Aquaculture Stewardship Council Audit Report for Farms Pangasius

CAFATEX FARM BAN CHAT

Date:	28,29, 30th Nov 2013	By:	BUREAU VERITAS CERTIFICATION VIET NAM

CLIENT :	CAFATEX FARM BAN CHAT	ASSESSORS TEAM :	EDITH LAM (ASI Lead Assessor) NGUYỄN HUY (Lead auditor) NGUYỄN THANH LINH (Translator) LÝ VĨ CƯỜNG (Trainee)
MAIN CONTACT (Audited person):	Mr LE VAN CONG/ Mr. TU THE NGAN		
REPORT REFERENCE :	ASC- PANGASIUS STANDARD V 1.0	REPORT WRITING DATE :	18th Dec 2013
LEAD ASSESSOR :	Mr NGUYEN HUY	REPORT REVIEWING DATE :	20th Dec 2013

ASSESSMENT / MISSION	INITIAL	
	SURVEILLANCE	SA1
	COMPLEMENTARY /SUPPLEMENTARY	

Summary:

Farms located in a good positions for Aquaculture developing area and has a good investment in management system and facility. Farm technical team had very good aware of ASC standard and received a strong support from CAFATEX CORPORATION's steering committee in applying ASC Pangasius standards. Farm has a strong management systems & got certify with ASC Pangasius standards from year 2012 and maintained well.

Background on the Applicant Farm:

CAFATEX CORPORATION, a well-known frozen Pangasius producer, certified HACCP and BRC food standard. In yesr 2013, was established in 2006 in HAU GIANG Province. In year 2012, farm has been certified against ASC Pangasius Standard by BVC.
CAFATEX FARM BAN CHAT located at Bần Chát Hamlet- Hòa Tân Commune - Cầu Kè Doistrict, Trà Vinh Province, Việt Nam.
CAFATEX FARM BAN CHAT is divided into eight (08) grow-out ponds and one sedimentatio pond, re-built on 2008.
Farm have farm offices, fish feed stores, chemical and antibiotic warehouses and worker accommodations in the farm. The farms share water from Hau river with local communities.

There are 08 employees working in the farm. Most of workers can stay in the farm and get enough accommodation and food.
CAFATEX FARM BAN CHAT is also Global GAP certified.
The farms use CP Viet Nam J.S.C who has Global GAP certified to supply fish feed, use Hung Hanh Fisheries Breeding Centre for the seed supplier.

Scope:

STANDARD	ASC Pangasius Standard Version 1,0 - Jan 2012.
Activity & scope of the audit:	Farming of Pangasius species
Species :	Pangasianodon hypophthalmus / Pangasius hypoththalmus
Description of receiving water body :	Mekong river - Hau River Branch.

Audit Plan:

· Desk reviews and other activities undertaken before or after any site visits.		Preview of Quality Manual, Fish Health Plan & all calculations of Harvested Ponds.
· Stakeholder submissions, including written or other documented information and CAB written responses to each submission.		Bureau Veritas will notify potential stakeholders of the planned and invite their participation in writing prior to the audit or in person during the on-site visit. All stakeholders, even if not directly addressed by Bureau Veritas are Invited to become involved
· Sites of the Company concerned by the ASC. For each site show:	Name :	CAFATEX FARM BAN CHAT FARM
	Address :	Bần Chát Hamlet- Hòa Tân Commune - Cầu Kè Doistrict, Trà Vinh Province, Việt Nam.
	Contact :	Mr. Lê Văn Công - QA Manager.
	Other certifications held :	Global GAP Certified
	Names and affiliations of individuals consulted or otherwise involved in the audit (representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit):	* Mr Lê Văn Công - QA Manager - Cafatex Corporation; * Mr Nguyễn Văn Đường - Farm deputy Manager - Cafatex Farm Ban Chat. * Ms. Nguyễn Thị Chúng - AAH specialist * Mr Nguyễn Văn Ngoan - Farm technician. * Ms. Dương Thị Cẩm Trúc - QA staff- Cafatex Corporation.
	Date & Duration of the visit :	28,29,30th Nov 2013

Previous Audits (if applicable):

In the previous certification audit, farm has 9 minor non-conformities, all non-comformities were closed effectively, and farm was recommended to be certified against ASC Pangasius Standardby the audit team

Findings

	PREVIOUS ASSESSMENTS REVIEW			CURRENT ASSESSMENT CONCLUSION		
	Number	NON-CONFORMANCES REFERENCES	Open/closed	Number	N-CONFORMANCES REFERENC	Open /closed
Observations	2	Closed.	Closed.	0	NA	NA
Minor NC	9	Closed.	Closed.	8	NC-EV1- EV7 and SC1	Open
Major NC	NA	NA	NA	0	NA	NA
Summary of Conditions :	There are 08 minor non-conformities found during the SA1 audit on 28, 29, 30th-Nov-2013, Company submitted the corrective and preventive action plan and were accepted by BVC, the evidence of actions taken will be checked onsite in the next surveillance audit next year.					
Certification status of the applicant:	ASC certification status is maintained					

Evaluation Results:

Please see Audit Grid attached

Determination of the start of the CoC

Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter

Evaluation of the system of tracking, tracing and segregation in the aquaculture operation is sufficient to make sure all aquaculture products identified and sold as certified by the operation originate from the unit of certification certified

Item	Risk Level			comments of the auditor and evidences
	Low risk	Medium risk	high risk	
1. The tracking, tracing and segregation systems in use	X			Harm had clear system for tracking, tracing and segregation.
2. The opportunity of substitution of certified with non-certified product prior to and at harvesting	X			Farm only product one kind of product, all will be certify
3. The possibility of introducing product from outside the unit of certification	X			Farm have good traceability & recording system, it is not easy for introducing product from outside the unit of certification.
4. The robustness of the applicant or certificate holders' management system	X			Management system were good.
5. Any transshipment activities taking place	X			When harvesting fish, use boat to transport fish alive from farm to processing plan.
6. Any subcontracted post-harvest handling or processing	X			Only use subcontracted when harvesting.

Advice of the auditor	YES	NO	JUSTIFICATION

the systems are sufficient, aquaculture products from the operation may enter into further certified chains of custody and be eligible to carry the ASC label.	X		Traceability systems are sufficient
Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter	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:** CAFATEX FARM BAN CHAT keeps all records related to the origin of fish such as grow out pond and fingerling supplier. CAFATEX FARM BAN CHAT owned by Ms. HUYNH THI NGO, Ms Ngo and Mr Khai - Vice Gerneral Director of CAFATEX CORPORATION signed contract which commited that all products harvested at FARM BAN CHAT is processed at CAFATEX CORPORATION. This factory are also certified ASC CoC by Bureau Veritas Certification, audited on Jan 2013, SA1 audit on Sept 2013 by BVC. The information related to the origin of the fish are sent to the CAFATEX processing Factory with the transportation documents. **- Use of transshipment:** Have no transshipment. The farm uses well-boat in order to transport the harvested fish to the processing Factory directly from the farm. **- Eligible operators and point(s) of landing:** There are only one point of harvesting at farms and a unique point of landing at the CAFATEX processing Factory. **- The opportunity of substitution of certified with non-certified product within the unit of certification:** There is no chance of substitution and all harvested products are process at CAFATEX factory. **- Point from which Chain of Custody certification is required**: Chain of custody certification is required after harvested when fish is received at CAFATEX processing Factory which also owned by CAFATEX Corporation and already certified ASC CoC by Bureau Veritas Certification, audited on Jan 2013 and SA1 audit on Sept 2013. This determination will remain in force until revised by the CAB in a subsequent audit.		

Describe points of change of ownership after which chain of custody certification is needed	The scope of the certification includes the growing, harvesting. Coc certification is required from the point of first sale to the processing plan. Only products harvested on or after the date of initial ASC Farm audit are approved to carry the ASC label.

CERTIFICATION DECISION

Date of issuing:	
Date of expiring:	
Scope of the certificate:	
List of all outstanding non-conformities:	*There are 08 minor non-conformities found during the SA1 audit on 28, 29, 30th-Nov-2013, Company submitted the corrective and preventive action plan and were accepted by BVC, the evidence of actions taken will be checked onsite in the next surveillance audit next year.*
Signature of the client	
Signature of the auditor	

Non-conformity Report(s)

Please see non-conformity reports attached

Confidential data for commercially sensitive information

This report is not contain confidential annexes for commercially sensitive information. Bureau Veritas had been agree the content of commercially sensitive information with the applicant.

