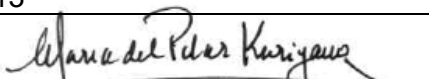


# ASC Audit Report

Tilapia  Pangasius Initial  Surveillance  Recertification 

|  |   |
|--|---|
| Name client  | HOANGLONG SEAFOOD PROCESSING COMPANY LIMITED - CAGES TILAPIA  |
| Client number  | 828974  |
| Name contact person  | Mr. NGUYEN QUOC NAM   |
| Address client   | Tan Cuong Village, Phu Cuong Hamlet, Tam Nong District, Dong Thap Province                            |
| Telephone, fax, e-mail   | +84 673 829978 - Fax Number: +84 673 829979<br>minhdat@hoanglongseafood.com<br>nguyennam146@gmail.com |
| Certificate code   |   |
| Date of issue of certificate                                       | 07-08/08/2013   |
| Date and length of audit   | 02 days   |
| Full name of the lead auditor:                                     | <b>Ms. LE TRAN TRUONG THUY</b>  |
| Name of auditor(s)   | Auditor: Ms. LE TRAN TRUONG THUY (Environmental part)<br>Auditor: Ms. LE ANH NGOC (Social part)       |
| Inspected unit (s)   | 01 unit - PRD 044196  |
| Number and % of members evaluated (in case of group certification) | N/A   |
| Issued by  | Control Union Peru SAC  |
| Address  | Av. Dos de Mayo 1205, San Isidro. Lima, Perú  |
| Telephone  | 00 51 1 7190400   |
| Fax  | 00 51 1 4217573   |
| Email  | info@cuperu.com   |
| Website  | www.cuperu.com  |
| Certifier  | Pilar Kuriyama  |
| Date   | 20-12-13  |
| 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, MSC CoC, 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 2.3. 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 farm was located at An Hoa village, An Hiep hamlet, Chau Thanh district with the receiving water of Tien river. The legally total length of cage is 3km. Being available now is about 1 km. The main species is black and red tilapia which are grown in cage.

The capacity of production is annually 10,000 tons for each species.

### 2.2 Summary

#### Scope:

Standard: ASC Tilapia standard V 1.0 April 2012

Specie: Black and red Tilapia, single site certification

Unit of certification: HOANG LONG Tilapia farm

Receiving water body: Tien river

RWRP: 10o17'.55" N; 105o48'.58" E

RWFO: 10o17'.49" N; 105o49'.58" E

RWFA: 10o17'.45" N; 105o49'.58" E

#### Summary of the report

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

#### **PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS**

The farm is located in Dong Thap. The company obeys the local regulation such as Environmental law and land lease and tax, labor laws

#### **PRINCIPLE 2: MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY**

During SD measurement from 01/06/2012 to 06/08/2013, SD is in the range of 12 cm and 75 cm. At the audit time, the auditor measures SD at 69 cm which is less than 10m and in the rage of farm's measurement. The farm has followed all this principle. The depth of river at cages is from 10 to 34m

#### **PRINCIPLE 3: CONSERVE WATER RESOURCES**

There is only 01 kinds of feed coming from HOANG LONG fed for Tilapia. By calculation, TP and TN input are 24.5kg (<27kg) and 489.91 kg respectively; TP and TN output are 17kg (<20kg) and 468.71 kg, respectively.



**PRINCIPLE 4: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS**

By verification during audit, the following of escape, transporting live, transgenic fish and predator control compliant with this principle such as escape record, no use GMO fish and no use of lethal predator control

**PRINCIPLE 5: USE RESOURCES RESPONSIBLY**

The fishmeal comes from by-product

**PRINCIPLE 6: MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER**

No use antibiotic and just use chemical such as vitamin and probiotic. The mortality has been recorded daily and the health management is based on Veterinarian health plan

**PRINCIPLE 7: BE SOCIALLY RESPONSIBLE**

There is no child labor, forced labor as well as discrimination. Workers can have freedom of association and right to collective bargaining, freely leave the farm when finishing their work.

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

**Summary of findings:**

Completing the audit, the farm has 03 Minor Non-conformities that need to be settled for the next surveillance audit in 2014. (see more details about findings in the audit result)

**2.3 Decision**

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

**2.4 Audit background**

**Author(s):** Le Tran Truong Thuy

**Audit dates:** 07-08/08/2013

**Report finished at:** 02-09-13

**Report reviewed at:** 20-12-13

**Date of the certification decision:** 26-12-13

**Persons involved in the audit:**

- Mr. DO NGOC SON – Technician
- Mr. NGUYEN QUOC NAM – Technician
- Employees of the farm
- Community interviewed: Mrs. Trần Thu phượng, Mr. Mai Văn Tâm, Mrs. Trần Thị Hai

**Stakeholder participation:** No comments from stakeholders received before the audit.

**Previous Audits (if applicable):** N/A

**Other activities:**

ASC audit announcement date: 01-07-13

Stakeholders consultation opened: 31-07-13

Pre-audit checklist information desk review: 02/08/2013

**2.5 Scope**

ASC Tilapia standard version 1.0 April 2012

Species: Black and red Tilapia



**Scope of audit:**

| <i>Production Unit name</i> | <i>Production Unit number (assigned by CUSI)</i> | <i>Address and geographical positions</i>   | <i>Receiving water body</i> |
|-----------------------------|--|---|-----------------------------|
| HOANG LONG TILAPIA farm     | PRD 044196                                       | Address: An Hoa village, An Hiep hamlet, Chau Thanh district<br>GPS coordinates:<br>RWRP: 10o17'.55" N; 105o48'.58" E<br>RWFO: 10o17'.49" N; 105o49'.58" E<br>RWFA: 10o17'.45" N; 105o49'.58" E | <i>Tien river</i>           |

**Receiving water body:**

The characteristics of Tien river is the natural water body where inlet and outlet of Tilapia and also as an attachment send the satellite images or map of the farm and receiving water body

**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 can know which the processing unit fish is transported to. Currently, there is no fish selling to other processing units with the exception of HOANG LONG SEAFOOD PROCESSING COMAPNY (processing plant) – the same legality. Besides, HOANG LONG SEAFOOD PROCESSING COMAPNY has only one tilapia farm which is on the ASC certification route.
- Use of transshipment: The farm has been using transport living trucks in order to transport to the processing unit (by using net to catch the fish from ponds into container putted in the trucks)
- Eligible operators and point(s) of landing: Using transport living trucks for fish and there is only one point of harvesting at this farm to the HOANG LONG SEAFOOD PROCESSING COMAPNY 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 (HOANG LONG TILAPIA farm)
- 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 HOANG LONG SEAFOOD PROCESSING COMAPNY.

