Note 2: "products" does not apply to trimmings and aquacultured products as feed ingredients (see Indicator 5.1.3).					
		a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients |to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	A. Confirm that farm has statement from feed manufacturer indentifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest)	x			a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients
		b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.	B. Review evidence and confirm compliance.				No in Vietnam until now
5.1.6	Indicator: ISEAL certified fishmeal and fish oil products must be used in feed. **Requirement:** Within 5 years from the publication date of the PAD standards	a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits. farm records must cover ≥ 6 months and all the feed requirement apply only to fish on site.	A. Confirm that farm possesses information about feed ingredients.			x	a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients

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	Applicability: All, after August 2015. Not applicable if only trimming and aquaculture products are used	b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5,	B. Re view evidence and confirm compliance.				No in Vietnam until now
5.1.7	**Indicator:** Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation's IFFO) "Responsible Sourcing Program for Certification of Responsible Practice forFishmeal and Fish Oil Production **Requirement:** ≥6.0 with no individual score < 6.0 or an N/A in the stock assessment category. Yes **Applicability:** Up to when standard 5.1.5 or 5.1.6 can be met. Not applicable if only trimming and aquaculture products are used	Instruction to Clients for Indicator 5.1.7 -FishSource Score of Products Used in Feed To determine FishSource scores offish species used as feed ingredients, do the following:. - go to http://www.fishsource.org/ - select "Species" drop down tab to the left -select the species that is utilized by the farm as a source of fish meal or oil -confirm that the search identifies the correct species, then select the top tab that reads "Scores" -Review scores to verify average FS scores > 6.0; no individual score < 6.0, and no "N/A" for "Stock assessment" category (category 4 in Fish Source scoring). If results show the species does not meet all three of the above criteria, then the feed does not meet requirements of the ASC Pangasius Standard. If the species has not been assessed (i.e. it is not listed on the FishSource website), then the feed does not meet requirements of the Standard. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment.					
		a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	A. Verify that farm possesses information about feed ingredients.				a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (fishmeal on 26/12/2011)
		b. Provide an FS score or verification of IFFO certification for each species used as a feed ingredient in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	B. Review FS scores and IFFO certification for species used-in feed. Cross check against species listed in feed supplier declarations (see 5.1.3a).			x	No in Vietnam until now
5.2. Criteria: Efficient management of feed use on the form				**Compliance**			**Finding**
		Compliance Criteria {Required Client Actions)	Auditor Evaluation (Required CB Actions)	**Yes**	**No**	**N/A**	
5.2.1	Indicator: Maximum weighted [50] average of economic Feed-Conversion Ratio (eFCR) for the complete production cycle. **Requirement:** 1.68 **Applicability:** All	a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).	A. Review records to confirm that farm has records for all seed				There are a declaration from farm and seed supplieas well as feed suppliers
		b. Maintain records showing the type of feed and the total weight used (see 3.1.1a)	B. Confirm that farm has complete and acccurate record for feed.				records showing the type of feed "diary of pond 5, and 11; Feed inventory of the farm, FCR calucation of pond 5 is 1.63 and pond 11 is 1.66; eFCR of two ponds is 1.65
		c. Maintain records (e.g. receipts) showing weight of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify the farm keeps records showing weight of fish harvested.	x			records (e.g. receipts) showing weight of fish harvested
		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				calculation for accuracy and completeness
		e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.	E. Review calculations far accuracy. Confirm compliance.				eFCR of two ponds is 1.65
Footnote [50]	Weighting to be conducted by the amount offish produced in different farming units (e.g. ponds, pens and cages).						

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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.				N/A. By-products from fish processing of species. No need to calculate FFER
		b. Calculate the FFER using the formula given in Annex D of the Pangasius Standard. By-products from fish processing of species other than pangasius but not on the IUCN Red List or CITES lists can be used and not be factored in as "fish meal or oil" for this calculation	B. Review calculation verify accuracy. Confirm compliance.			x	N/A. By-products from fish processing of species. No need to calculate FFER
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).	**Auditor Evaluation (Required CB 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	Instructions to Clients for Indicator 6.1.1 - Calculating Average Real Percentage Mortality (RPM) Calculate the Real Percentage Mortality using the stocking & harvesting data from every enclosure used by the farm in the last 12 months. Do one calculation per enclosure as follows: 1) Determine the number of fish stocked. This number may be obtained from - direct counts of fingerlings, or - computed by taking the total weight of stocked fish and dividing by the average weight of the fish stocked. 2) Determine the number of fish harvested. This number may be obtained from - direct counts of harvested fish, or - computed by taking the total weight of harvested fish and dividing by average weight of the fish harvested. 3) Using the formula in Annex D, compute the Real Percentage Mortality for the enclosure (Note 1). 4) Repeat steps 1-3 for every other enclosure used by the farm. 5) Compute the average RPM for all enclosures over the last 12 months as follows: Weighted Average RPM = [(RPME1 x YieldE1) + (RPME2 x YieldE2)...+ (RPMEn x YieldEn)] / (YieldE1 + YieldE2 ...+ (YieldEn) Where E1, E2, En are the 1st enclosure; the 2nd enclosure and the nth enclosure For the audits, records must cover at lease 1 full crop per site (see preamble) **Note 1:** Only use counts of live fish in these calculations. Do not include counts ofrfead fish when determining number of harvested fish or number of stocked fish. **Note 2:** 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 are sufficient to dertemine of seed stocked into each enclosure.				Invoice of purchasing chemical/medicine "Invoice" no 0089462 of pond 11, quantity: 385,286 fishes, on 19/05/2012 "Farm diary" of pond 11, stocking on 19/05/2012, quantity: 385,286 fishes, harvested on 21/11/2012
		b. Maintain harvest records for each crop (e.g. selling receipts or processing plant reciepts) that are sufficient to show the total number of fish harvested from each enclosure. For first audit, records must cover at least 1 full crop per site (see preamble)	B. Review records. Confirm that farm records are suffiicient to determine number of fish harvested from each enclosure.	x			"Harvest form" of pond 11, totel weight: 254,550kg, fish size: 796g/fish, quantity: 319,786 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%				"Form of mortality report" pond 11, the average mortality rate is 17%
6.2 Criteria: Veterinary medicines and chemicals				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions).	Auditor Evaluation (Required CB Actions).	**Yes**	**No**	**N/A**	