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

Scope: *Pangasianodon hypophthalmus, Pangasius bocourti*

PRINCIPLE 1. LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS				C	Major NC	Minor NC	NA	COMMENTS -RATIONALE
1.1 Criteria: Local and national regulations								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
1.1.1	**Indicator:** Presence of all pertinent permits and registrations required by local and national authorities **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.	C				Farm has "Land owner Certificates" issued by Tra Vinh Province on 16 Feb 2009, with total land area 70.397 m2, land use permission is Aquaculture farming, farming areas total 61.596 m2, land using allow until year 2027.
		b. Obtain an aquaculture farming licence (as applicable).	B. Verify farm has aquaculture farming licence (as applicable).	C				- Commercial License No 6403000003 by Hau Giang Province of Cafatex JSC first register on 02 March 2004 and modify on 11 Sept 2008, including farming license for farms. -Have confimation letter from Hoa Tan Commune about the farm located in permited areas for aquaculture farming of Cau Ke district, Tra Vinh Province by decide 1459/QD-UBND signed on 03 Oct 2007.
		c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).	C				- Commercial License No 6403000003 by Hau Giang Province of Cafatex JSC first register on 02 March 2004 and modify on 11 Sept 2008, including farming license for farms. - Have contract No 04/HDHT signed on 02 March 2012 between Ms Huynh Thi Ngo - Cafatex Farm Ban Chat owner and Mr To Viet Khai - Vice Gerneral Director of CAFATEX CORPORATION that Cafatex and Farm support together for farming ASC Pangasius Fish at Ban Chat Farm and Cafatex shall buy all ASC fish farmed.
		d. Obtain any other contracts, licences, or permits as required by local and national authorities (also see 1.1.3. and 1.1.4).	D. Verify compliance.	C				No other licenses required Company have confirmation letter from Hoa Tan ward and Cau Ke District : - No regulations limit for using of water, waste water for farming fish. -Confirm Ban Chat areas - Hoa Tan commune is planned for farming Basa fish of Tra Vinh City - Confirm no tax rules apply to the use of river water for Tra/ Basa fish.
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]	C				The company is exempt agricultural land according to 55/2010/QH12 resolutions of parliament and government Decree 20/2011/ND-CP. - Water abstract & discharge fee: NA (see 1.1.4.b)
		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.	C				Interview Mr. Tu The Ngan - farm Manager: good aware of tax law applying for aquaculture farming.
		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.						

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).	C				There are statements by a fully independent ISO 17025 accredited laboratory "Trung tâm ứng dụng và chuyển giao công nghệ tỉnh Kiên Giang- VILAS 494" showing that their staff collected intake & discharge water samples on 22 Oct 2012.
		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).	C				Water testing was done by ISO 17025 accredited laboratory "Trung tâm ứng dụng và chuyển giao công nghệ tỉnh Kiên Giang- VILAS 494"
		c. Submit relevant legal documents showing compliance.	C. Verify compliance. If (a), (b) or (d), then enter 'not applicable' for (c).			NC1		According to TT44/2010-BNNPTNT issued 22.07.2012, testing had been done yearly, checked by "Trung tâm ứng dụng và chuyển giao công nghệ tỉnh Kiên Giang- VILAS 494" test result, with result OK. Farm's records shows that lab's staff does sampling. However the records should show the sampling time, to proof compliance with requirement of taking sample
		d. Obtain a statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance.	D. Verify compliance. If (a), (b) or (c), then enter 'not applicable' for (d).				NA	NA
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.	C				See 1.1.1
		b. Obtain required permits to use and discharge water for the purposes of operating a farm. Comply with any and all permit restrictions stated therein (e.g. maximum capacity of production, water allocation volumes, etc).	B. Verify farm has obtained permits and complies with the terms.	C				Cicurlar 105/2010/TT-BTC issued on 23Jul2010 confirmed that fish farming activities not subject to pay fees for industrial waste water environment, so the company do not have to pay a fee for this farming environment.
		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 for land and water use in the country and region of operation.				NA	NA, see 2.4.1.b
PRINCIPLE 2. FARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NEGATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT				**C**	**Major NC**	**Minor NC**	**NA**	
2.1 Criteria: Meeting official development plans								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
2.1.1	**Indicator:** Farms [4] located in approved aquaculture development areas **Requirement:** Yes **Applicability:** All	a. Provide a detailed map of the farm with at least 4 GPS coordinates.	A. Review map to confirm farm location and accuracy of GPS coordinates. If possible, verify spatial information using Google Map, satellite images or similar means.	C				* Farm GPS: A 09°50'29,1" N; 106°01'10.6" E B 09°50'37.3" N; 106°00'55.3" E C 09°50'35.9" N; 106°01'01.1" E D 09°50'32.8" N; 106°01'12.5" E
		b. Provide official plans that identify approved aquaculture development areas. If there are none, obtain a statement from the authorities as confirmation.	B. Review plans. If farm states there is no plan, confirm that the country and region of operation does not have approved aquaculture development areas.	C				-Have confimation letter from Hoa Tan Commune about the farm located in permited areas for aquaculture farming of Cau Ke district, Tra Vinh Province by decide 1459/QD-UBND signed on 03 Oct 2007
		c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	C. Verify farm is located in an approved aquaculture area. If there are no such areas, auditor response is 'not applicable'.	C				See 2.2.1.b
Footnote	[4] Pond, cage and pen-based facilities							
2.2 Criteria: Conversion of natural ecosystems								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
	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	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.	C				-Have environment protective planed approved by UBND Huyền Cầu Kè on 26/09/2007 and project license for aquaculture farming at Ban Chat zone approved by UBND Xã Hòa Tân on 27/08/2007 prove that the farm was contructed at the end of year 2007.

2.2.1	farm expansion **Requirement::** Yes **Applicability:** Ponds established after August 31, 2010	b. If the farm (or any of its expansions) was constructed after August 31, 2010, obtain a statement/historical land use map from a government organization indicating that the land was agriculture or aquaculture land for 10 years prior to their construction.	B. Review evidence from government organizations. Where land-use maps or spatial information is provided, cross-check against map of farm (see 2.1.1).	C				-Have environment protective planed approved by UBND Huyền Cầu Kè on 26/09/2007 and project license for aquaculture farming at Ban Chat zone approved by UBND Xã Hòa Tân on 27/08/2007 prove that the farm was contructed at the end of year 2007.
		-	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.	C				Community interview: farms had been construction 5-6 years ago.
Footnote	[5] For Ponds established after the publication of the PAD standards.							
Footnote	[6] From government organizations.							
2.2.2	**Indicator:** Evidence that a contribution of at least USD $0.50 per ton of fish produced has been paid to the environmental and social restoration fund [7] annually **Requirement:** Yes **Applicability:** All	a. Submit a signed letter to the ASC committing to pay a contribution to the fund for all certified fish harvested from the day of first certification.	A. Verify the farm has signed a letter stating commitment to contribute to the fund.	C				Had Commitment letter for contribute 0.5$/ton of fish after farm get certified, sign by Cafatex JSC 's General Director on 22 Oct 2012.
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.	C				Company received the confirmation letter from ASC about receiving their commitment 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.	C			NA	NA. Fund is not yet established.
Footnote	[7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered.							
2.2.3	**Indicator:** Evidence [8] that no earth has been discharged into common [9] water bodies **Requirement:** Yes **Applicability:** Ponds established after August 31, 2010	a. Provide a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010.	A. Verify the farm has made a declaration.				NA	NA, Ponds were established before August 31, 2010
		b. For construction activities listed in 2.2.1a that involved earth moving and that occurred after August 31, 2010, provide a statement indicating where the earth was moved to or how it was disposed of.	B. Review list of construction activities and means for disposing of earth.				NA	NA, Ponds were established before August 31, 2010
		-	C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.				NA	NA, Ponds were established before August 31, 2010
Footnote	[8] For ponds established after the publication of the PAD standards.							
Footnote	[9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users.							
2.2.4	**Indicator:** Evidence [10] of no negative impacts on endangered species [11] **Requirement:** Yes **Applicability:** All	a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.	A. Review search results for adequacy and completeness.	C				There is a Scientific Report done by technical expert from Cần Thơ University, leader is PhD Nguyen Van Cong, about the "Identification of endangered and IUCN red listed species occur at " Trại nuôi thủy sản Bần Chát - Cafatex , xã Hòa Tân, huyện Cầu Kè" with content including: - Identification of endangered species occur at Mekong delta area. - Identification of endangered species occur in the area of " Trại nuôi thủy sản Bần Chát - Cafatex , xã Hòa Tân, huyện Cầu Kè" - Risk assessment for all farming practice that can be danger to these species. - Apply new farming practice in order to have no negative impact on these 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.	C				Source & accuracy confirmed.
		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 for red list species (see 6.6.2).	C				There is a list of all endangered species occurring in the area & compare with results from the IUCN database search: it is correct & only a few species may appear at the area of farm location.
		d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	D. Review procedures for adequacy.	C				Procedure was available & adequate - TT12 version 2 issued 12/03/2012.
		-	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).	C				Community interview: - Farm is presently having no negative impact on endangered species - Farm has recently had no negative impact (since year 2009).
Footnote	[10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.							
Footnote	[11] As set by IUCN and national authorities.							
2.3 Criteria: Site connectivity								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					