**2.7 Evaluation results**

See audit checklist attached to this report.

**2.8 Non-conformity report(s)**

Please see the audit result attached to this report

Comments:

Name and signature of authorized representative:

Position:

Date:



|  |   |  |   |           |         |          |
|--|---|--|---|-----------|---------|----------|
| <b>ASC audit checklist</b><br>ASCASS-TIL.F01(01) |   |  Control Union Certifications<br>Member of Control Union World Group  |   |           |         |          |
| <b>Reportnumber:</b>                             | <b>828974.ASC.2013.01.LTTT</b>  |  |   |           |         |          |
| <b>1.1 Client contact data</b>                   |   |  |   |           |         |          |
| CUC number:                                      | 828974  |  |   |           |         |          |
| Company name:                                    | <b>HOANGLONG SEAFOOD PROCESSING COMPANY LIMITED - CAGES TILAPIA</b>                     |  |   |           |         |          |
| Contact person:                                  | Mr. NGUYEN QUOC NAM   |  |   |           |         |          |
| Address:   | Tan Cuong Village, Phu Cuong Hamlet, Tam Nong District, Dong Thap Province              |  |   |           |         |          |
| Postal code:                                     |   |  |   |           |         |          |
| City:  | CAO LANH  |  |   |           |         |          |
| Country:   | VIETNAM   |  |   |           |         |          |
| Telephone number:                                | +84 673 829978 - Fax Number: +84 673 829979   |  |   |           |         |          |
| e-mail:  | nguyennam146@gmail.com  |  |   |           |         |          |
| <b>1.2 Audit information</b>                     |   |  |   |           |         |          |
| Date of last external audit:                     | N/A   |  |   |           |         |          |
| Audit date:                                      | 29-30/01/2013   |  |   |           |         |          |
| Full name of the lead auditor:                   | Ms. LE TRAN TRUONG THUY   |  |   |           |         |          |
| Audit team:                                      | Auditor: LE TRAN TRUONG THUY (Environmental part)<br>Auditor: LE ANH NGOC (Social part) |  |   |           |         |          |
| Type audit :                                     | <b>Announced</b> / Unannounced <b>Initial</b> / Surveillance / Recertification          |  |   |           |         |          |
| <b>1.3 Scope of ASC</b>                          |   |  |   |           |         |          |
| Scope:   | Standard Version: 01  |  | Specie: TILAPIA – <i>Oreochromis niloticus</i> and Red Tilapia – <i>Oreochromis hybrids</i> |           |         |          |
| <b>Production units</b>                          |   |  |   |           |         |          |
|  | Production Unit name  | Address and GPS coordinates  | Receiving water body  | City      | Country | Products |
| F-01   | Hoang Long Tilapia Farm   | Address : An Hoa village, An Hiep hamlet, Chau Thanh district<br>GPS coordinates:<br>RWRP: 10o17'.55" N; 105o48'.58" E<br>RWFO: 10o17'.49" N; 105o49'.58" E<br>RWFA: 10o17'.45" N; 105o49'.58" E | Tien river  | Dong Thap | Vietnam | Tilapia  |
| <b>Changes since last audit</b>                  |   |  |   |           |         |          |

|   |  |
|---|--|
| N/A – The first audit                                     |  |
| <b>1.4 Other information</b>                              |  |
| Brand name of the company:                                | HOANG LONG   |
| Mention other existing certification schemes of licensee: | No   |
| Lead Auditor : LE TRAN TRUONG THUY                        | Company representative : CHAU MINH DAT – General Manager |
| signature   | signature  |

| 2. ASSESMENT OF ASC TILAPIA STANDARDS  |   |            |   |
|--|---|------------|---|
| Scope: Species of the Family Cichlidae commonly referred as Tilapia ( <i>Oreochromis niloticus</i> , <i>O. mossambica</i> , <i>O. aureus</i> and <i>O. hybrids</i> ) |   |            |   |
| Indicator  | Compliance  | COMMENTS   |   |
| PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS   |   |            |   |
| 1.1  | <i>Evidence of legal compliance</i>   | YES-NO-n/a | <b>Replace the compliance criteria with the audit findings and comments</b>   |
| 1.1.1  | Presence of documents proving compliance with local and national authorities on land and water use (e.g., permits, evidence of lease, concessions and rights to land and/or water use)<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide | YES        | <ul style="list-style-type: none"> <li>- All documents related to land ownership and surface lend</li> <li>- Water quality – Fresh water quality guidelines for protection of aquatic life's</li> <li>- The water analysis result M2070113-18 on 22/01/2013</li> <li>- Land law of Vietnam government</li> <li>- Environmental Protection Project– The deputy of Resource and environment Department</li> <li>- Water analytical result no. M2070113-18on 22/01/2013</li> </ul> |
| 1.1.2  | Presence of documents proving compliance with all tax laws<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES        | <ul style="list-style-type: none"> <li>- The income, added value and non-agriculture using tax payment by Hoang Long + No. 819/TCT-CS on 14/03/2013 ref. free tax for water resource using in Aquaculture</li> <li>+ No. 1310/TB-CT-KK&amp;KTT on 17/07/2013</li> </ul>   |
| 1.1.3  | Presence of documents proving compliance with all labor laws and regulations<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES        | <ul style="list-style-type: none"> <li>- Checked the labour contract which is followed to 21/2003/TT-BLĐTBXH on 22/09/2003 of Ministry of labour – Invalids and social affairs</li> <li>- Labor law no. 10/2013/QH13 on 18/06/2012</li> </ul>   |
| 1.1.4  | Presence of documents proving compliance with regulations or permits concerning water quality impacts.<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES        | <ul style="list-style-type: none"> <li>- 1.1.1</li> </ul>   |
| 2  | MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY   |            |   |
| 2.1  | <i>Site information</i>   |            |   |
| 2.1.1  | Site location, history and stewardship activities matrix located in Appendix 1, Table 1 is completed and validated<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES        | <ul style="list-style-type: none"> <li>- The Audit Reference 2 was submitted to CB on 31/07/2013</li> <li>- The Receiving Water Information Checklist in Audit Reference 2 (Table 1 in Appendix 1 of the Standard) is completed and complied with this point</li> <li>- Checked the analysis results by VILAS 278</li> </ul>  |