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6.2.1	**Indicator:** Use only Veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country. **Requirement:** Yes **Applicability:** All	a. Prepare a list of all veterinary medicines, chemicals and biological products use on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review list of medicines, chemicals and biological products.	x			"List of chemical/medicine that use in the farm" updated on 1/4/2013
		b. Provide records detailing the use of any veterianry 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).	B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinay medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies).				"farm diary" with record of using chemical/medicine of ponds are in place
		c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.				"List of chemical/medicine that use in the farm" updated on 1/4/2013, with the list of suppliers and contact information
		d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.	D. Confirm that liested products used are approved for a				"Circular no. 15/2009/TT-BNN" on 17/03/2009 and Circular no. 69/2010/TT-BNNPTNT on 06/12/2010, about the list of approved checmical/medicine for aquaculture
		e. Provide list of farm's export (i.e sales to parties in foreign countries) over the lat 12 months.	E. Review list and compare to farm's sales receipts				Fishes are sold to the processing unit, there are "Harvest form" with the information of weight, quantity of harvested fish for each pond, signed with the processing unit
		f. If the farm cannot determine the country of export (6.2.1e), prepare a list of top five country importing pangasius from the country where the farm operates (regions operating within the same legislation on this matter, e.g. EU, are considered as a single country).	F. Review list (as applicable)				Decision no. 1471/QD-BNN-QLCL, on 20/6/2012, of the MARD, for the market of EU, America, Russia, Korea, and Taiwan
		g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumsion.	G. Review list.				Decision no. 1471/QD-BNN-QLCL, on 20/6/2012, of the MARD, for the market of EU, America, Russia, Korea, and Taiwan. The decision is about the list of banned chemical/medicine for those markets
		h. Show that in the last 12 months, the farm did not use any verterinary medicines, chemical or biological products that are banned or non-approved in the importing country.	H.Review eveidence. Cross check the farm export's markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.				Cross-checking the farm use with the Decision no. 1471/QD-BNN-QLCL, on 20/6/2012, of the MARD, confirm compliance
6.2.2	Indicator: Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist [55] based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose [56] **Requirement:** Yes **Applicability**: All	a. Provide records of prescriptons, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medcines and chmicals used on the farm. For fistr audits, farm records must cover ≥6 months.	A. Review records of prescriptions or writen advice for veterinary medicines and chemicals.	x			"Farm diary" of pond 3, on 17-23/09/2012, used antibiotic, 5 litter/day for 107 tons of fish in the pond. "From of prescription" on 13/09/2012, used 1 Litter/20ton of fish from 17-23/09/2012
		b. For each application of veterinary medicines and chemicals for therapeutic use, provide a description of condition and evidence showing endorsement (prescription) from an aquatic animal health specialist. For first audits, farm records must cover ≥6 months.	B. Review written descriptions. Confirm use approved by AAH Specialist.				"Form of checking fish health" of pond 3, on 11/09/2012, signed by the AAH specialist. And "From of prescription" on 13/09/2012, used 1 Litter/20ton of fish from 17-23/09/2012. the farm technician follows the prescription by the AAH Specialist
		c. If application differs from the label specification, be possession of written justification from aquatic animal health specialist. For first audits, farm records must cover ≥6 months.	C. Review justification from AAH Specialist as applicable.				Chemical/medicines are used following its labels

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		d. Provide copies of the title(s) of the aquatic animal health specialist showing how s/he is suitably qualified for the position.	D. Review evidence. Confirm that AAH Specialist is suitably qualified.				"Table of traning subject" in university of Ms. Lam Quang Man - AAH Specialist, issued by the Can Tho University
Footnote	[55] Aquatic animal health specialist defined following government's regulations, if such regulations exist in the producing country. If the government does not regulate on this, the following people can be considered as specialists: • Veterinarians with at least three months of academic training on fish health management (for a total of at least 60 hours). This training may be included with the veterinary degree. • Aquaculturists (with university or vocational degree) who have completed at least three months of training on fish pathology and treatment (for a total of at least 60 hours). This training may be included with the university or vocational degree.						
Footnote	[56] Label specifications may be overridden by the recommendations of the aquat c animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.						
6.2.3	Indicator: Follow the aquatic animal health specialist recommendations on: 1- how to apply the veterinary medicine and chemicals prescribed 2 - how to handle & store the veterinary medicines and chemicals prescribed 3 - who needs to be informed about the disease and how 4 - how to limit the spread of the disease to neighboring wild or farmed populations **Requirement:** Yes **Applicability:** All	a. For veterinary medicines or chemicals applied and for a II mortality events notified, provide statements of the specialist indicating his/her recommendation on: - how to apply the veterinary medicine and chemicals prescribed; - how to handle & store the veterinary medicine and chemicals prescribed - who needs to be informed about the disease; and - how to limit the spread of the disease to neighboring wild or farmed population. For first audits, farm records must cover ≥6 months.	A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.	x			There is "Letter of recommendation" on 01/10/2012, signed by the AAH Specialist
		b. Provide a declaration that the farm follows the recommendations of teh aquatic animal health specialist.	B. Review farm's declaration to confirm following recommendations of the AAH Specialist.				"Declaration letter" on 01/10/2012, about follows the AAH Specialist recommendation
		-	C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.				Onsite checking chemical store, confirm compliance
		-	D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.				All AAH Specialist's recommendations are followed
6.2.4	Indicator: Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label. **Standard:** None **Applicability**: All	a. For chemical/medicinal treatments in the last 12 months, provide daily records of product use and water temperature during withdrawal periods. For first audits, records must cover ≥6 months and at least 1 full crop per site (see preamble).	A. Review records of withdrawals.				"Farm diary" with daily records of water temperature for whole crop Pond 12, on 03/11/2012, used 3.5kg chemical
		b. Provide labels indicating duration of withdrawal periods. If labels do not specify a withdrawal period, provide evidence that withdrawal periods were > 750 degree days.	B. Review labels and completion dates of withdrawal per	x			Chemical label with the details of withdrawal period is 7 days
		c. Provide evidence (e.g. receipts) to show no fish were harvested before completion of withdrawal period during the last 12 months. For first audits, farm records must cover 6 months.	C. Evaluate evidence-to verify that no fish were hasrvested before completion of withdrawal period.				"Form of prescription" on 02/11/2012, used chemical on 02-03/11/2012, withdrawal period is 30 days "Hatvest form" of pond 12, on 06/12/2012 -> finished withdrawal period
6.2.5	Indicator: Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].	a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least full crop per site (see preamble).	A. Review list of antibiotics used.				"List of chemical/medicine that use in the farm" updated on 1/4/2013
		b. Prepare declaration stating that farm did not use any antibiotic critically important to human medicine as categorized by the WHO in the last 12 months.	B. Review declaration. Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine.	x			"Declaration letter" on 01/10/2012