2.3.1	**Indicator:** Farm does not impede navigation, aquatic animals or water movement **Requirement:** Yes **Applicability:** Pens and Cages	a. Obtain community testimonials or similar evidence to show the farm does not impede navigation, aquatic animals or water movement.	A. Inspect site to verify that pens, cages and/or associated farm structures do not impede navigation, aquatic animals or water movement.				NA	N/A. Pond
		-	B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.				NA	N/A. Pond
2.3.2	**Indicator:** Minimum width of the water body [15] without cages (see Diagram 1, Annex C) **Requirement:** ≥ 50% **Applicability:** Cages	a. Provide a map or diagram showing measurements 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.				NA	N/A. Pond
		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.				NA	N/A. Pond
Footnote	[15] Water body: Any pond, lake, canal, river, stream or any other distinct mass of water, whether publicly or privately owned, including the banks and shores thereof.							
2.3.3	**Indicator:** Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C) **Requirement:** ≤ 20% percent of the width of the water body **Applicability:** Pens	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).				NA	N/A. Pond
		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 accurate and confirm compliance.				NA	N/A. Pond
		-	C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.				NA	N/A. Pond
2.3.4	**Indicator:** Maximum number of contiguous pens allowed (see Diagram 3, Annex C) **Requirement:** Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens **Applicability:** Pens	a. Provide a map or diagram showing the size and number 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 pens, and the shoreline distance between pens.				NA	N/A. Pond
		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.				NA	N/A. Pond
2.4 Criteria: Water use								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
2.4.1	**Indicator:** Farm complies with water allocation [16] limits as set by local 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.	C				Farm had record of water intake daily for individual pond & calculated for 3 harvested pond - pond 2, 3, 4A, 5A result OK
		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, obtain 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.	C				See 1.1.4.b
		c. If water allocation limits are not set by local authorities (see 2.4.1b), obtain 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).	C				See 1.1.4.b
		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).	C				See 1.1.4.b
		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 water allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).	C				Cross-check against reported values for total water abstracted (2.4.2): Conformity
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 "surficial water" that appeared in the Pangasius Aquaculture Dialogue Standards.							
Footnote	[17] A reputable independent institution can be a government organization, an academic institution or an organization that is not linked specifically to the aquaculture sector, but has generated water use parameters for the region, or is responsible for water allocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed articles and/or reports on water allocation. Documents produced for a sector other than aquaculture are also acceptable. A track record of at least three years of operation must be available.							
2.4.2	**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 (m^3) during the production cycle; - compute the total weight of fish 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 (Q_1, Q_2, Q_3...Q_n) 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 1 full crop per site (see preamble).	A. Review calculations against intake records to confirm accuracy.	C				There are water intake record for all ponds. Check record of 4 harvested ponds in total 08 ponds: pond 2, 3, 4A, 5A and 7, all records are accuracy.
		b. Maintain records showing amount of fish harvested from each pond.	B. Verify the farm keeps records showing the amount of fish harvested.	C				Available harvesting receipt for 3 harvested ponds, checking harvesting record of pond 2, 3, 4A, 5A, record detail with number of harvest days, harvesting quantity for each day, quantity of each transportation boat per day.
		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 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).	C				Farm have calculated harvesting quantity for four harvested pond, check data pond 2, 3, 4A, 5A: calculation were accuracy.

		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 reconciled with total annual production (2.4.2c) and total annual water intake (2.4.1e).	C				Cross check calculation of 4 ponds 2, 3, 4A, 5A with water volumes (2.4.2a) and harvest weights (2.4.2b): showing conformity.
		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.	C				Check farm-wide average calculation of 3 harvesting ponds, result was conformity < 5,000 m3 / ton of fish produced.
Footnote	[18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater.							
PRINCIPLE 3. MINIMIZE THE NEGATIVE IMPACT OF PANGASIUS FARMING ON WATER AND LAND RESOURCES				C	Major NC	Minor NC	NA	
3.1 Criteria: Nutrient utilization efficiency								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
3.1.1	**Indicator:** Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced. **Requirement:** 20 kg/t **Applicability:** Pens and Cages	**Instruction to Clients for Indicators 3.1.1 and 3.1.2 - Laboratory Analysis of TP and TN in Feed**						
		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.				NA	N/A. Pond
		b. Obtain relevant declarations of TP 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 has obtained declarations for TP content in feed.				NA	N/A. Pond
		c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable).				NA	N/A. Pond
		d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				NA	N/A. Pond
		e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	E. Review farm's calculations to confirm the farm complies with the Requirement.				NA	N/A. Pond
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 metric ton of fish 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 1 full crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used.				NA	N/A. Pond
		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 has obtained declarations for TN content in feed.				NA	N/A. Pond
		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 accurately by feed suppliers (if applicable).				NA	N/A. Pond
		d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				NA	N/A. Pond
		e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	E. Review farm's calculations to confirm the farm complies with the Requirement.				NA	N/A. Pond
Footnote	[20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of nitrogen (Australian Government, Department of Meteorology).							
Footnote	[21] Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification. Farms that meet the requirements should be able to demonstrate compliance, regardless of whether their feed is made by a commercial feed mill or on site. See Principle 5 for further details.							
3.1.3	**Indicator:** Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)	**Instruction to Clients for Indicator 3.1.3 and 3.1.4** - Sampling and Laboratory Analysis of TP and TN Discharged Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: 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 (i.e. ≥ 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 farm 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							

	Requirement: 7.2 kg/t **Applicability:** Ponds	a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring and a copy of the contract specifying that water sampling and analyses are to be conducted in line with instructions for 3.1.3	A. Confirm the laboratory is suitably qualified and briefed to conduct water sampling and analyses.	C				There are statements by a fully independent ISO 17025 accredited laboratory "Trung tâm ứng dụng & chuyển giao công nghệ tỉnh Kiên Giang - VILAS 494" showing that their staff collected pond water, intake & discharge water samples
		b. Obtain laboratory results for TP concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration.	C				Lab result preview: conformity
		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.	C				Data review: accuracy
		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 confirm accuracy.			NC2		Available of TP calculation for harvested ponds, check calculation of pond 2, 3, 4A, 5A, calculation were accuracy. Farm has TP calculation following standard. There are some modifications in the calculation records, but farm could not show his control of records (who can change the record, reason of changing records)
		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.	C				Farm's calculations of average TP discharge was <7.2 kg / ton of fish produced.
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	**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.	C				There are statements by a fully independent ISO 17025 accredited laboratory "Trung tâm ứng dụng & chuyển giao công nghệ tỉnh Kiên Giang - VILAS 494" showing that their staff collected pond water, intake & discharge water samples
		b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration.	C				Lab result preview: conformity
		c. For each pond, identify the total weight of fish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm's data.	C				Data review: accuracy
		d. Enter the values from b and c (above) into the Total TN discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TN discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.	D. Review farm's calculations to confirm accuracy.	C				Available of TN calculation for harvested ponds, check calculation of pond 2, 3, 4A, 5A, calculation were accuracy.
		e. Use the TN values (answer d) from different ponds and to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.	E. Review farm's calculations of average TN to confirm compliance with the Requirement.	C				Farm's calculations of average TN discharge was <27.5 kg / ton of fish produced.
3.2 Criteria: Measuring water quality in receiving water body								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
3.2.1	**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 dataset to confirm that monitoring covers the required timeframe.	C				Available of DO measure one per two week, during 6 months.
		b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.	B. Verify the farm technicians calibrate equipment as required.	C				One device use measure DO, temperature & salinity. Technician was calibrated device manually following method recommended by the manufacturer before carry out measure. Practical checking: conformity
		c. Calculate percent change in DDO for each monitoring date using the equation in Annex D.	C. Review calculations to confirm accuracy.					Checking data & formula for individual calculations, results were accuracy.
		d. Use results of 3.2.1c to calculate the average percent change in DDO over the entire 12-month monitoring period. For first audits, farm records must cover ≥ 6 months.	D. Confirm the average percent change in DDO is ≤ 65%.	C				Check the average percent change in DDO from Jan-2013 until audit date, result is < 65%.