|   |   |     |  |
|---|---|-----|--|
| 2.2   | <i>Presence of natural or established tilapia species</i>   |     |  |
| 2.2.1   | Demonstration that the tilapia species cultured is established <sup>[1]</sup> and naturally reproducing in the receiving waters <sup>[2]</sup> , of the operation on or before 1 January 2008 <sup>[3]</sup><br><b>Requirement:</b> Yes<br><b>Applicability:</b> All farm locations outside Africa (see 2.2.2), Farm-Wide | YES | <ul style="list-style-type: none"> <li>- Oreochromis niloticus was introduced in Vietnam 1973 with the links for reference</li> <li>+ <a href="http://www.fao.org/docrep/007/y5728e/y5728e04.htm">http://www.fao.org/docrep/007/y5728e/y5728e04.htm</a></li> <li>+ <a href="http://ns1.mrcmekong.org/Catch-Culture/vol15_3Dec09/selective-tilapia-breeding.htm">http://ns1.mrcmekong.org/Catch-Culture/vol15_3Dec09/selective-tilapia-breeding.htm</a></li> <li>- Oreochromis spp. :</li> <li>+ Fisheries Research and Development in the Mekong Region – Volume 15, No. 3, December 2009</li> </ul> |
| <p><sup>[1]</sup> “A non-indigenous species is considered established if it has a reproducing population within the basin, as inferred from multiple discoveries of adult and juvenile life stages over at least two consecutive years. Given that successful establishment may require multiple introductions, species are excluded if their records of discoveries are based on only one or a few non-reproducing individuals whose occurrence may reflect merely transient species or unsuccessful invasions.” (National Oceanic and Atmospheric Administration)</p> |   |     |  |
| <p><sup>[2]</sup> “Receiving water” is defined as all distinct bodies of water that receive runoff or waste discharges, such as streams, rivers, ponds, lakes and estuaries (adapted from World Health Organization). This does not include farm-constructed water courses, impoundments or treatment facilities (settling ponds, oxidation lagoons, compost pits, etc).</p>  |   |     |  |
| <p><sup>[3]</sup> Where there are no-discharge systems, or no discharge from farm into receiving waters, standards 2.2.1 and 2.2.2 are not applicable.</p>  |   |     |  |
| 2.2.2   | In Africa, demonstration that the tilapia species and strain cultured is established and naturally reproducing in the receiving waters of the operation on or before 1 January 2008<br><b>Requirement:</b> Yes<br><b>Applicability:</b> Farms located in Africa only (see 2.2.1), Farm-Wide                               | N/A | <ul style="list-style-type: none"> <li>- The cages are located in Dong Thap with the receiving water of Tien river in Vietnam – Asia</li> </ul>  |
| 2.3   | <i>The effects of eutrophication</i>  |     |  |
| 2.3.1   | The percent change in diurnal dissolved oxygen of receiving waters relative to dissolved oxygen at saturation for the water’s specific salinity and temperature<br><b>Requirement:</b> ≤ 65%<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | <ul style="list-style-type: none"> <li>- The DDO data collected from June 2012 until now which is in the range of 7.53-28.15% &lt;65%</li> <li>- Equipment calibration is made for each time of measurement.</li> <li>- Measurement is</li> <li>+ 5:00-5:30 a.m: To=26.5oC; DO=7.8mg/L; So/oo: 0.01%;</li> <li>+ 4:00pm-5pm: To: 27.5oC; DO: 8.1mg/L; So/oo: 0.01%</li> </ul> <p>DDDO is 28.07% which is in the range</p>  |
| 2.4   | <i>Water quality in oligotrophic receiving waters</i>   |     |  |
| 2.4.1   | Secchi disk visibility <sup>[4]</sup> limit above which production is not certifiable<br><b>Requirement:</b> 10 meters<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | <ul style="list-style-type: none"> <li>- SD data is collected from 07/01/12 to 05/08/2013</li> <li>- The depth of RWFA is more than 23m (chứng minh bằng tài liệu rõ hơn) SD is min 12 cm and max 75cm.</li> <li>- At the audit: SD=14cm &lt;10m</li> </ul>  |



|   |  |     |   |
|---|--|-----|---|
| 2.4.2   | Compliance with standards 2.4.3. & 2.4.4. when Secchi disk visibility <sup>[4]</sup> ≤ 5.0 meters<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | - SD is min SD is min 12 cm and max 75cm<br>- At the audit: SD=14cm <10m  |
| 2.4.3   | Total phosphorus concentration limit in receiving waters <sup>[4]</sup><br><b>Requirement:</b> ≤ 20 µg/L<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | - SD is min SD is min 12 cm and max 75cm<br>- At the audit: SD=14cm <10m  |
| 2.4.4   | Chlorophyll a concentration limit in receiving waters <sup>[4]</sup><br><b>Requirement:</b> ≤ 4.0 µg/L<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | - SD is min SD is min 12 cm and max 75cm<br>- At the audit: SD=14cm <10m  |
| <sup>[4]</sup> Measurements shall be taken at the Receiving Water Farm Afar (RWFA) sampling station. See Appendix II for RWFA definition.   |  |     |   |
| 2.5   | <i>Receiving water monitoring</i>  |     |   |
| 2.5.1   | Receiving water quality monitoring matrix completed and validated (Appendix II)<br><b>Requirement:</b> Yes (6 months data, pre-audit, required)<br><b>Applicability:</b> All Farms, Farm-Wide                                  | YES | - The appendix II is in place (attachment) from Jan 2013 to July 2013. - Verified the equipment calibration for Mr. NGUYEN QUOC NAM. VILAS 412; 594<br>- The auditor took the samples and sent to the laboratory. The results are on 12/08/2013 for RWRP1-2; RWFA1-2, RWFO1-2. The lab. Name is Hoang Long (Chlorophyll-a) and Intertek (Turbidity, Conductivity, Phosphat and Ammonia Nitrogen) with VILS 594 and VILAS278 |
| 2.6   | <i>Wetland conservation</i>  |     |   |
| 2.6.1   | Hectares of allowable wetland <sup>[5]</sup> conversion since 1999 <sup>[6]</sup><br><b>Requirement:</b> 0 ha<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | 1.1.1   |
| <sup>[5]</sup> "Wetland is defined as lands where saturation with water is the dominant factor determining the nature of soil development and the types of plant and animal communities living in the soil and on its surface." (United States Environmental Protection Agency) |  |     |   |
| <sup>[6]</sup> The year Ramsar contracting parties adopted strategic framework for the development of the Ramsar List   |  |     |   |
| 3   | CONSERVE WATER RESOURCES   |     |   |
| 3.1   | <i>Nutrient utilization efficiency</i>   |     |   |
| 3.1.1   | The total amount of phosphorus added to the culture system per metric ton of fish produced per year. Use equations from Appendix III.<br><b>Requirement:</b> ≤ 27 kg<br><b>Applicability:</b> All Farms, Unit of Certification | YES | - All invoice are in place from 01/06/2012 to 06/08/2013<br>- The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system)<br>- The letter of the feed manufacturer states phosphorus and protein of Hoang Long fee manufacturer.  |