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	Requirement: None **Applicability:** All	c. Provide the up-to-date list of the WHO [57]	C. Verify farm holds an up-to-date copy of the WHO list [57]				The farm provide the most current WHO list
			D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.				Onsite checking, there is no any evidence that the farm uses antibiotic in the WHO list
Footnote	[57] Refer to the second WHO Expert meeting on Critically Important Antimicrobialsfor 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	Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem. **Standard:** None **Applicability:** All	a. Provice declaration stating that farm does not any unauthorized prophylactic veterinany medicines (prior to envidance of a specific disease problem).	A. Verify farm holds declaration.	x			"Declaration letter" on 01/10/2012
		b. Obtain a declaration from the aquatic animal health specialist indicatingthat s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months, for first audits, the period covered by the declaration must be ≥ 6 months.	B. Verify the AAH Specialist declareres there is no known unauthorized prophylactic use of veterinary medicines.				"Declaration" of AAH specialist about no known unauthorized prophylactic use of veterinary medicines.
		c. Maintain receipts for all purchases of veterinary medicines. For first audits, records must cover at least full crop per site (see preamble).	C. Verify farm maintains records of all purchases of veterinary medicines.				The farm provides the "Invoice" of buying chemical/medicine from 01/04/2012 - until now are available
			D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.				The auditor verifies the inventory of medicines
			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.				"Farm diary" about using chemical, "Form of requesting chemical" about out-taking chemical from the chemical store of the farm.
6.2.7	Indicator: Allowance for use of veterinary, medicine (excluding vaccines) to serve as growth promoters [58]. **Requirement:** None **Applicability:** All	a. Obtain a declaration from the applicant, endorsed by an aquatic animal health specialist indicating that there has been no use of veterinary medicines (excluding vaccines) as growth promoters by the farm in the last 12 months. For first audits, the period covered by the declaration must be ≥ 6 months.	A. Verify the AAH Specialist supports the declaration that there is no use of veterinaty medicine as growth promoters.	x			"Declaration letter" on 01/10/2012
			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.				"Farm diary" about using chemical, "Form of requesting chemical" about out-taking chemical from the chemical store of the farm.
Footnote	[58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).						
6.3 Criteria: Pangasius health plan				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions).	**Auditor Evaluation (Required CB Actions).**	**Yes**	**No**	**N/A**	
6.3.1	Indicator: Presence of a written pangasius health plan reviewed yearly; updated and approved by a specified aquatic animal health specialist [59] (See Annex E for health Plan).	a. Prepare the farm's written pangasius health plan containing all required elements (Annex E)	A. Review health plan for compliance with Annex E				"Fish health plan" on 01/10/2012
		b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist.	B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.	x			Signed by the AAH Specilalist

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6.3.1	**Requirement:** Yes **Applicability:** All	c. Review the health plan at least once every 12 months. Update as needed and be in possession of approval by the farm's aquatic animal health specialist.	C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audit, the response is "not applicable".	x			updated on 01/10/2012
			D. During on-site visit, verify that the plan is implemented and effective.				The plan is implemented effectly in the farm
Footnote	[59] GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders.						

6.4 Criteria: Holding-unit specific record-keeping				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions).	**Auditor Evaluation (Required CB Actions).**	**Yes**	**No**	**N/A**	
6.4.1	**Indicator:** Availability of recocds of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities **Requirement:** Yes **Applicability:** All	a. Maintain records that identify all the veterinary medicines, and chemicals used at the grow-out facility. For first audits, farm records must cover ≥ 6 months.	A.Verify the farm maintains purchase records.	x			"Farm diary" about using chemical and purchase record (invoice) can be accessed
		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 could provide all records of withdrawal in the grow-out facility
		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.				"Form of prescription" with the info of date, diagnosis, treatment and withdrawal period
		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 s				"Confirmation letter" about pangasius seedling, of the seedling supplier state about all kind of chemical/medicine that use in each phase in the hatchery
6.4.2	**Indicator:** Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated **Requirement**: Yes **Applicability:** All	a. For all stocking events in the last 12 months, be in possession of a signed letter from the seed supplier reporting: - the source, size and quality of seed supplied; - the date supplied; - a description of any external signs of abnormalities at the time of sale; - list of veterinary medicines, chemicals and biological products used in earlier life stages (i.e-used at any time from spawning onwards); and - results of pathogen testing following legislation (as applicable). For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains records for seed quality as required	x			"Farm diary" of pond 12, stocked seedling into pond on 31/05/2012. "Form of fish quarantine" on 31/05/2012 with info of seedling quanlity "Confirmation letter" about pangasius seedling, of the seedling supplier state about all kind of chemical/medicine that use in each phase in the hatchery
6.4.3	**Indicator:** Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept **Requirement**: Yes **Applicability:** All	a. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify: - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-para sites, fin erosion, etc); and - number of dead fish. For first audits, records must cover at least 1 full crop per site (see prearnble).	A. Review daily records to confirm that all reporting etements are included. Verify compliance.	x			in the "Farm diary" with the health status of fish, daily recording