		e. Arrange to take DO measurements while the auditor is at the farm.	E. Witness the farm measuring DO to confirm compliance with procedures. On-site values should fall within range of farm data for DDO. If an out of range measurement is observed, raise a non-conformity.	C				Auditor has witness farm staff to measure DO at 5:00 am & 15:30 pm: measure method was apply following standard guideline & DDO results were within range of value of previous 12 months.
Footnot	[22] DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature							
Footnot	[23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.							
3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
Footnot e	[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	**Instruction 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: 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. Laboratory results will be accompanied by a statement that indicates compliance to the methodology set in the ASC Pangasius Standard and this Audit Manual. Farms will measure the change in TP and TN from only a subset of the total number of ponds in production: 15% of all ponds (value rounded up to the nearest whole number). At least one of these ponds shall be randomly selected. The farm must record the number and selection of ponds before sampling. Required procedures for collecting water samples are as follows: - 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.) x 100 Percent Change in TN = (Outlet TN Conc.) - (Inlet TN Conc.) / (Inlet TN Conc.) x 100 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.	C				Two ponds were sampling for testing of TP. Check results for TP testing on pond 2, 3, 4A, 5A result were accuracy.
		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.	C				Check TP calculations for 4 pond, data were accurate
		c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.	C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.	C				Check TP calculations for 4 ponds, all value were <100%.
		d. Provide evidence of the on-site visit for the sampling of pond effluents for TP and TN by staff from the accredited laboratory.	D. Review visit evidence for sampling for TP and TN to confirm compliance with procedures.	C				Witness Lab staff sampling inlet & outlet water samples for TP testing: sampling method was compliance with standards guideline.
3.3.2	**Indicator:** Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN 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.	C				Two ponds were sampling for testing of TN. Check results for TN testing on pond 2, 3, 4A, 5A result were accuracy.
		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.	C				Check TN calculations for 4 pond, data were accurate
		c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period.	C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity.	C				Check TN calculations for 4 ponds, all value were <100%.
		d. During the on-site vist, arrange for the auditor to observe sampling of pond effluents for TP and TN.	D. Witness sampling for TP and TN to confirm compliance with procedures.	C				Witness Lab staff sampling inlet & outlet water samples for TN testing: sampling method was compliance with standards guideline.
Footnot e	[25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.							
Footnot e	[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 dataset to confirm that monitoring covers the required timeframe.	C				Measure DO of waste water channel near discharge point 1/week. Measure was done from Jan-2013 until the audit date
		b. Use data from all weekly measurements to calculate the average DO in water discharged over the entire monitoring period. For first audits, farm records must cover ≥ 3 months.	B. Confirm DO in water discharged by farm is ≥ 3 mg/l. If any single value falls outside limits, raise a non-conformity.	C				There is no single value fall under 3 mg/l.
		c. During the on site visit, make arrangements for the auditor to observe calibration of equipment and measurements.	C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.	C				On-site visit: observe farm technician calibrates equipment and takes DO measurements, result was compliance.
3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]								

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
Footnote	[27] For cage culture, there are no requirements for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly.							
3.4.1	**Indicator:** Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28] **Requirement:** Yes **Applicability:** All	a. Provide a detailed sludge management plan (also see 3.5.1). The plan will ensure that no sludge in any form is discharged directly into receiving waters or natural ecosystems.	A. Review the farm's sludge management plan.	C				- Farm had sludge management plan "solid waste management plan - TT09 version 02 issued on 12 March 2012" which is modify that the sludge will be transfer to fruit gardens next to farm. Sludge in ponds were schedule for emptying once after harvesting.
		b. Maintain records of sludge disposal to show volume or weight and condition (i.e. fresh or dried) when disposed. For first audits, farm records must cover ≥ 3 months.	B. Review records to confirm appropriate disposal according to plan.	C				Company signed contract about sludge pumping with Mr. Phạm Hoang Phat. These are sludge disposal records for all pond, check record of harvested pond: 2, 3, 4A, 5A, have record of date, volume of sludge disposal & storing destination.
		c. If sludge is transferred (e.g. for agricultural use), obtain a declaration from the receiving party that specifies the sludge volume, delivery date, and expected use. The party shall declare that the sludge will not be discharged directly into receiving waters or natural ecosystems.	C. If yes to (c), confirm farm has appropriate documentary evidence.	C				- There are contracts with five household next to farm that sludge with be disposal into fruit garden, sludge will use to made fertilizer. - Available of sludge disposal volume calculation of all ponds for one cycle and calculation of all sludge storing area volume. Checking these calculation showing conformity.
		d. If a sludge repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership or a statement from the owner of right of use).	D. If yes to (d), inspect sludge repository during on-site visit.			NC3		On-site visit: there are fruit gardens nearby with some area already have sludge on. Farm has "Slugde given agreement" signed with nearby garden. However, farm should have records of giving sludge to Mr. Duong's garden, and farm shall have analytical result of discharged water from this garden, shows compliance with Circular 44/2010/TT-BNNPTNT on 22-07-2010
		-	E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems	C				Community interview: no evidence of farm discharge sludge directly into receiving waters on natural ecosystems.
Footnote	[28] "The complex of a community and its environment functioning as an ecological unit in nature." More simply, it's both living and non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems 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 size)						
		a. Provide calculations showing the sludge repository is of appropriate size.	A. Review farm's calculations to verify accuracy. Confirm compliance.	C				- NA, Sludge is pumping to fruit garden next to farm. There are calculation volume of storing areas, calculation result were conformity.
		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.	C				On-site visit: - Fruit garden of Mr. Nguyen Van Duong with some area already have sludge on.
3.5 Criteria: Waste managerment								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
3.5.1	**Indicator:** Evidence of farm solid wastes being discharged into the natural environment **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.	C				There is a Solid wastes management plan TT09 version 2 issued on 12/03/2012 and it is include management plan for all kind of wastes (see 3.4.1, 3.5.2, 3.5.3, 3.5.4).
		b. During the on-site visit, arrange for the auditor to inspect the farm's solid waste management system.	B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.	C				On-site visit: no evidence of solid wastes discharged into the natural environment surrounding 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.	C				- Empty feed bag: send back to supplier, available contract & receipt. - Empty chemical & medicine waste, Household garbage: collect & treatment by subcontractor - chemicals suppliers. Available contract with Vemedin company, contract signed on 12 Feb 2012.
		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.	C				Septic toilets were using. No evidence of human & animal solid waste discharge into the environment.

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 follow the schedule.	C				- Septic toilet empty schedule modify in ver 1, issued 01 May 2012 detail about frequency. - Maintenances schedule of septic modify daily, have detail instruction for cleaning and keep record of septic toilet cleannig and maintenance.
		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.	C				Septic toilet inspect: Toilet are clean, no evidence of leakage or direct discharge into the natural environment.
		d. Provide evidence for burial of animal feces (as applicable).	D. Inspect site to verify that the farm buries any animal feces (if applicable).				NA	- OK, No animal at farm.
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).	C				The contract to build the camp office and store food, including the toilet
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.	C				There is a Solid wastes management plan TT09, version 2 issued on 12 March 2012: all chemical & medicine wastes are collect & treatment by subcontractor.
		b. During the on-site visit, allow the auditor to inspect the farm's management of chemical and medicinal wastes.	B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.			NC4		On-site inspect: Farm has chemical/medicine repository, but the tank floor is damaged, bearing the risk of leaking chemical/medice to soil environment Farm control empty feed bag, but the records show that farm does not control the specific quantity of empty feed bag to reference feed given quantity
		-	C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	C				Farm has storing room for chemical & medicine wastes. Available receipts of chemical & medicine wastes collect by suppliers.
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 burning, as not allowed); burial; fermentation and use as fertilizer; septic tank; production of fish meal or fish oil; feed for animals other than pangasius (requires statement from aquatic animal health specialist, see Principle 6); sold. Dead fish should never be used for human consumption unless specifically slaughtered and processed for that purpose in an appropriate facility.						
		a. Provide auditor with the farm's plan for disposal of dead/moribund fish.	A. Review the farm's plan for compliance with Indicator 3.5.4.	C				There are plan for disposal of dead/moribund fish in procedure QT-02 version 3, issued on 12 March 2012: - Dead fish Typically: be sold to make fertilizer - Fish die from the disease: be sold to make fertilizer. Check contract between farm owner Ms Huynh Thi Ngo and Mr. Bui Van Trai signed on 01/09/2012 which content clear mentioned that dead fish use to make fertilizer. CHeck records of dead fish quantity at each farm and compare with the total quantity sold on Aug, Sept 2012 found no deviation.
		b. burial, incineration, fermentation: plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).	C			NA	NA. There is no burial of mortality fish
		c. septic tank: plan gives procedures for disposal of fish in septic tanks, specifies the schedule for emptying tanks, and identifies personnel involved (e.g. contracts with external parties).	C. Verify by review of documentary evidence (as applicable).				NA	N/A, no use of septic tank.
		d. production of fish meal or fish oil: specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.	D. Verify by inspection (as applicable).				NA	NA, no use dead/moribund fish for production of fishmeal or fish oil
		e. feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d"): Option is allowed only if an aquatic animal health specialist concludes that mortality was not caused by an infectious agent or a pesticide/chemical pollutant.	E. Verify that farm obtains written statement(s) from aquatic health specialist (as applicable).				NA	NA, no use dead/moribund fish to made feed for other animals.
		f. sold: Plan identifies the option of sales. For all sales, the farm must prepare a contract that states how the buyer will use the dead fish. If intended as animal feed (either directly or as fish meal/oil) the contract and the statement of the specialist confirm compliance with requirements.	F. Verify by review of documentary evidence (as applicable).			NC5		Farm has "Dead fish hand-over records" signes with receiving party, but the records from Sep-2013 until the audit date (28-Nov-2013) has no signature of receiving party
		-	G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.	C				On-site inspect & worker interview: confirm disposals plan was followed.