|       |   |     |  |
|-------|---|-----|--|
|       | Only  |     | <ul style="list-style-type: none"> <li>- Nutrient budget worksheet (audit reference 8): TP input = 24.5kg&lt;27kg</li> </ul>   |
| 3.1.2 | <p>The total amount of phosphorus released from the culture system per metric ton of fish produced per year. Phosphorus loading will be either calculated using equations from Appendix III or measured in effluent if there is post-culture treatment.</p> <p><b>Requirement:</b> ≤ 20 kg</p> <p><b>Applicability:</b> All farms, Unit of Certification Only</p> | N/A | <ul style="list-style-type: none"> <li>- The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system)</li> <li>- The letter of the feed manufacturer states phosphorus and protein of Hoang Long feed manufacturer.</li> <li>- Nutrient budget worksheet (audit reference 8): TP output = 17kg&lt;20kg</li> </ul> |
| 3.1.3 | <p>Calculation and verification of the total amount of nitrogen applied to the culture system. Use equations from Appendix III.</p> <p><b>Requirement:</b> Measured in kg nitrogen/mt fish/year</p> <p><b>Applicability:</b> All Farms, Unit of Certification Only</p>  | YES | <ul style="list-style-type: none"> <li>- The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system)</li> <li>- Nutrient budget worksheet (audit reference 8): TN input = 489.91kg</li> </ul>  |
| 3.1.4 | <p>Calculation and verification of the total amount of nitrogen released from the farming activity. Use equations from Appendix III.</p> <p><b>Requirement:</b> Measured in kg nitrogen/mt fish/year</p> <p><b>Applicability:</b> All Farms, Unit of Certification Only</p>   | YES | <ul style="list-style-type: none"> <li>- The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system)</li> <li>- Nutrient budget worksheet (audit reference 8): TN output = 468.71kg</li> </ul>   |
| 3.2   | <i>Groundwater salinization</i>   |     |  |

|       |   |     |  |
|-------|---|-----|--|
| 3.2.1 | <p>Percent change in specific conductance of freshwater from a drilled well at the time of drilling and the time of audit. This is required when freshwater wells are used in combination with brackish surface water for the culture of tilapia. Freshwater aquifers are defined as having a specific conductance less than 1,300 µS/cm.</p> <p><b>Requirement:</b> ≤ 10 %<br/> <b>Applicability:</b> Only farms where brackish water is used for tilapia culture, Farm-Wide</p> | N/A | - <i>Not applicable</i>  |
| 4     | CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS   |     |  |
| 4.1   | <i>Escapes from aquaculture facilities</i>  |     |  |
| 4.1.1 | <p>Presence of net mesh or grills/screens, barriers on inlets and outlets of culture vessels (e.g., tanks, ponds and raceways), and mesh on all netted confinement units (e.g., cages and impoundments), appropriately sized to retain the stocked fish</p> <p><b>Requirement:</b> Yes<br/> <b>Applicability:</b> All Farms, Farm-Wide</p>  | YES | - Inspected the net mesh, screen and barrier: the size is appropriate; 2cm, the size of net avoiding feed escape 2mm |
| 4.1.2 | <p>Presence of net mesh, or grills/screens and permanent barrier inspection register recording dates, findings and actions taken, including mitigation or fish containment structure repairs</p> <p><b>Requirement:</b> Yes<br/> <b>Applicability:</b> All Farms, Farm-Wide</p>   | YES | - Net inspection form recorded and kept from the beginning of 01/06/2012 until now                                   |
| 4.1.3 | <p>Presence of trapping devices placed in effluent/drainage canals or in between cages to sample for escapees, and a record of findings and actions taken</p> <p><b>Requirement:</b> Yes<br/> <b>Applicability:</b> All Farms, Farm-Wide</p>  | YES | <ul style="list-style-type: none"> <li>- Escapee avoiding procedure.</li> <li>- The record is available</li> </ul>   |
| 4.1.4 | <p>In cage culture systems, the minimum distance between the bottom of the cage and the bottom of the receiving waters where the cage is placed</p> <p><b>Requirement:</b> ≥ 3.0 m<br/> <b>Applicability:</b> Cage systems only, Farm-Wide</p>  | Yes | - The depth of river at cages is from 10m to 34 m  |

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| 4.1.5  | The minimum percentage of males or sterile fish in a culture unit<br><b>Requirement:</b> 95 %<br><b>Applicability:</b> Land-based systems only, Farm-Wide             | N/A | - Cage   |
| 4.2  | <i>Transporting live tilapia</i>  |     |  |
| 4.2.1  | Presence and evidence of use of fish transport containers that have no escape path for fish<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | - Checked the containers, no escape paths for live fish transported to the farm and from the farm.   |
| 4.3  | <i>Transgenic fish</i>  |     |  |
| 4.3.1  | Allowance for the culture of transgenic tilapia<br><b>Requirement:</b> No (None allowed)<br><b>Applicability:</b> All Farms, Farm-Wide                                | YES | - Aquaculture quarantine certificate 460/2012/CN-KDTS on 14/09/2012<br>- The confirmation of freshwater Aquaculture breeding Center of Southern part<br>- Tilapia seedling collection certificate PR017 on 01/01/2012 and red tilapia 05102/CN-KDTS<br>- Tilapia seedlings purchasing contract; Red tilapia no 04/HĐ-TTQGGTSNNB<br>- Non-GMO quarantine commitment |
| 4.4  | <i>Predator control</i>   |     |  |
| 4.4.1  | Use of lethal <sup>[7]</sup> predator control<br><b>Requirement:</b> No (None allowed)<br><b>Applicability:</b> All Farms, Farm-Wide                                  | YES | - No use lethal predator controls.   |
| <sup>[7]</sup> The use of lethal predator control is prohibited, unless a predator becomes impinged in netting and is required to be euthanized. |   |     |  |
| 4.4.2  | Mortality of IUCN Red Listed species<br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | - The IUCN red list of Ben Tre is available. However, No have mortality of IUCN red listed species in the farm   |
| 5  | USE RESOURCES RESPONSIBLY   |     |  |
| 5.1  | <i>Use of wild fish for feed (fishmeal and oil)</i>   |     |  |
| 5.1.1  | Feed Fish Equivalence Ratio (FFER).See Appendix IV for feed calculations.<br><b>Requirement:</b> ≤ 0.8<br><b>Applicability:</b> All Farms, Unit of Certification Only | YES | - The letter of Hoang Long feedmill.<br>- Testing result about fish meal analysis<br>- No need to calculate FFER because of using by-products  |