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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	**Indicator:** All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic anirnal health specialist **Requirement:** Yes **Applicability:** All	Instructions to Clients for Indicator 6.4.4- Establishing a Thresh old 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-specificto account for differing mortality rates during the 1st week, the 1st month, and any month after that; -the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and -the farm must describe how the threshold was-established in the farm's Pangasius Health Plan.					
		a. Maintain a daily record of monitoring farm enclosures for mortality (see 6.4.3). For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review daily mortality records	x			"farm diary" with info of dead fish quantities for each pond
		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.				"Farm diary" are checked and signed by the AAH Specialist
		c. Describe how the threshold was established in the farm's Pangasius health Plan (see 6.3.1).	C. Review the proposed mortality threshold in the farm's Pangasius health Plant to confirm compliance with requirements.				The mortality threshold is in place for inspection
		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.				mortality events exceeding threshold to the AAH Specialis reported to AAH
6.5 Criteria: Fish Welfare				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions).	Auditor Evaluation (Required CB Actions).	**Yes**	**No**	**N/A**	

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6.5.1	**Indicator:** Minimum average growth rate **Requirement**: 3.85 g/day **Applicability**: All	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 havest 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) **Clarification note:** Indicator 6.5.1 was developed under the assumption that: - fish are stocked at 80 grams, - harvested at 1,000 grams and - average production cycle is 8 months. Given that specific growth rates of Pangasius are variable with body size (i.e. size and age dependent), formulas will yield a: reduced level of. absolute growth if fish are harvested at a substantially smaller size than 1 kg. (e.g. farms that harvest fish at 600-70Og average body weight). Auditors are instructed as to evaluate Indicator 6.5.1 as follows. Farms must provide auditors with sufficient information to verify average fish size and weight at stocking, average fish size and weight at harvest, and average duration of production cycle. Auditors shall review the farm's calculations of observed growth rate and monitor whether the farm is in compliance.					
		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.				"Form of hand-over seedling" for each event of stocking. Eg. Pond 2, seedling size: 83g/fish, on 27/04/2012
		b. Maintain records showing the weight of fish harvested from each enclosure (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify farm maintains records of the weight of fish harvested from each enclosure.	x			"Harvest form" of pond 2, fish size: 780g/fish, harvested on 24/04/2013
		c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).	C. Review calculation to confirm accuracy and completer				"Fish grow-rate report" of pond 2 = 3.89g/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 fish grow-rate" of the farm is 3.89g/day
6.5.2	**Indicator:** Maximum fish density at anytime **Requirement:** 38 kg/m2 for ponds and pen **Applicability:** Ponds and Pens	a. Provide a plan of the farm showing surface area (m2) of each enclosure.	A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.				"farm map" with the detail of pond area, pond 2 is 7,818m2
		b. Maintain records of the tolal weight (kg) of fish harvested from each pond and/or pen (see 2.4.2b). For first audits, records must cover at least Ifull crop per site (see preamble)	B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.				"Harvest form" of pond 2, fish size: 780g/fish, weight: 275,633kg harvested on 24/04/2013
		c. For each enclosure, divide the weight of fish harvested (result from 6.5.2b) by the surface area of the enclosure (results from 6.5.2a) to calculate fish density (kg/m2). For first audits, records-must cover at least 1 full crop per site (see preamble).	C. Review calculations for fish density at harvest to verify compliance	x			Density in the pond 2 at the hatvest date is 35.26kg/m2

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		d. In addition to calculating fish density at harvest (6.5.2.c), farms shall record monthly estimates of fish density for each enclosure using estimated biomass (e.g. from farm diaries) and surface area (see 6.5.2a). For first audits, farm records must cover ≥ 6 months.	D. Review monthly estimates of fish density to verify compliance.				The monthly weighing fish is in the "farm diary" pond 2 is 4.6kg/m2 - 35.26kg/m2
6.5.3	Indicator: Maximum fish density at anytime **Requirement:** 80 kg/m3 for cages **Applicability:** Cages	a. Provide a description of the system specifying the total number of cages and volume (m3) of each cage.	A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.			x	N/A. Pond aquaculture
		b. Maintain records of the total weight (kg) of fish harvested from.each cage. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Confirm the farm keeps acurate record of total weight of fish harvested from each cage.				
		c. For each cage, divide the weight of fish harvested (result from 6.5.3b) by the volume of the cage (results from 6.5.3a)to calculate fish density (kg/m3). For first audits, records must cover at least 1 full crop per site (see preamble).	C. Review calculations for fish density at harvest to verify compliance				
		d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates offish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.	D. Review monthly estimates of fish defisity to verify compliance.				
6.6 Criteria: Predator control				**Compliance**			**Finding**
		Compliance Criteria (Required Client Actions).	Auditor Evaluation (Required CB Actions).	**Yes**	**No**	**N/A**	
6.6.1	**Indicator:** Use of lethal predator [61] control **Requirement:** No **Applicability:** All	a. Prepare a procedure describing how the farm controls predators, and maintain a list of all predator control devices and their locations.	A. Review list	x			"Procedure of predator management" on 01/10/2012
		-	B. Inspect site to verify no use of lethal predator controls				Onsite observation, there is no lethal predator control
Footnote	[61] Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all types of predators during the production period, but only birds, reptiles and mammals during the period of preparation of the holding units (e.g., ponds, cages and pens). Rats and mice are excluded from consideration as they are unlikely to harm fish on the farm, be endangered or pose a conservation concern.						
6.6.2	**Indicator:** Mortality of IUCN red listed species. **Requirement:** 0 (zero) **Applicability:** All	Instruction to Clients for Indicator 6.6.2 -Presence of IUCN Red Listed Species Determine whether IUCN red list species are present in the region as follows: -go to http://www.iucnredlist.org/ -follow to "other search options" - select "TaKonomy" - 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 curently threatened. For the purposes of deteimining whether a farm complies with indicator 6.6.2, species in the following IUCN categories maybe excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".					
		a. Perform analysis. Record all IUCN red listed species occuring in the area of the farm.	A. Repeat analysis to verify that client possesses an accu				Review list for completeness in the "Potential impact assessment or Pangasius farming to endangered species", Compare with results from search of IUCN database of red list species
		b. If any IUCN red listed species are identified in the area of the farm (including receiving and source waters), write a procedure which describes how the farm will avoid causing mortality.	B. Verify that farm procedures are approriate and implemented (as applicable)	x			The procedures dose not have the species listed in "Potential impact assessment or Pangasius farming to endangered species"