Footnote	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production of fish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality was not caused 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 Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
3.6.1	**Indicator:** Information available on the following variables (per year per farm in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method. **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 keeps records of energy consumption.	C				There are electric payment receipt monthly for 9 months.
		b. Provide records of mortality quantities (see Indicator 6.4.4) and their disposal method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop per site (see preamble).	B. Verify the farm maintains accurate records of mortalities and disposals.	C				There are records of dead fish quantity daily for all ponds & full crop.
PRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS				**C**	**Major NC**	**Minor NC**	**NA**	
4.1 Criteria: Presence of pangasius in the water drainage system								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
4.1.1	**Indicator:** Farm located in a river basin where the farmed species is indigenous or has a self-recruiting [32] stock established before 1st January 2005 **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-recruiting stock established, then Indicator 4.1.1. does not apply. Enter 'not						
		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.	C				There is a declarations from seed supplier "supplier Hưng Hạnh" that fingerling species is "Pangasius hypophthalmus"
		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.	C				GPS checking on map, showing farm located in Mekong river basin.
		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 shows the farmed species is indigenous to the river basin.	C				Farmed species is indigenous to Mekong river basin There are copies of FAO report (Sauvage, 1878) and Scientific Magazine of Can Tho University issued 2008 "Tổng quan dẫn liệu về định loại cá Tra Pangasianodon hypophthalmus Phân bố ở vùng hạ lưu sông Mekong".
		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.				NA	NA, Farmed species is indigenous to river basin
		-	E. Verify the identity of the farmed species by direct observation during on-site visit.	C				Check Species during on-site visit showing conformity.
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 comparable references indicating no negative impacts. Negative impact by a self-recruiting stock includes but is not restricted to: - changing the genetic diversity of wild pangasius 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.				NA	NA, Farmed species is indigenous to river basin
Footnote	[32] Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times and location are necessary as evidence.							
Footnote	[33] Peer-reviewed papers, official government (competent authority) statements or other comparable references are necessary as evidence.							
4.1.3	**Indicator:** If the species is not indigenous and does not have a self-recruiting stock established, evidence that the species cannot establish in the river basin [34] **Requirement:** Yes **Applicability:** Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established	a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.	A. Review evidence provided by the farm to confirm that the farmed species cannot establish in the river basin.				NA	NA, Farmed species is indigenous to river basin
Footnote	[34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.							
4.2 Criteria: Genetic diversity								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
	Indicator: Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]	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.	C				See 4.1.1.c
		b. Provide a map of the river basin showing the location of the farm (see 2.1.1).	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.	C				See 4.1.1.b

4.2.1	**Requirement:** Yes **Applicability:** Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	c. Obtain a declaration from seed supplier(s) stating that the seed was generated from broodstock deriving (even if through several generations of spawning in captivity) from the pangasius population naturally reproducing in the river basin.	C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.	C				There is a declarations from seed supplier "supplier Hưng Hạnh" that fingerling species is "Pangasius hypophthalmus"
		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.	C				Checking fingerling source of pond 4: showing compliance.
Footnote	[35] A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary.							
Footnote	[36] Throughout these standards, the word “seed” is used for pangasius seed only.							
Footnote	[37] This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005.							
4.3 Criteria: Source of seed								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
4.3.1	**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.	C				There is a declaration signed by farm manager on 02 March 2012 confirm that farm does not use wild-caught seed for grow out.
		b. Obtain statement from seed supplier(s) that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity).	B. Verify that farm has statements from seed suppliers.	C				There is a statement from seed supplier on 10 June 2012 that no use of wild-caught seed.
		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.	C				Available records for source of seed stock for each individual pond. Check record of pond 2, 3, 4A, 5A: showing conformity.
4.4 Criteria: Genetically engineered and hybridized strains								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
4.4.1	**Indicator:** No use of genetically engineered (transgenic) or hybrid seed **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.	C				There is a declaration signed by farm manager on 02 March 2012 confirm that farm does not use of genetically engineered or hybrid strains.
		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.	C				There is a statement from seed supplier on 10 June 2012 that no production & sale of engineered or hybrid seed.
Footnote	[31] A genetically modifed organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC).							
4.5 Criteria: Escapees.								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
4.5.1	**Indicator:** Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape **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.	C				Check the size of fish farms 2 week / time, full record size for all pond fish. Check records pond 2, 3, 4A, 5A: sufficient information for whole crops.
		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.	C				Farm diary have record of fish size & mesh size apply for all ponds: 1.5 cm.
		-	C. During the on-site visit, inspect the size of net mesh or grills to confirm compliance.	C				on-site inspect: ask for farm staff to made diving for mesh checking at pond 4A, it is showing 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.	C				There are record of mesh size checking & maintenances for all ponds. Check record of pond 2, 3, 4A, 5A: mesh checking maintenance had been done daily for full crop.
		b. Keep records of mitigation and repairs in a permanent register. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review the register to verify repairs are performed and recorded.	C				See 4.5.2.a
		c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inpection of meshes and grills to confirm that the program is effective.	C				on-site inspect: ask for farm staff to made diving for mesh checking at pond 4A, it is showing compliance.
4.5.3	**Indicator:** Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs **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.	C				Have contract No 142/HDCCSL with meteorological centers Tra Vinh and report of meteorological centers Tra Vinh signed on 12/11/2012 with information on the maximum height of the water when the flood occurred during 10 years in the position of regional river farm, updated to the audit date on 28-Nov-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 verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.	C				The whole farm is located in the national road embankment of Hoa Tan commune, Cau Ke district, Tra Vinh province, farm has the data to determine the lowest point of the national road embankment with the maximum height of the water when the flood occurred during 10 years

		c. Provide a written statement that there were no incidents of significant spillage or escapement due to flooding in the last 12 months.	C. During local community and employee interviews, verify there is no evidence for significant spillage or escapement from the farm in the last 12 months.	C				Local community interview: no incident of fish escape.
Footnote	[38] Bund: berm containing the water in the pond.							
Footnote	[39] Consider 10 years maximum water level (including cases of storms).							
4.5.4	**Indicator:** Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection) **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/compromise fish (e.g. gill nets).	C				Trap was place only in wastes water channel with mess size 1.5 cm
		b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.	B. Review records of inspection and observed escapees.	C				Daily check, record are available for full crop.
		c. When escapees are detected, record any actions taken to reduce or eliminate escapement. For first audits, these records must cover at least 1 full crop per site (see preamble).	C. Review the suitability of any actions taken by the farm to reduce escapement.	C				No escape found but procedure have guideline for action when escape fish had been found.
		-	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.	C				On-site inspect: - Trap was placed in wastes water channel. - Witness farm staff to check the trap: it is working properly.
Footnote	[40] These devices should not injure or compromise fish health (e.g., gill nets).							
4.6 Criteria: Pond Maintenance								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
4.6.1	**Indicator:** Evidence that the bund has remained intact [41] throughout the culture cycle **Requirement:** Yes **Applicability:** All	a. Prepare a procedure for the monitoring and repair of damaged bunds.	A. Review farm's procedure for bund monitoring and repair.	C				There is a procedure for bund monitoring and repair. Bund had been checking daily.
		b. Maintain a record of bund monitoring and repair that identifies date of damage detection and when the farm initiated and completed repairs.	B. Review records for evidence that the bund has remained intact in the last 12 months. If a bund was found to be compromised, there shall be evidence that repairs were completed as soon as practical.	C				There are bund checking & maintenance records daily for full crop.
		c. During the on-site visit, arrange for auditor to inspect farm's bunds.	C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.	C				On-site check: bund system was in good condition.
		-	D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.	C				Community interview: no evidence of bun collapsed.
Footnote	[41] Has not been affected in such a way to allow the escape in part or all of the farmed stock.							
4.6.2	**Indicator:** Evidence assuring there has been no intentional release [42] **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.	C				There is a declaration signed by Farm Manager on 02/03/2012 confirm that Farm does not made intentional releases in the last 12 months.
		b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records to confirm that all stockings can be accounted for by harvest or disposal.	C				Check record of pond 2, 3, 4A, 5A: seed import record, daily dead fish record, harvesting receipt, results were conformity.
		c. Prepare a written justification for any periods of inactivity lasting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble).	C. Review annual production records to determine if there are significant discrepancies that could idicate the possibility of intentional release.	C				Review annual production summary showing conformity.
Footnote	[42] The original intent of footnote 42 from the Pangasius Aquaculture Dialogue Standards has been clarified here for auditing purposes. It now reads: "Significant discrepancies between the number (or biomass) of fish stocked and the number (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 PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED				**C**	**Major NC**	**Minor NC**	**NA**	
5.1 Criteria: Sustainability of feed ingredients								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
5.1.1	**Indicator:** Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed **Requirement:** No **Applicability:** All	a. Maintain records (e.g. receipts) for all purchases of commercial feed in the last 12 months. For first audits, farm records must cover ≥ 6 months.	A. Review farm records for commercially sourced feeds.	C				There are feed received receipt for feed use of the whole cycle. Feed use is by supplier "CP Viet Nam "
		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 verify that farm-made feed had no unooked or unprocessed fish and/or fish prodcuts (including trash fish).				NA	N/A, no use of 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.	C				Only "CP Viet Nam" compound feed is used.
Footnote	[43] Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen, minced, dried, meals, oils, and processing by-products).							
5.1.2	**Indicator:** Use of pangasius fish processing by-products [44] as feed or feed ingredients **Requirement:** No **Applicability:** All	a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at any time during the last 12 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish processing were used as feed for pangasius.	C				Farm use only CP Viet Nam compound feed which is declaration are available.
		b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	B. Review manufacturer's declaration to confirm no pangasius by-products were in feed.	C				There is a statement from CP Viet Nam CFM on 12 June 2012: No use of pangasius by-product as ingredient for 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).	C				- NA, no use of farm-made feed. - Check farm's documentation & records showing compliance.
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.							