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| 5.1.2 | <p>Allowance for the use of fishmeal and fish oil in tilapia feed containing products from fisheries that are listed on the IUCN's Red List or the species list maintained by the Convention on the International Trade of Endangered Species of Wild Fauna and Flora<br/> <b>Requirement:</b> None<br/> <b>Applicability:</b> All Farms, Unit of Certification Only</p>              | YES | <ul style="list-style-type: none"> <li>- The letter of Hoang Long feedmills</li> <li>- Checked CITES and IUCN: no species in the list</li> </ul>  |
| 5.1.3 | <p>Timeframe for producers to source feed containing fishmeal or fish oil originating from fisheries deemed sustainable by an ISEAL member's accredited certification scheme<br/> <b>Requirement:</b> 5 years following the date of ISRTA publication<br/> <b>Applicability:</b> All Farms, Unit of Certification Only</p>  | N/A | <ul style="list-style-type: none"> <li>- Not applicable in this time</li> <li>- The letter of feed suppliers</li> </ul>   |
| 5.1.4 | <p>Prior to achievement of 5.1.3, the average FishSource score characterizing the fishery(ies) from which the fishmeal or fish oil is derived. See Appendix V for explanation of FishSource scoring.<br/> <b>Requirement:</b> ≥ 6.0 with no individual score &lt; 6.0 or an N/A in the stock assessment category<br/> <b>Applicability:</b> All Farms, Unit of Certification Only</p> | N/A | <ul style="list-style-type: none"> <li>- Not applicable because of use by-products from panagsius</li> <li>- The letter of Hoang Long feedmills</li> </ul>  |
| 5.2   | <i>Preference for better feed manufacturers</i>   |     |   |
| 5.2.1 | <p>Timeframe for producers to provide evidence of preferential sourcing of feed products from feed manufacturers that have a sustainable sourcing policy for feed ingredients, and traceability of feed ingredients<br/> <b>Requirement:</b> 2 years following the date that the ISRTA are published<br/> <b>Applicability:</b> All Farms, Unit of Certification Only</p>             | YES | <ul style="list-style-type: none"> <li>- The list of feed suppliers in the audit reference 1</li> <li>- Checked the letter of HOANG LONG feedmill and the feedback of HOANG LONG TILAPIA FARM.</li> </ul> |

|  |   |     |   |
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| 5.3  | <i>Energy use</i>   |     |   |
| 5.3.1  | Identification of the energy sources and calculation and verification of total energy used at the culture facility<br><b>Requirement:</b> Measured in kilojoules/mt fish/year<br><b>Applicability:</b> All Farms, Farm-Wide | YES | - Energy budget worksheet completed (Audit Reference 10) is completed (the attachment). The total energy used is 163177.1922 kilojoules/mt fish)  |
| 6  | MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER   |     |   |
| 6.1  | <i>Stocked tilapia recovery</i>   |     |   |
| 6.1.1  | Percent recovery <sup>[8]</sup> of fish stocked in production stages after they have attained a size of 100 grams<br><b>Requirement:</b> ≥ 65<br><b>Applicability:</b> All Farms, Unit of Certification Only                | YES | - The data from 01-06-12 to 06-08-2013<br>- Checked the calculation, the percent recovery of fish stocked in production stages is average 97.43% which complies with the requirement  |
| <sup>[8]</sup> Recovery does not include recruitment of tilapia resulting from reproduction within the culture system. |   |     |   |
| 6.2  | <i>Chemicals</i>  |     |   |
| 6.2.1  | Allowance for the use of chemicals and therapeutants for disease and pest control that are banned in the importing or producing country<br><b>Requirement:</b> None<br><b>Applicability:</b> All Farms, Farm-Wide           | YES | - The list is updated on 08/2013 with contact information<br>- List of all countries where product has been exported: 1471/QĐ-BNN-QLCL on 20/06/2012<br>- List of banned substances for producing and exporting country and authoritative or regulating body in producing country (contact information required): 1471/QĐ-BNN-QLCL on 20/06/2012<br>- Only use chemical (nutrition and probiotic) |
| 6.2.2  | Allowance for the prophylactic use of antibiotics, prior to any evidence of a disease problem<br><b>Requirement:</b> None<br><b>Applicability:</b> All Farms, Farm-Wide   | N/A | - No use antibiotic   |
| 6.2.3  | Minimum hold time required before any water in which fish have been fed with feed containing methyl or ethyl testosterone can be released<br><b>Requirement:</b> ≥ 48 hours<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | - All seedling come from Hoang Long hatchery which is reproduced naturally with no use reproduction hormone   |

|       |   |     |  |
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| 6.2.4 | Health records proving all therapeutants were used or are being used as prescribed by a veterinary or accredited fish health professional<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | <ul style="list-style-type: none"> <li>- Record of the use of chemical</li> <li>- Input and output volume of chemical (nutrition and probiotic)</li> </ul> |
| 6.2.5 | Calculation and verification of the total amount of each antibiotic (active ingredient) used per mt fish produced per year.<br><b>Requirement:</b> Measured in kilograms of active ingredient of individual antibiotic/mt of fish produced/year<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | <ul style="list-style-type: none"> <li>- No use antibiotic</li> </ul>  |
| 6.3   | <i>Mortalities</i>  |     |  |
| 6.3.1 | Presence of records demonstrating that fish mortalities are removed consistently on a minimum daily basis<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Unit of Certification Only   | YES | <ul style="list-style-type: none"> <li>- The farm diary records</li> <li>- The dead fish records</li> </ul>  |
| 6.3.2 | Evidence proving acceptable disposal of dead fish, (i.e., landfill receiving receipts, sales receipts, permits or approvals for onsite burial, and assurance if converted to animal meals not destined for the culture of tilapia)<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | <ul style="list-style-type: none"> <li>- Disposal procedure of dead and burying fish</li> </ul>  |
| 6.4   | <i>Fish health management</i>   |     |  |
| 6.4.1 | Presence and evidence of implementation of a fish health plan that is site-specific and contains effective methods for 1) Protecting the farm from introduction of pathogens, 2) Preventing the spread of pathogens within the farm and to the receiving waters and 3) Reducing the potential for development of disease resistance by ensuring responsible therapeutant use<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide | YES | <ul style="list-style-type: none"> <li>- Fish health management Plan is in place</li> </ul>  |