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		-	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)]				Interviewing local community, there is no evidence of the farm causing mortality of IUCN red listed species
7.1 Criteria: Labor Law				**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):		**Yes**	**No**	**N/A**	
7.1.1	**Indicator:** Compliance with labor laws in the country where pangasius is produced **Requirement:** Yes **Applicability:** All	a. Obtain all national and local labor regulations applicable to the farm. Regulations should cover at least the following issues: labor contracts, child labor, working time, working/living conditions, minimum wage and benefits/allowance, health and safety, presence of on-farm regulation.		x			Vietnam labor law
		b. Ensure that the farm and all employees on the farm comply to the labor regulations.					time regulation dated 29/6/2011.
7.2 Criteria: Child labor [62] and young workers [63]				**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):		**Yes**	**No**	**N/A**	
Foodnote [62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO Convention 138, the lower age will apply. Child labor does not include children helping their parents on their own farm, provided that working does not jeopardize their schooling or health.							
Foodnote [63] Young worker: Any worker between the age of child as defined and under the age of 18.							
7.2.1	**Indicator:** Minimum age of workers **Requirement:** Yes **Applicability:** All	a. Maintain a list of all employees employed in the farm indicating date of birth					list of employees including 22 people dated 14/5/2013
		b. Maintain copies of the official ID of all the employees listed showing date of birth					Labr contract of Tran Van Than dated 03/2/12 No 82/HDLD-NSTPTVplus ID
		c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]			x		No employee under 15 years.
		d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.					No declaration stating that the farm is against child labor found
7.2.2	**Indicator:** For workers under 18 years old 1 - Work does not jeopardize schooling 2 - Work, when added to the hours of schooling, does nof exceed 10 hour/day 3 - Work is restricted to light work [64] 4 - Work is restricted to non-hazardous work [65] **Requirement:** Yes **Applicability:** Farms with employees younger than 18 years old.	a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job description are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous.		x			Verified the list of employee and found that no young workers there. Labour contract No 724/HDLD-NSTPTV dated 19/11/2012 of a worker - born in 16/5/1993
		b. Maintain records of schooling commitments of each employee younger than 18 years old.					
		c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover ≥ 6 months.					
		d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm.					
Foodnote [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.							
Foodnote [65] Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers.							
7.3 Criteria: Forced and compulsory labor [66]				**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):		**Yes**	**No**	**N/A**	
Foodnote [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).							

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7.3.1	**Indicator:** Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68] **Requirement:** Yes **Applicability:** All	a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment.	x			Labr contract of worker dated 19/11/12 No726/HDLD-NSTPTVplus ID
		b. Ensure that workers' rights as indicated in this Requirement are duly respected.				Some interview and found that compliance.
		c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers.				
		d. Ensure that the farm does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for the employer.				
		e. Ensure that no employee is obligated to work at the farm to repay debt.				
Foodnote [67] As stated in the contract.						
Foodnote [68] Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees.						
7.4 Criteria: Health and safety			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.4.1	**Indicator:** The employer provides a non-hazardous working and living environment. **Requirement:** Yes **Applicability:** All	a. Maintain a list of all the health and safety hazards in the working and living environment of employees.	x			Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards. Eg: the wooden bridges are not safety.
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed.				regulation for health and safety dated 12/5/13.
		c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards.				Comply with farm SOP, portable drinking water
		d. Ensure that employees have constant access to potable/safe drinking water.				
		e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.				
		f. Ensure that the employees' housing is constructed of materials able to withstand local conditions.				
7.4.2	**Indicator:** Workers are aware of the health and safety hazards [69] at the work place and how to deal with them. **Requirement:** Yes **Applicability:** All, Farm-wide	a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b		x		Interview some of employees and found that they are aware of the hazards
Foodnote [69] Hazard: The inherent potential to cause injury or dam age to people's health - for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals.						
7.4.3	**Indicator:** The employer records all accidents, even if minor [70], and take preventive and corrective action for each. **Requirement:** Yes **Applicability:** All	a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.	x			Accident report of 2013
		b. Ensure that corrective action are in place as relevant.				No accident occurs
Foodnote [70] Accidents that could not be handled in-house, the person was taken to the closest clinic						
	Indicator: Employer ensures that all permanent workers have health insurance [71]	a. Maintain a list of all permanent workers.				list of employees including 22 people dated 14/5/2013