5.1.3	**Indicator:** Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46] **Requirement:** Yes **Applicability:** All	**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. This restriction extends to feeds that use by-products (e.g. trimming) or aquacultured products of IUCN Red Listed species. For each fish product used as a feed ingredient, determine whether the species is on the IUCN Red List as follows: - go to 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							
		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.	C				There is a statement from CP Viet Nam CFM on 12 June 2012: No use of fish meal content species in IUCN as ingredient for feed.
		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 obtained an accurate result.	C				Search of IUCN database and verify fish species which were use as fish meal ingredient provide by CP Viet Nam producer, result showing compliance.
		c. If farm-made feed was used, verify that no species are in "threatened categories" on the IUCN Red List. If fish meal or fish oil were used, obtain a statement from the respective supplier confirming compliance.	C. Confirm that farm has provided sufficient evidence of compliance.				NA	NA, no use of farm-made feed
Footnote	[45] Vulnerable, Endangered and Critically Endangered.							
Footnote	[46] www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards.							
5.1.4	**Indicator:** Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II and III [47] **Requirement:** Yes **Applicability:** All	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site	A. Confirm that farm has a statement from the feed manufacturer verifying the origin of all fish products used as ingredients in all commercial feeds.	C				There is a statement from CP Viet Nam CFM on 12 June 2012: No use of fish meal content species in CITES appendix I, II, III as ingredient for feed.
		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 obtained an accurate result.	C				Search of CITES database and verify fish species which were use as fish meal ingredient provide by CP Viet Nam producer, result showing compliance.
		C. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, obtain a statement from the respective supplier confirming compliance.	C. Confirm that farm has provided sufficient evidence of compliance.				NA	NA, no use of farm-made feed
Footnote	[47] http://www.cites.org/eng/app/appendices.shtml							
5.1.5	**Indicator:** ISEAL-certified fishmeal and fish oil products must be used in feed **Requirement:** Within 3 years of becoming available in a region **Applicability**: All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only 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 two independent suppliers 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 used 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 identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest).	C				NA, ISEAL-certified fish meal & fish oil are not available in the region.
		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.	C				NA, ISEAL-certified fish meal & fish oil are not available in the region.
5.1.6	**Indicator:** ISEAL certified fishmeal and fish oil products must be used in feed **Requirement:** Within 5 years from the publication date of the PAD standards **Applicability:** All, after August 2015. Not applicable if only trimming and aquaculture products are used	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. Confirm that farm obtains information about feed ingredients.	C				See 5.1.5.a
		b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5.	B. Review evidence and confirm compliance.	C				NA, ISEAL-certified fish meal & fish oil are not available in the region.
	Indicator: Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation's (IFFO) "Responsible	**Instruction to Clients for Indicator 5.1.7 - FishSource Score of Products Used in Feed** To determine FishSource scores of fish 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 FishSource 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 obtains information about feed ingredients.	C				See 5.1.5.a

5.1.7	Fishmeal and Fish Oil Organization's (IFFO) Responsible Sourcing Program for Certification of Responsible Practice for Fishmeal 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	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).	C				NA, ISEAL-certified fish meal & fish oil are not available in the region.
5.2 Criteria: Efficient management of feed use on the farm								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
5.2.1	**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.	C				There are seed record for all ponds. Check pond 2, 3, 4A, 5A: record accuracy.
		b. Maintain records showing the type of feed and the total amount used (see 3.1.1a).	B. Confirm that farm has complete and accurate records for feed.	C				There are seed record for all ponds in farm diary. Check pond 2, 3, 4A, 5A: have records for full crop.
		c. Maintain records (e.g. receipts) showing amount of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify the farm keeps records showing amount of fish harvested.	C				There are harvesting record of 4 harvested pond. Check harvesting receipts of pond 4B, 5B and pond 7, results was conformity.
		d. Calculate eFCR and yield for each crop harvested during the last 12 months using the formulas given in Annex D of the Pangasius Standard. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review calculations for accuracy and completeness.	C				There are eFCR calculations for 3 harvested ponds. Check all calculation were correctly: Pond Ao 2 = 1.4; 3 = 1.55, 4A = 1.6, 5A = 1.6, eFCR average = 1.51
		e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.	E. Review calculations for accuracy. Confirm compliance.	C				Check average eFCR of all harvested ponds = 1.51
Footnote	[50] Weighting to be conducted by the amount of fish produced in different farming units (e.g. ponds, pens and cages).							
5.2.2	**Indicator:** Maximum Fish Feed Equivalence Ratio (FFER) **Requirement:** 0.5 **Applicability:** All	a. Obtain statement(s) from feed manufacturer indicating the maximum inclusion percentage of fish meal and fish oil in each type of feed used. For first audits, farm records must cover ≥ 6 months.	A. Verify that farm obtains information about percent inclusion of fish meal and fish oil for all feed types.	C				Had statement from CP Viet Nam J.S.C for feed meal content in feed on 17 June 2011: - TC7930 = 30%P: fish meal 15%, fish oil: 03%. - TC7931 = 26%P: fish meal 15%, fish oil: 03%.
		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 calculations to verify accuracy. Confirm compliance.	C				- No fish oil use to made feed for feed, FFER calculations result for fish meal use of 3 harvested ponds were < 0.5 - There is statement from Green Feed supplier, signed on17 June 2012 that: fish meal ingredient is by-product of Skipjack Tuna - Katsuwonus pelamis, Bonito - Authynnus affinis, Figate Tuna - Auxis thazard. These species were fishing at Vietnam (FAO71) and these species were not in the list of CITES / ion species.
PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety				**C**	**Major NC**	**Minor NC**	**NA**	
6.1 Criteria: Mortalities								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					

6.1.1	**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 weighted average of 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 weighted 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 first audits, records must cover at least 1 full crop per site (see preamble). **Note 1:** Only use counts of live fish in these calculations. Do not include counts of dead fish when determining number of harvested fish or number of stocked fish. **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 sufficient to determine number of seed stocked into each enclosure.	C				- There are fingerling purchase receipts for each pond. - Fingerling stocking for each pond had been record on the farm diary. - Check pond 2, 3, 4A, 5A: compare record on farm diary & fingerling purchase receipt, data were accuracy.
		b. Maintain harvest records for each crop (e.g. selling receipts or processing plant receipts) that are sufficient to show the total number of fish harvested from each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.	C				Available harvesting receipt for 4 harvested ponds. Checking harvesting record of pond 2, 3, 4A, 5A, harvested days, harvesting quantity for each day, quantity of each transportation boat per day.
		c. Calculate the weighted average of the Real Percentage Mortality (see above) using the formula given in Annex D of the Pangasius Standard. Provide calculations to the auditor.	C. Review farm's calculations to verfiy accuracy. Confirm that average real percentage mortality is ≤ 20%.	C				* Preview RPM calculation: - Individual pond RPM: pond 2 = 1.81% ; pond 3= 0.79 %, pond 4A = 12.14 %., pond 5A = 7.75% - Average farm's RPM = 4.78 %
6.2 Criteria: Veterinary medicines and chemicals								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
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 used on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review list of medicines, chemicals and biological products.	C				There is a list of medicines, chemicals and biological products for using at farm, and it is conformity compare with list of medicines, chemicals and biological products approved for use in aquaculture in Vietnam (available at farm).
		b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies).	C				- Use of any veterinary medicines, chemicals and biological products record on farm diary. Check record of pond 2, 3, 4A, 5A: record available for full crop. - On-site check: showing compliance.
		c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.	C				Had medicine supplier list with detail contact information issued on 2 Feb 2012.
		d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.	D. Confirm that listed products used are approved for aquaculture.	C				See 6.2.1.a
		e. Provide a list of the farm's exports (i.e. sales to parties in foreign countries) over the last 12 months.	E. Review list and compare to farm's sales receipts.	C				Review list and compare to farm's sales receipts: showing compliance.
		f. If the farm cannot determine the country of export (6.2.1e), prepare a list of the top five countries importing pangasius from the country where the farm operates (regions operating within the same legislation on this matter, e.g. the EU, are considered as a single country).	F. Review list (as applicable).	C				List of countries export is available with the chemical & medicine substance banned and Regulation 1471/2012 & 2864/ 2011.
		g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumption.	G. Review list.	C				There are list of export market no. 1471/QD-BNN-QLCL issued 20/06/2012 and 2864/QD-BNN-QLCL issued 14/11/2011 by Vietnam Department of Agriculture & Rural Development.
		h. Show that in the last 12 months, the farm did not use any veterinary medicines, chemicals or biological products that are banned or non-approved in the importing country.	H. Review evidence. Cross-check the farm's export markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.	C				Cross-check: conformity.