| Social requirements of this Standard shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1. (See ASC Farm Certification and Accreditation Requirements)   |  |     |   |
|---|--|-----|---|
| 7   | BE SOCIALLY RESPONSIBLE  |     |   |
| 7.1   | <i>Child labor</i>   |     |   |
| 7.1.1   | Number of incidences of child <sup>[9]</sup> labor <sup>[10]</sup><br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> AllFarms, Farm-Wide                          | Yes | <ul style="list-style-type: none"> <li>- Verified the time schedule regulation dated 02/01/2013</li> <li>- Verified the employee record and found no children or young labor.</li> <li>- No have immigrant labor</li> </ul>   |
| <sup>[9]</sup> A "child" is defined as any person less than 15 years of age. A higher age would apply if the minimum age law stipulates a higher age for work or mandatory schooling. If, however, the local minimum age law is set at 14, in accordance with developing country exceptions under ILO Convention 138, the lower age will apply.   |  |     |   |
| <sup>[10]</sup> "Child labor" is defined as any work by a child younger than the age specified in the definition of a child, except for light work as provided for by ILO Convention 138, article 7.  |  |     |   |
| 7.2   | <i>Forced, bonded, compulsory labor</i>  |     |   |
| 7.2.1   | Number of incidences of forced <sup>[11]</sup> , bonded <sup>[12]</sup> or compulsory labor<br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> AllFarms, Farm-Wide | YES | <ul style="list-style-type: none"> <li>- Verified labor contracts of workers;</li> <li>- Contracts of workers and found that it is compliance.</li> <li>- Time is regulated 08 hour /day</li> <li>- Interview workers said that no withhold employee's original identity papers</li> <li>- Interview workers said that no withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer</li> </ul> |
| <sup>[11]</sup> "Forced (compulsory) labor" is defined as 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 (e.g., withholding of identity documents).                     |  |     |   |
| <sup>[12]</sup> "Bonded labor" is defined as when a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.   |  |     |   |
| 7.3   | <i>Discrimination in the work environment</i>  |     |   |
| 7.3.1   | Number of incidences of discrimination <sup>[13]</sup><br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> AllFarms, Farm-Wide                                      | YES | <ul style="list-style-type: none"> <li>- Anti-discrimination policies dated 02/01/2013 is available.</li> <li>- Through interview and found that no evidence of interfering with the rights of personnel</li> <li>- Company has a policy in place protecting pregnant and lactating mothers policy of protecting pregnant and lactating mothers dated 02/01/2013</li> <li>- Anti-discrimination policies dated 02/01/2013 is available.</li> </ul>                    |
| <sup>[13]</sup> "Discrimination" is defined as any distinction, exclusion, or preferences, which has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion, or preference constitutes discrimination. For instance, a merit- or performance-based pay increase or bonus is not by itself discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries. |  |     |   |

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| 7.3.2 | Evidence of proactive anti-discrimination practice<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | No  | <ul style="list-style-type: none"> <li>- Anti-discrimination policies dated 02/01/2013 is available.</li> <li>- Training record dated 18/01/2013 has been verified. However, when Interview and found that the internal training on diversity and non-discrimination is not effective</li> </ul>   |
| 7.4   | <i>Health and safety of workers</i>   |     |  |
| 7.4.1 | Percentage of workers trained in health and safety practices/ procedures/ policies<br><b>Requirement:</b> 100 %<br><b>Applicability:</b> All Farms, Farm-Wide   | No  | <ul style="list-style-type: none"> <li>- There is a list of Hazard identification and risk assessment dated 10/01/2013. However, it is not available to employees</li> <li>- Health and safety training for all employees conducted on 18/01/2013</li> <li>- chemicals are stored properly (Prozyme and Aqua-C)</li> </ul>   |
| 7.4.2 | Percentage of health- and safety-related accidents and violations recorded and mitigated through corrective actions.<br><b>Requirement:</b> 100 %<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | <ul style="list-style-type: none"> <li>- Accident monitoring logbook -2013</li> <li>- No serious accident occurs</li> <li>- The training is provided. Training record dated 18/01/2013</li> </ul>  |
| 7.4.3 | Employer responsibility and proof of insurance (accident/ injury) for employee costs in a job-related accident or injury when not covered under national law<br><b>Requirement:</b> 100 %<br><b>Applicability:</b> All Farms, Farm-Wide | YES | <ul style="list-style-type: none"> <li>- List of receiving insurance dated 21/03/2013; insurance card of workers</li> </ul>  |
| 7.5   | <i>Wages, overtime and working hours</i>  |     |  |
| 7.5.1 | The percentage of employees who are paid fair and decent wages.<br><b>Requirement:</b> 100 %<br><b>Applicability:</b> All Farms, Farm-Wide  | NO  | <ul style="list-style-type: none"> <li>- Anti-discrimination policies dated 02/01/2013 is available.</li> <li>- Circular 103/2012/ND-CP dated 04/12/2012 by government: Châu Thành District, Đồng Tháp Province is belonging to area 4= 1.650.000 VND/month.</li> <li>- Labor conflict resolution procedure ASC/QT7 dated 02/01/2013</li> <li>- The minimum salary regulated by company is 1.750.000 VND/month</li> <li>- Basic needs wages has been assessed by company dated 26/03/2013</li> </ul> |