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7.4.4	**Requirement:** Yes **Applicability:** All	b. Provide evidence showing health insurance coverage for all permanent workers.	x			list of receiving the insurance cards dated 14/4/13. Social insurance Card of a worker
Foodnote [71] Health insurance is required for workers who are employed for >3 months/year. If not covered under national law/employers must provide insurance to cover 100% of any job-related accident/injury for permanent workers. The cost associated with permanent disabilities generated from a job related accident is, however, not included.						
7.5 Criteria: Freedom of association and collective bargaining [72]			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
Foodnote [72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.						
7.5.1	**Indicator:** Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74]. **Requirement:** Yes **Applicability:** All	a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.	x			Labr contract of Pham Quoc Sơn dated 19/11/12 No726/HDLD-NSTPTVplus ID.
		b. Ensure that workers have the freedom to form and join any trade union, are free of any form of interference from employers or competing organizations set up or backed by the employer. ILO specifically prohibits acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control or employers or employers' organizations.				Labor collective bargain dated 11/7/11
		c. Ensure that trade unions and/or civil society organizations involved in Labor rights, are able to access/inform all workers directly (posters, pamphlets, visits).				Meeting minutes dated 14/5//13
		d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.				Worker Representative.
		e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.				Labor collective bargain dated 11/7/11.
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 orin kind. Immediate family members of the farm owner (i.e., children, spouse, parents, brothers and sisters) and exchange labor may not be considered as workers, unless they express their desire to be workers.						
Foodnote [74] Workers must not be prohibited from accessing such organizations when they exist. If they do not exist or are illegal, companies must make it clear that they are willing to engage in a collective dialogue through a representative structure freely elected by the workers.						
7.6 Criteria: Discrimination			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.6.1	**Indicator:** Workers do not suffer any discrimination [75] from the employer or other workers **Requirement:** Yes **Applicability:** All	a. Provide and ensure the implementation of an anti-discrimination policy, stating that the company does not engage/support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.	x			Discrimination policy is established at 01/10/12.
		b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.				Salary sheed from Octt 12 to April 13
		c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.				Pregnancy policy was established at 01/10/12.
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**	
	Indicator: Employers treat all workers with dignity and respect	a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).				Through interview and found that no discrimination.

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7.7.1	**Requirement:** Yes **Applicability:** All	b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)	x			working regulation stated that no money deduction.
7.8 Crifeno: Working hours			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.8.1	**Indicator:** Maximum number of regular working hours **Requirement:** 8h/day or48h/week (although these do not have to be consecutive hours) **Applicability:** All	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.	x			working regulation stated that no money deduction.
		b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week.				regulation for health and safety dated 12/5/13.
7.8.2	**Indicator:** Workers have the right to leave the farm after completing the standard word-day **Requirement:** Yes **Applicability:** All, Farm-Wide	a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).	x			Labor collective bargain dated 11/7/11.
		b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave.				Labor collective bargain dated 11/7/11.
7.8.3	**Indicator:** Minimum time off **Requirement:** Two nights/week off if residing on the farm and a total four days/month off for all workers **Applicability:** All, Farm-Wide	a. Ensure that all workers residing at the farm have the right to 2 nights off/week.		x		No evidence that workers are ensured to have the right to 2 nights of/week
		b. Ensure that all workers have at least 4 days/month off.				regulation for health and safety and benefit dated 29/6/11
		c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.				Attendance record of April 2013
7.8.4	**Indicator:** Overtime hours 1-Are voluntary 2- do not exceed a maximum of 12 hours per week 3- occur on an exceptional (not regular) basis 4- are paid at a premium rate [76], (i.e. an additional 20% is paid to the normal salary) **Requirement:** Yes **Applicability:** All, Farm-Wide	a. Ensure that for all employees, overtime hours: - are voluntary - do not exceed a maximum of 12h/week - occur on an exceptional basis - are paid at a premium rate (following the local/national regulation and at least 20% more than normal salary)	x			Attendance record of April 2013
		b. Maintain timesheetsfor all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.				Attendance record of April 2013
		c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights.				Labor collective bargain dated 11/7/11.
		d. Maintain records of payments for overtime hours.				No overtime is found.
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**	
	Indicator: The employer pays at least minimum wages as defined by law, or ensures that wages	a. Obtain legal documents showing minimum wages for the location where the farm operates.				Circular 676/SLDTBXH-DTL-BHXH dated 21/12/12 with minimum salary is 1.732.000 VND for area 04

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7.9.1	wages as defined by law, or ensures that wages cover basic needs [77], plus some discretionary income [78], whichever is higher **Requirement:** Yes **Applicability:** All, Farm-Wide	b. If minimum wage has not been established by law, calculate basic needs wages, in consultation with workers and their representative organizations, and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times.	x			Salary sheed from Oct 12 to April 13.
		c. Maintain copies of employees' contracts and ensure that at least minimum wages are paid to employees.				Labr contract of a worker dated 19/11/12 No726/HDLD-NSTPTV plus ID.
		d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.				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.	x			Stated in labor contract
		b. Ensure that employees are aware of the mechanism used for setting wages.				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.	x			Pay slip of March 13
		b. Maintain records of payments indicating the method of payment.				Pay slip of March 13.
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 emplyees have copies of their labor contracts.	x			Interview worker and found that he did receive his labor contract.
		b. Ensure that emplyees understand their labor contracts.				Thorugh interview and found workers understood
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.	x			the list of contracts of empolyee is available.
		b. Ensure that probation times are understood by employees and respected.				Checking for some worlers they have the probation for 01 month.

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7.10.3	**Indicator:** Maximum length of probation period stated in the contract for farm managers and workers with an university degree. **Requirement:** 2 months **Applicability:** All	a. Maintain copies of contracts of farm managers and workers with a university degree and ensure that the probation time is clearly stated and does not exceed 2 months.	x			Probation contract of worker, probation for 01 months from 01/2/2013 - 28/2/2013
		b. Ensure that probation times are understood by employees and respected.				Probation contract of worker, probation for 01 months from 01/2/2013 - 28/2/2013
7.11 Criteria: Management system			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.11.1	**Indicator:** The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions. **Requirement:** Yes **Applicability:** All	a. Maintain complaint boxes for employees throughout the farm.	x			Complaint boxes are available.
		b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management.				Interview Mr.An, Mr. Triều 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.	x			Not complaint yet
		b. Ensure that emplyees have accesss to the register at reasonable times.				Appeal procedure dated 1/10/12.
7.11.3	**Indicator:** Percentage of complaints that are resolved [80] within one month after being received [81] **Requirement:** 90% **Applicability:** All	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.	x			No complaint yet.
		b. Record the issues being resolved in the register as for 7.11.2a				No complaint yet.
		c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month.				No 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 corn ing from other resource users, employees and buyers (e.g., middlemen or processors).						
7.11.4	**Indicator:** A plan for addressing the yet to be resolved conflicts is developed and complied with **Requirement:** Yes **Applicability:** All	a. Maintain a register recording issues, raised by workers (as for 7.11.2a) and including the plan for addressing yet to be resolved conflicts.	x			Appeal procedure dated 1/10/12.
		b. Ensure that the plan is adhered to.				Plan is adhered to
7.11.5	**Indicator:** Timeframe for the contracting [82] of suppliers and service providers that ensure suitable health and safety conditions for their workers [83]	a. For first audit, prepare a declaration of commitment to contract only suppliers and service provides that ensure suitable health and safety condition within 1 year.	x			No subcontractor use during this period yet