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 prescriptions, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medicines and chemicals used on the farm. For first audits, farm records must cover ≥ 6 months.	A. Review records of prescriptions or written advice for veterinary medicines and chemicals.	C				In the record of pond 2, 3, 4A, 5A and in the Prescriptions with the withdrawaling period no harvesting before finishing withdrawaling preriod
		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.	C				For each treatment, prescriptions were approved by AAH Specialist. Check record of pond 2, 3, 4A, 5A, all records info were compliance.
		c. If application differs from the label specification, obtain written justification from aquatic animal health specialist. For first audits, farm records must cover ≥ 6 months.	C. Review justifications from AAH Specialist as applicable.			NC6		Prescriptions were Issued & approved by AAH Specialist prior to the application. However, farm has some "Chemical output form" of Vitamin C, enzym, premix were approved by farm technician insteed of AAH Specialist.
		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.	C				AAH specialist Ms. Nguyen Thi Chung had achieve Bachelor degree & Master degree for "Fish health Doctor"
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							
Footnote	[56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.							
6.2.3	**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 all mortality events notified, provide statements of the specialist indicating his/her recommendation on: - how to apply the veterinary medicine and chemicals prescribed; - how to handle & store the veterinary medicine and chemicals prescribed; - who needs to be informed about the disease; and - how to limit the spread of the disease to neighboring wild or farmed populations. 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.	C				Health fish control plan version 2, isued on 12 March 2013 was check during the Audit: compliance
		b. Provide a declaration that the farm followed the recommendations of the aquatic animal health specialist.	B. Review farm's declaration to confirm following recommendations of the AAH Specialist.	C				There is declaration signed by farm manager 01 Sep 2012, check declaration: compline.
		-	C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.	C				On-site visit, checking storage of Medicines & chemical: the storage was apply following AAH Specialist's recommendations.
		-	D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.	C				On-site check: showing conformity.
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 from all withdrawals.	C				Records from all withdrawals record on "Medicines use management". Check record of Pond 2, 3, 4A, 5A: record from May 2012 up to now available and compline
		b. Provide labels indicating duration of withdrawal periods. If labels do not specify a withdrawal period, provide evidence that withdrawal periods were > 750 degree days.	B. Review labels and completion dates of withdrawal periods.	C				Check record of pond 2, 3, 4A, 5A: Compare control of withdraw period time with product label guideline, results were conformity.
		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 harvested before completion of withdrawal period.	C				Check harvesting record of pond 2, 3, 4A, 5A, results were conformity.
6.2.5	**Indicator:** Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57]. **Requirement:** None **Applicability:** All	a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review list of antibiotics used.	C				There is a list of all antibiotics used at farms issued 12/032013
		b. Prepare declaration stating that farm did not use any antibiotics critically important for human medicine as categorized by the WHO in the last 12 months.	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.	C				* There is a copy of WHO list of antibiotics critical to human medicine at farm. * Available of Farm's Declaration signed by AAH specialist & Farm manager . * Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine, result showing conformity.
		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]	C				Farm has holds an up-to-date copy of the 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.	C				On-site checking: compliance.
Footnote	[57] Refer to the second WHO Expert meeting on Critically Important Antimicrobials for Human Medicine: Categorization for the Development of Risk Management Strategies to Contain Antimicrobial Resistance due to Non-Human Antimicrobial use, 29–31 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. Provide declaration stating that farm does not use any unauthorized prophylactic veterinary medicines (prior to evidence of a specific disease problem)	A. Verify farm holds declaration	C				There is a Farm declaration sign by Farm manager & AAH specialist on 02 March 2012.
		b. Obtain a declaration from the aquatic animal health specialist indicating that s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months. For first audits, the period covered by the declaration must be ≥ 6 months.	B. Verify the AAH Specialist declarares there is no known unauthorized prophylactic use of veterinary medicines.	C				Verify farm declaration on 02 March 2012: conformity.
		c. Maintain receipts for all purchases of veterinary medicines. For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify farm maintains records of all purchases of veterinary medicines.	C				Medicine purchase receipts were records. Check record: available records from Sept 2011 until now.
		-	D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.	C				On-site check: conformity
		-	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.	C				Check record of medicines used at Pond 2, 3, 4A, 5A and compared with purchased quantity & inventory quantity held on-site: conformity
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 veterinary medicine as growth promoters.	C				Verify AAH specialist declaration on 01Jan2012: conformity
		-	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.	C				Check record of medicines used at Pond 2, 3, 4A, 5A and compared with purchased quantity & inventory quantity held on-site: conformity
Footnote	[58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).							
6.3 Criteria: Pangasius health plan								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
6.3.1	**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. **Requirement:** Yes **Applicability:** All	a. Prepare the farm's written pangasius health plan containing all required elements (Annex E).	A. Review health plan for compliance with Annex E.	C				Health Plan is available & covering all points in annex E and it had been implemented at the farm.
		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.	C				Health Plan is reviewed & signed by AAH specialist chị Nguyễn Thị Chúng.
		c. Review the health plan at least once every 12 months. Update as needed and obtain approval by the farm's aquatic animal health specialist.	C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audits, the response is 'not applicable'.	C				Updated on 12-March-2013
		-	D. During on-site visit, verify that the plan is implemented and effective.	C				On-site check: Health Plan had been implemented.
Footnote	[59] GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders.							
6.4 Criteria: Holding-unit specific record-keeping								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
6.4.1	**Indicator:** Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities **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.	C				See 6.2.6.c
		b. Maintain copies of labels showing withdrawal times at the grow-out facility. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm maintains records showing withdrawal times at the grow-out facility.	C				See 6.2.4.a
		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 the farm maintains relevant declarations from the AAHS at the grow-out facility.	C				Check AAH prescriptions: conformity
		d. Obtain a signed declaration from seed suppliers identifying any chemicals or veterinary medicines that were used in production of seed. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Verify the farm obtains declarations from all seed suppliers.			NC7		There are declarations from seed supplier for chemicals or veterinary medicines that were used in production of seed. Check record of 3 harvested pond seed, available of declaration signed by seed supplier on 10 June 2012. But farm could not provide the list of chemical/medicine used during production of each seedling batch
6.4.2	**Indicator:** Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated **Requirement:** Yes **Applicability:** All	a. For all stocking events in the last 12 months, obtain a signed letter from the seed supplier reporting: - the source, size and quality of seed supplied; - the date supplied; - a description of any external signs of abnormalities at the time of sale; - list of veterinary medicines, chemicals and biological products used in earlier life stages (i.e. used at any time from spawning onwards); and - results of pathogen testing following legislation (as applicable). For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains records for seed quality as required.	C				* There are records for seed import to individual pond. * Check record of pond 2, 3, 4A, 5A: available record of seed import checking for quantity & quality as requirement. * There are declarations from seed supplier for chemicals or veterinary medicines that were used in production of seed.

6.4.3	**Indicator:** Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept **Requirement:** Yes **Applicability:** All	a. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify: - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-parasites, fin erosion, etc); and - number of dead fish. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review daily records to confirm that all reporting elements are included. Verify compliance.	C				Daily monitoring record on Farm diary. When fish have symptom of disease or increasing of mortality, AAH specialist will made diagnostic & record on AAH prescription.
Footnote	[60] Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion).							
6.4.4	**Indicator:** All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist **Requirement:** Yes **Applicability:** All	**Instructions to Clients for Indicator 6.4.4 - Establishing a Threshold for the Reporting of Mortality Events** Indicator 6.4.4 requires that farms report all significant mortality events to the aquatic animal health specialist. The ASC Pangasius Standard does not prescribe a specific threshold value for all farms to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their aquatic animal health specialist to develop a threshold for reporting mortality events that is appropriate for identifying significant or "above average" mortality events based on farm data. In establishing a threshold, the farm must consider the following: - thresholds must be generated using farm data for mortality and this shall include farm information from at least 1 randomly selected pond; - thresholds must be stage-specific to account for differing mortality rates during the 1st week, the 1st month, and any month after that; - the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and - the farm must describe how the threshold was established in the farm's Pangasius Health Plan.						
		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.	C				Daily mortality records available on farm diary.
		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.	C				AAH Specialist has reviewed daily mortality records & signed on farm diary.
		c. Describe how the threshold was established in the farm's Pangasius Health Plan (see 6.3.1).	C. Review the proposed mortality threshold in the farm's Pangasius Health Plan to confirm compliance with requirements.	C				Proposed mortality threshold was modify in the "Fish Health Plan Management" and have a surveying carry out to have basis for this threshold set up.
		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.	C				Review reporting records and cross-check against daily mortality records of ponds 2, 3, 4A, 5A: result was compliance.
6.5 Criteria: Fish welfare.								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
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 harvest and stocking data from individual ponds (i.e. it is calculated on a crop-by-crop basis). It should be done as follows: Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1) AGRP1 = YieldP1 / duration of production cycle (Pond1) Where weights are given in grams (g), duration is given in number of days (d), AGR is computed in units of grams per day (g/d), and enclosures 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 600-700g 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 weight at stocking, average fish 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.	C				Weigh of fish stocked were recorded on farm diary for each pond.
		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.	C				Weigh of harvested fish record on the harvesting receipt.
		c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).	C. Review calculations to confirm accuracy and completeness.	C				AGR Calculations were available for 4 harvested pond show compliance, eg. result pond 5A = 3.85g/day