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| 7.5.2   | Incidences of abuse of working hours and/or overtime laws<br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | <ul style="list-style-type: none"> <li>- Discipline procedure dated 02/01/2013</li> <li>- Verified pay slip of workers –June 2013 and found that Wage and benefits are clearly articulated and pay in cash.</li> <li>- No training contract is applied</li> <li>- Salary policy ASC-BM46 dated 02/01/2013</li> <li>- 48 hours/week as regulated by Vietnam Labour law</li> <li>- 01 alternative day off per week</li> <li>- Premium is 1.5 for overtime; 2.0 for Sunday and 3.0 for holiday</li> <li>- All are voluntary</li> </ul> |
| <p><sup>[14]</sup> Labor-only contracting arrangement: The practice of hiring workers without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections</p>               |  |     |   |
| <p><sup>[15]</sup> False Apprenticeship Scheme: The practice of hiring workers under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a “false” apprenticeship if its purpose is to underpay people, avoid legal obligations, or employ children</p> |  |     |   |
| 7.6   | Freedom of association and right to collective bargaining  |     |   |
| 7.6.1   | Incidences of employees denied freedom to associate, ability to bargain collectively <sup>[16]</sup> or denied access to representative(s) chosen by workers<br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> All Farms, Farm-Wide | YES | <ul style="list-style-type: none"> <li>- Labor collective bargain dated 27/06/2013.</li> <li>- Mr. Nguyen Thanh Nam confirm that no outstanding cases against the employer for violations</li> <li>- Reputed in collective bargain dated 27/06/2013. Quarterly meeting conducted. Recent meeting dated on 18/06/2013</li> <li>- Quarterly meeting conducted</li> </ul>  |
| <p><sup>[16]</sup> “Bargain collectively” is defined as a voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.</p>  |  |     |   |
| 7.7   | Disciplinary Actions   |     |   |
| 7.7.1   | Incidences of abusive disciplinary actions<br><b>Requirement:</b> 0 (zero)<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | <ul style="list-style-type: none"> <li>- Forced labor policy dated 02/01/2013</li> <li>- Discipline procedure dated 02/01/2013</li> </ul>   |
| 7.7.2   | Evidence of non-abusive disciplinary policies and procedures<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide  | YES | <ul style="list-style-type: none"> <li>- Discipline procedure dated 02/01/2013</li> </ul>   |
| 7.8   | Action response plans/policies   |     |   |

|        |  |     |   |
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| 7.8.1  | Evidence of implementation of a corrective action plan (updated annually) that addresses unintended problems associated with labor relations and internal monitoring of labor activities.<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | N/A | - Not applicable  |
| 7.8.2  | Evidence of implementation of an emergency action plan and annual (or more frequent) internal monitoring activities<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | - Incident management procedure ASC/QT7 dated 02/01/2013<br>- Training record dated 18/01/2013  |
| 7.8.3  | Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from employees are responded to within three months after being received.<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide | YES | - Labor conflict resolution procedure ASC/QT7 dated 02/01/2013 and not any conflict occurs.<br>- Not applicable<br>- No record<br>- Meeting for employees dated 18/01/2013                      |
| 7.9    | <i>Living conditions for employees</i>   |     |   |
| 7.9.1  | Evidence that living conditions are clean, sanitary and safe for habitation<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | NO  | - No evidence that the using water of 2013 has been sent to test 1/year as required by QCVN 02-2009/BYT<br>- The waste is controlled by dustbin<br>- Not applicable<br>- A brick house is built |
| 7.10   | <i>Community relations and interaction</i>   |     |   |
| 7.10.1 | Evidence that farms are not inhibiting or restricting local community access to public land, freshwater resources or public fishing grounds<br><b>Requirement:</b> Yes<br><b>Applicability:</b> All Farms, Farm-Wide   | YES | - Interview the neighbor: Mrs. Trần Thu phương, Mr. Mai Văn Tâm, Mrs. Trần Thị Hai and no blocked access to public property or public natural resources occur.                                  |

|               |  |            |  |
|---------------|--|------------|--|
| <p>7.10.2</p> | <p>Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from communities are responded to within three months after being received<br/> <b>Requirement:</b> Yes<br/> <b>Applicability:</b> All Farms, Farm-Wide</p> | <p>YES</p> | <ul style="list-style-type: none"> <li>- Labor conflict resolution procedure and not any conflict occurs.</li> <li>- Not applicable</li> <li>- List of receiving the impact of community conflict resolution policy</li> <li>- Report of impact of the farm activities confirmed by Dong Thap</li> </ul> |
|---------------|--|------------|--|

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| <b>ASC audit checklist</b><br>ASCASS-TIL.F01(01)                                    |  |  Control Union Certifications<br>Member of Control Union World Group |
| Report number:  | 828974.ASC.2013.01.LTTT  |   |
| <b>3. Summary and Conclusion</b>  |  |   |
| <b>3.1 List of non-conformities</b>   |  |   |
| <b>ASC Tilapia standard Item</b>  | <b>Description (major NC or Minor NC and findings)</b>   |   |
| 7.3.2.b   | <i>Training record dated 18/01/2013 has been verified. However, when Interview and found that the internal training on diversity and non-discrimination is not effective</i> |   |
| 7.4.1.a   | <i>There is a list of Hazard identification and risk assessment dated 10/01/2013. However, it is not available to employees</i>  |   |
| 7.9.1.a   | <i>No evidence that the using water of 2013 has been sent to test 1/year as required by QCVN 02-2009/BYT</i>   |   |
| <b>3.2 Mention all other units, which have been visited including storage rooms</b> |  |   |
| N/A   |  |   |
| <b>3.3 Mention products and samples if it has been taken during the inspection</b>  |  |   |
| Taking water sample at RWFA, RWRP and RWFO  |  |   |
| <b>3.4 Comments</b>   |  |   |
|   |  |   |
| <b>3.5 Attachments to this report</b>   |  |   |
| The analysis result of receiving water at RWFA, RWRP and RWFO                       |  |   |
| <b>3.7 Summary and conclusion</b>   |  |   |
| Does the farm comply with ASC Tilapia standard?                                     |  |   |
| <u>YES</u> NO   |  |   |
| <b>4. Approval of the assessment report by Client</b>                               |  |   |
| Date: 31/08/2013  | Date:  |   |
| Auditor : LE TRAN TRUONG THUY   | Company representative :   |   |
| signature   | signature  |   |

**5. Review of the assessment report by the certifier**

Date:

Certifier :

signature

**ASC Non-Conformity and Re-assessment form**

|                          |   |
|--------------------------|---|
| Client number and name   | CU 828974 – HOANG LONG SEAFOOD PROCESSING COMPANY |
| Production unit          | <b>HOANG LONG TILAPIA FARM</b>                    |
| Number of non-conformity | 7.3.2.b   |

| Classification of non-conformity |                                     |
|----------------------------------|-------------------------------------|
| MAJOR Non-Conformity             | <input type="checkbox"/>            |
| MINOR Non-Conformity             | <input checked="" type="checkbox"/> |

|  |   |
|--|---|
| Found non-conformity<br>* Mention failing and audit finding and evidence | - Training record dated 18/01/2013 has been verified. However, when Interview and found that the internal training on diversity and non-discrimination is not effective |
| Section number of checklist/<br>Reference to standard                    | ASC Tilapia standard V 1.0 April 2012   |
| Deadline for corrective actions  | 07/08/2014  |

| Approval of Non-Conformity by client |                              |   |
|--------------------------------------|------------------------------|---|
| Date:                                | Name and signature inspector | Name and signature client<br>(Signed for approval non-conformity) |
|                                      |                              |   |

**Re-assessment**

|   |  |
|---|--|
| Re-assessment done by:                            | <input checked="" type="checkbox"/> Document review <input type="checkbox"/> Site visit <input type="checkbox"/> Interview <input type="checkbox"/> Other: |
| Result(s) of re-assessment of the non-conformity: | Mention details like: name of documents, sites, and person(s), corrective action plans<br>- Will provide the documented mechanism                          |
| Status of non-conformity:                         | <input checked="" type="checkbox"/> Open   |
|   | <input type="checkbox"/> Closed  |
|   | <input type="checkbox"/> Outstanding: fill in a new non-conformity form.   |

**Approval of the re-assessment**

| Date:    | Name and signature auditor: |
|----------|-----------------------------|
| 20-12-13 | Le Tran Truong Thuy         |

**Approval of the re-assessment by the certifier**

| Date:    | Name and signature certifier (signed for approval of the re-assessment): |
|----------|--|
| 20-12-13 | Pilar Kuriyama   |



|                          |   |
|--------------------------|---|
| Client number and name   | CU 828974 – HOANG LONG SEAFOOD PROCESSING COMPANY |
| Production unit          | <b>HOANG LONG TILAPIA FARM</b>                    |
| Number of non-conformity | 7.4.1.a   |

|                                  |                                     |
|----------------------------------|-------------------------------------|
| Classification of non-conformity |                                     |
| MAJOR Non-Conformity             | <input type="checkbox"/>            |
| MINOR Non-Conformity             | <input checked="" type="checkbox"/> |

|  |  |
|--|--|
| Found non-conformity<br>* Mention failing and audit finding and evidence | - There is a list of Hazard identification and risk assessment dated 10/01/2013. However, it is not available to employees |
| Section number of checklist/<br>Reference to standard                    | ASC Tilapia standard V 1.0 April 2012  |
| Deadline for corrective actions  | 07/08/2014   |

**Approval of Non-Conformity by client**

|       |                              |  |
|-------|------------------------------|--|
| Date: | Name and signature inspector | Name and signature <u>client</u><br>(Signed for approval non-conformity) |
|       |                              |  |

**Re-assessment**

|   |  |   |                                    |                                 |
|---|--|---|------------------------------------|---------------------------------|
| Re-assessment done by:                            | Document review <input type="checkbox"/>   | Site visit <input type="checkbox"/>             | Interview <input type="checkbox"/> | Other: <input type="checkbox"/> |
| Result(s) of re-assessment of the non-conformity: | Mention details like: name of documents, sites, and person(s), corrective action plans<br>- Will provide the basic needs wages |   |                                    |                                 |
| Status of non-conformity:                         | <input type="checkbox"/>   | Open  |                                    |                                 |
|   | <input checked="" type="checkbox"/>  | Closed  |                                    |                                 |
|   | <input type="checkbox"/>   | Outstanding: fill in a new non-conformity form. |                                    |                                 |

**Approval of the re-assessment**

|          |                             |
|----------|-----------------------------|
| Date:    | Name and signature auditor: |
| 20-12-13 | Le Tran Truong Thuy         |

**Approval of the re-assessment by the certifier**

|          |  |
|----------|--|
| Date:    | Name and signature certifier (signed for approval of the re-assessment): |
| 20-12-13 | Pilar Kuriyama   |

|                          |   |
|--------------------------|---|
| Client number and name   | CU 828974 – HOANG LONG SEAFOOD PROCESSING COMPANY |
| Production unit          | <b>HOANG LONG TILAPIA FARM</b>                    |
| Number of non-conformity | 7.9.1.a   |

|                                  |                                     |
|----------------------------------|-------------------------------------|
| Classification of non-conformity |                                     |
| MAJOR Non-Conformity             | <input type="checkbox"/>            |
| MINOR Non-Conformity             | <input checked="" type="checkbox"/> |

|  |   |
|--|---|
| Found non-conformity<br>* Mention failing and audit finding and evidence | - No evidence that the using water of 2013 has been sent to test 1/year as required by QCVN 02-2009/BYT |
| Section number of checklist/<br>Reference to standard                    | ASC Tilapia standard V 1.0 April 2012   |
| Deadline for corrective actions  | 07/08/2014  |

| Approval of Non-Conformity by client |                              |  |
|--------------------------------------|------------------------------|--|
| Date:                                | Name and signature inspector | Name and signature <u>client</u><br>(Signed for approval non-conformity) |
|                                      |                              |  |

**Re-assessment**

|   |  |   |            |                          |           |                          |        |                          |
|---|--|---|------------|--------------------------|-----------|--------------------------|--------|--------------------------|
| Re-assessment done by:                            | Document review  | <input type="checkbox"/>                        | Site visit | <input type="checkbox"/> | Interview | <input type="checkbox"/> | Other: | <input type="checkbox"/> |
| Result(s) of re-assessment of the non-conformity: | Mention details like: name of documents, sites, and person(s), corrective action plans<br>- Will provide the basic needs wages |   |            |                          |           |                          |        |                          |
| Status of non-conformity:                         | <input type="checkbox"/>   | Open  |            |                          |           |                          |        |                          |
|   | <input checked="" type="checkbox"/>  | Closed  |            |                          |           |                          |        |                          |
|   | <input type="checkbox"/>   | Outstanding: fill in a new non-conformity form. |            |                          |           |                          |        |                          |

**Approval of the re-assessment**

|          |                             |
|----------|-----------------------------|
| Date:    | Name and signature auditor: |
| 20-12-13 | Le Tran Truong Thuy         |

**Approval of the re-assessment by the certifier**

|          |  |
|----------|--|
| Date:    | Name and signature certifier (signed for approval of the re-assessment): |
| 20-12-13 | Pilar Kuriyama   |

A COPY OF EACH FORM STAYS WITH THE CLIENT!