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	Requirement: Within 1 year from achieving certification **Applicability:** All	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 emplyees 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**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.12.1	**Indicator:** Records of the hours worked by every worker employed in the farm are available **Requirement:** Yes **Applicability:** All, Farm-Wide	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.	x			Attendance record of April 2013
		b. Maintain a list of all employees employed in the farm				list of employees including 22 people dated 14/5/2013
7.13 Criteria: Participatory social impact assessment for local communities.			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.13.1	**Indicator:** A participatory Social Impact Assessment (p-SIA)[84] is conducted (See Annex F for more information) **Requirement:** Yes **Applicability:** All	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 14/3/13.
		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.
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 process, results and outcome of such an assessment, and that steps taken and information gathered is openly accessible to all.						
7.13.2	**Indicator:** Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language **Requirement:** Yes **Applicability:** All	a. Maintain records of all the people having received copy of the p-SIA.		x		list of people receiving P-SIA
		b. Obtain signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).				It is found that not enough 50% of the people having received the p-SIA.list of people receiving P-SIA.
Foodnote [85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and are joined by collective engagements within a geographically confined area. Four common indicators are 1.) a state of organized society in small form (town, village, hamlet) that recognizes a single representative (leader, formal or informal); 2.) the people inside a confined geographical area; small enough to a I low face-to-face interaction as the main form of contact between the individuals within the group; 3.) having a common good or a common interest and recognizing that, and been recognized as having that; and 4.) A sense of common identity and characteristics (i.e., "we" versus "them" feeling) on either/or social, cultural, economic, ethnic grounds.						
7.14 Criteria: Complaints by local communities			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
	Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed	a. Prepare and ensure the application of a conflict resolution policy for local communities.				Conflict procedure ASC/QT7 dated 1/10/12.
		b. Maintain records of all the people having received copy of the policy.				Record of receiving dated 17/3/2013

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7.14.1	[86], [87], for local communities is developed and applied **Requirement:** Yes **Applicability:** All	c. Obtain signatures from at least 50% of the people having received copies of policy. The people signing must include at least: a representative of the local community (if such a representant can be identifies by the majority of the community), a representative of the local government and ane civil society organization (if available).	x			N/A
		d. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least one meeting (this could be part of the p-SIA process if the p-SIA was conducted less than 6 months before the audit)				N/A
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	**Indicator:** Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used. **Requirement:** Yes **Applicability:** All	a. Maintain complaint boxes in public locations reachable by the local community.	x			Complaint boxes are available.
		b. Retain-complaintforms.submitted by local communities. For first audits, records must include at least previous ≥ 6 months.				Not conflict yet
		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).				Not conflict yet
		d. Maintain a register of the complaints received. Register should include date, complaint and action taken. For first audits, register must contain records from at least previous ≥ 6 months.				Not complaint yet. Community interview with Mr. Nguyen Van Thành; Nguyen Thanh Phong; Nguyen Minh Tuan, Nguyen Thi Diem và Phan Van Mam and found that no died fish; sludge or waste out cause the pollution
7.14.3	**Indicator:** Percentage of conflict resolved within the date of being filed. **Requirement:** Within 6 months 50% Within 1 year 75% Within 2 years 100% **Applicability:** All	a. Maintain a register of complaints as.per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date.	x			Not conflict yet
		b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved.				Not conflict yet
7.15 Criteria: Preferential employment for local communities			**Compliance**			**Finding**
		Compliance criteria (Required Client Actions):	**Yes**	**No**	**N/A**	
7.15.1	**Indicator:** Evidence of advertising positions within local communities before migrant workers are hired. **Requirement:** Yes **Applicability:** All	a. Maintain a list of all employees employed in the farm indicating also place of origin.	x			list of employees including 22 people dated 14/5/2013
		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.				Recruitment notice dated 05/3/13
		c. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present a list containing the name, address and contact number of all the people consulted to advertise the position in the local community. For first audit records must cover more than previous ≥ 6 months.				list of employees including 22 people dated 14/5/2013
7.15.2	**Indicator:** An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities.	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 7.15.1a	x			list of employees including 22 people dated 14/5/2013

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	Requirement: Yes, if workers outside the local community are employed **Applicability:** All	b. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) provide a written explanation for employing workers outside the local community.				N/A

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ASC audit checklist ASCASS-PAD.F01(01)		
Reportnumber:	**828018.ASC.2013.01.LTTT**	
3. Summary and Conclusion		
3.1a . Outstanding non-conformities since previous audit report		
No NC: N/A	**Standard and Requirement: N/A**	**Category: N/A**
Date found: N/A	**Dead line for correction: N/A**	
Description of requirement: N/A. This is the first inspection		
Description of non-conformity: N/A. This is the first inspection		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: N/A. This is the first inspection		
Status: N/A. This is the first inspection		
3.1b Identified non-conformities during present evaluation		
No NC: 01	**Standard and Requirement: 1.1.3**	**Category: MAJOR**
Date found: 22/05/2013	**Dead line for correction: 22/08/2013**	
Description of requirement: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations a. Submit a statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge b. Submit results of water testing from a fully independent ISO 17025 accredited laboratory		
Description of non-conformity: a. There is no statement from the lab that their staff collected samples at discharge. And the location of taking samples was in lack b. There are 3 settlement ponds in use, the testing analytical result of only one settlement pond is in place		
Corrective action request: Provide the water analysis results and the declaration of ISO 17025 accredited laboratory regarding taking samples		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: - The results of water analysis - the declaration of ISO 17025 accredited laboratory regarding taking samples		
Status: CLOSED		

No NC: 02	**Standard and Requirement: 1.1.4**	**Category: MAJOR**
Date found: 22/05/2013	**Dead line for correction: 22/08//2013**	
Description of requirement: Presence of documents proving compliance with local and national legal regulations on land and water use. 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).		
Description of non-conformity: There are 3 settlement ponds in use, but they only provide the testing analytical result of only one settlement pond		
Corrective action request: Provide the water analysis results and the declaration of ISO 17025 accredited laboratory regarding taking samples		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: - The results of water analysis - the declaration of ISO 17025 accredited laboratory regarding taking samples		
Status: CLOSED		

No NC: 03	**Standard and Requirement: 2.4.1**	**Category: MINOR**

Date found: 22/05/2013	**Dead line for correction: 22/05/2014**
Description of requirement: Farm complies with water allocation limits asset by focal authorities or a reputable independent institution 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. 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: C. and D. There is no evidence for reputability of the authority/institution responsible for water allocation	
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence	
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)	
Status: OPEN	

No NC: 04	**Standard and Requirement: 3.1.3**	**Category: Major**
Date found: 22/05/2013	**Dead line for correction:22/05//2014**	
Description of requirement: IInstruction to Clients for Indicator 3.1.3 and 3.1.4Amount of TP discharged per metric ton of fish produced (SeeTP measurement methodology and calculation in Annex D) 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		
Description of non-conformity: but the pond samples are taken in the settlement pond insted of taking in each pond, not complied with the instruction of the standard		
Corrective action request: Take water samples as illustration of this point		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: Provide the sampling declaration of ISO 17025 certified lab showed the right site		
Status: CLOSED		

No NC: 05	**Standard and Requirement: 3.1.4**	**Category: Major**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	
Description of requirement: Taking samples is not following IInstruction to Clients for Indicator 3.1.3 and 3.1.4 Amount of TN discharged per metric ton of fish produced (SeeTN measurement methodology and calculation in Annex D) 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		
Description of non-conformity: Taking samples doesn't follow instrcution 3.1.3		
Corrective action request: Take water samples as illustration of this point		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: Provide the sampling declaration of ISO 17025 certified lab showed the right site		
Status: OPEN		

No NC: 06	**Standard and Requirement: 3.2.1**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	

Description of requirement: 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) a. Provide DO measurements . e. Arrange to take DO measurements while the auditor is at the farm
Description of non-conformity: E. Onsite checking %DDO is lower than the range of farm records
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)
Status: OPEN

No NC: 07	**Standard and Requirement: 3.3.3**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	
Description of requirement: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D) a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months b. Use data from all weekly measurements to calculate the average DO in water discharged over the entire monitoring period. For first audits, farm records must cover ≥ 6 months		
Description of non-conformity: A. "Report of DO in dishcharge water" of settlement pond of pond 01 and 02, records from 27/04/2012 - 24/12/2012, but there is no records after this day until the audit date. The records of the settlement ponds 3 and 4 are not in place for inspection B. "Table of DO average" but the farm has not calculate the DO average.		
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)		
Status: OPEN		

No NC: 08	**Standard and Requirement: 3.4.1**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	
Description of requirement: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28] 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.		
Description of non-conformity: B. There is the records of sludge disposal with the volume of the wet slugde, but there is no weight of dried sludge as building the bund of ponds surrouding.		
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)		
Status: OPEN		

No NC: 09	**Standard and Requirement: 3.5.1**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	

Description of requirement: Evrdence of farm solid wastes being discharged into the natural environment b. During the on-site visit, arrange for the audit or to inspect the farm's solid waste management system. c. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate If there is a risk or potential for discharges.
Description of non-conformity: B. There are waste products around the farm C. The plan is implemented but not effect, there is still many rubbish and waste products in 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

No NC: 10	**Standard and Requirement: 3.5.3**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05//2014**	
Description of requirement: Evidence of chemical and medicine wastes being discharged into the natural environment b. During the on-site visit, allow the auditorto inspect the farm's management of chemical and medicinal wastes. c. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.		
Description of non-conformity: B. Medicine/chemical is not collect as plan. Workers use empty chemical containers for reusing C. The plan is not effectively implemented		
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)		
Status: OPEN		

No NC: 11	**Standard and Requirement: 7.2.1**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	
Description of requirement: Minimum age of workers d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.		
Description of non-conformity: D. No declaration stating that the farm is against child labor found		
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)		
Status: OPEN		

No NC: 12	**Standard and Requirement: 7.8.3**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	
Description of requirement: Minimum time off a. Ensure that all workers residing at the farm have the right to 2 nights off/week.		

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Description of non-conformity: A. No evidence that workers are ensured to have the right to 2 nights of/week
Corrective action request: It shall be guaranteed that this NC is corrected and corrective action(s) has/have been carried out on the causes of this NC to minimize recurrence
Evidence received, and analysis of corrections and corrective actions provided for NC closure: [only fill in case the NC can be closed during the audit)
Status: OPEN

No NC: 13	**Standard and Requirement: 7.13.2**	**Category: MINOR**
Date found: 22/05/2013	**Dead line for correction: 22/05/2014**	
Description of requirement: 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 b. Obtain signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).		
Description of non-conformity: b. It is found that not enough 50% of the people having received the p-SIA.list of people receiving P-SIA.		
Corrective action request: Keeping the transference to community to sure 50% of them can have p-SIA		
Evidence received, and analysis of corrections and corrective actions provided for NC closure: The minute of transference with the signature of community to show its 50%		
Status: CLOSED		
3.5 Attachments to this report		
3.7 Summary and conclusion		
Does the farm comply with ASC Pangasius standard?		
þ YES **□ NO**		
4. Valid period of Certificate		
Date of issue		
Date of expiry		
5. Determination of the start of the CoC		
Can the product enter further certified Chains of Custody and eligible to carry the ASC label?		
☑YES **□ NO**		
5. Approval of the assessment report by Client		
Date: 30/05/2013 Auditor : LE TRAN TRUONG THUY		Date: Company representative :

6. Review of the assessment report by the certifier	
Date: Certifier :	Comments:

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Signature:	