		d. Using results of 6.5.1c, calculate the farm-wide weighted average AGR.	D. Verify that the farm-wide weighted average AGR complies with requirements.	C				Farm Average AGR of farm >3.85g/ngày
6.5.2	**Indicator:** Maximum fish density at any time **Requirement:** 38 kg/m2 for ponds and pen **Applicability:** Ponds and Pens	a. Provide a plan of the farm showing surface area (m^2) of each enclosure.	A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.	C				Surface area for each Pond was record on farm map & farm diary.
		b. Maintain records of the total weight (kg) of fish harvested from each pond and/or pen (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).	B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.	C				Available harvesting receipt for 4 harvested ponds. Checking harvesting record of pond 2, 3, 4A, 5A record detail with number of harvested days, harvesting quantity for each day, quantity of each transportation boat per day.
		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.	C				There are Maximum fish density calculation for 3 harvested pond. Check all calculations, results pond 2 = 35.5kg/m2, pond 3 = 31.79kg/m2, pond 4A = 35.94kg/m2, pond 5A =37.02 kg/m2.
		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.	C				Review monthly estimates of fish density of ponds 2, 3, 4A, 5A: Compliance
6.5.3	**Indicator:** Maximum fish density at any time **Requirement:** 80 kg/m3 for cages **Applicability:** Cages	a. Provide a description of the system specifying the total number of cages and volume (m^3) of each cage.	A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.				NA	NA, Pond
		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 accurate record of total weight of fish harvested from each cage.				NA	NA, Pond
		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.				NA	NA, Pond
		d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates of fish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.	D. Review monthly estimates of fish density to verify compliance.				NA	NA, Pond
6.6 Criteria: Predator control								
		Compliance Criteria (Required Client Actions):	**Auditor Evaluation (Required CB Actions):**					
6.6.1	**Indicator:** Use of lethal predator [61] control **Requirement:** No **Applicability:** All	a. Prepare a list of all predator control devices and their locations.	A. Review list.	C				No use of any lethal devices at farm.
		-	B. Inspect sites to verify no use of lethal predator controls.	C				No use of any lethal devices at farm.
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**						
		a. Perform analysis. Record all IUCN red listed species occuring in the area of the farm.	A. Repeat analysis to verify that client obtained an accurate result.	C				There is a Scientific Report done by technical expert from Cần Thơ University, leader is PhD Nguyen Van Cong, about the "Identification of endangered and IUCN red listed species occur at " Trại nuôi thủy sản Bần Chát - Cafatex , xã Hòa Tân, huyện Cầu Kè" with content including: - Identification of endangered species occur at Mekong delta area. - Identification of endangered species occur in the area of " Trại nuôi thủy sản Bần Chát - Cafatex , xã Hòa Tân, huyện Cầu Kè" - Risk assessment for all farming practice that can be danger to these species. - Apply new farming practice in order to have no negative impact on these endangered species.
		b. If any IUCN red listed species are identified in the area of the farm (including receiving and source waters), write a procedure which describes how the farm will avoid causing mortality.	B. Verify that farm procedures are appropriate and implemented (as applicable).	C				See 6.6.2.a
		-	C. During local community interviews, verify there is no evidence of the farm causing mortality of IUCN red listed species [also see Indicator 2.2.4(E)].	C				Community interview: no evidence of the farm causing mortality of IUCN red listed species
Social requirements in the standards shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1.				**C**	**Major NC**	**Minor NC**	**NA**	
PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO COMMUNITY DEVELOPMENT AND POVERTY ALLEVIATION.								
7.1 Criteria: Labor law								
		Compliance criteria (Required Client Actions):						

7.1.1	**Indicator:** Compliance with labor laws in the country where pangasius is produced **Requirement:** Yes **Applicability:** All	a. Obtain all national and local labor regulations applicable to the farm. Regulations should cover at least the following issues: labor contracts, child labor, working time, working/living conditions, minimum wage and benefits/allowance, health and safety, presence of on-farm regulation.	C				- At the audit time, The farm have 8 employees and farm's regulartion approved by farm manager. issued 12/Jun/2012. - Have no Collective Bargaining Agreement The status of the farm: - The farm applied the ASC from Jun/2012. The previous time of apply ASC, the farm had not signed labour contract with employees and paid only salary and no any benifit of social fee. - When apply ASC, the farm only singed labour contract however this contract did not show clearly the cash for salary, allowance, remuneration of social insurance fee, unemployees fee about 21% of basic salary --> it's raised NC at 7.1.1 b
		b. Ensure that the farm and all employees on the farm comply to the labor regulations.	C				All workers's rights was shown on the labour contract and Farm regulation. On the labour contract showes clearly the cash for salary, allowance, remuneration of social insurance fee, unemployees fee about 21% of basic salary
7.2 Criteria: Child labor [62] and young workers [63]							
		Compliance criteria (Required Client Actions):					
Footnote	[62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is set at 14 years of age in 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.						
Footnote	[63] Young worker: Any worker between the age of child as defined and under the age of 18.						
7.2.1	**Indicator:** Minimum age of workers **Requirement:** Yes **Applicability:** All	a. Maintain a list of all employees employed in the farm indicating date of birth	C				Have 8 employees, the youngest worker is Mr. Ly Xi Na was born in 16/Dec/1994 and is the youngest worker in the farm at the audit date
		b. Maintain copies of the official ID of all the employees listed showing date of birth	C				Farm had maintainted the official ID card and on the labour contract have only the year of birth.
		c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]	C				Hiring posted are clear this issue. Hiring policy (CSTD) issued 3/Jan/2012. Checked the ID card of all of employees are hired to conducted at farm.
		d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.	C				Showed on the hiring poster and farm policy
7.2.2	**Indicator:** For workers under 18 years olds 1 - Work does not jeopardize schooling 2 - Work, when added to the hours of schooling, does not exceed 10 hour/day 3 - Work is restricted to light work [64] 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 descriptions are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous	C				In the past, The farm have one employees under 18 years old.
		b. Maintain records of schooling commitments of each employee younger than 18 years old	C				In the past, The farm have one employees under 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.	C				In the past, The farm have one employees under 18 years old.
		d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm	C				Interview workers who are working at the farm and no found any signal child labour.
Footnote	[64] Light Work: (ILO convention 138, article 7.1) Light work is work that is 1) not likely to be harmful to a child's health or development and 2) not likely to prejudice their attendance at school, participation in vocational orientation or training programs, or diminish their capacity to benefit from instruction received.						

Footnote	[65] Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers.						
7.3 Criteria: Forced and compulsory labor [66]							
	Compliance criteria (Required Client Actions):						
Footnote	[66] Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents).						
7.3.1	**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	C				Farm had signed the labour contract for all employees
		b. Ensure that workers' rights as indicated in this Requirement are duly respected.	C				All workers's rights was shown on the labour contract and Farm regulation.
		c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers	C				Interview workers feedback have received labour contract after signed labour contract with Farm manager. No hold ID paper of other paper of employees
		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	C				Checked payments and interview workers they satisfied all benefit of Farm. No any violation of hold money of employees.
		e. Ensure that no employee is obligated to work at the farm to repay debt	C				Interview worker no any signal violation.
Footnote	[67] As stated in the contract.						
Footnote	[68] Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees.						
7.4 Criteria: Health and safety							
	Compliance criteria (Required Client Actions):						
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	C				Have list of risk assessment issued on 10/May/2012 and safety instruction procedure (HDCV-13) issued on 12/Mar/2012). In this year, there is no accidents in the farm
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed			NC8		Work environment in the farm is not very safety. Onsite observation, there are some potential risk points: + Feed-given floor of pond 4A is weak, and one wooden bar of floating raft of pond 5B is broken + Lime warhouse 3, there is no MSDS of lime and there is no emergency facilities when having accident with lime + Warehouse 2 at the electric generator, the skin of electric rope is broken + Worker dormitory has no light, door can't be closed tight, and there is no potable water + In the chemical store, the protecting glass is not used by worker + In the working field, there is no facility to alarm when having accident
		c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards					
		d. Ensure that employees have constant access to potable/safe drinking water					
		e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.					

		f. Ensure that the employees' housing is constructed of materials able to withstand local conditions					
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	C				Interview worker are good aware and full provided free PPE Have list of distributed PPE and farm managers will periodic checked PPE statust using
Footnote	[69] Hazard: The inherent potential to cause injury or damage to people's health—for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals.						
7.4.3	**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 of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.	C				There is no accident from Jan/2013 up to now. Have the book for monitoring accident in farm.
		b. Ensure that corrective actions are in place as relevant	C				The farm have the corrective and preventive action procedure to maintain system. (HDKP ver 03 issued on 1/Feb/2011)
Footnote	[70] Accidents that could not be handled in-house, the person was taken to the closest clinic						
7.4.4	**Indicator:** Employer ensures that all permanent workers have health insurance [71] **Requirement:** Yes **Applicability:** All	a. Maintain a list of all permanent workers	C				All permanent workers and new workers are received one year the health isurance by employer
		b. Provide evidence showing health insurance coverage for all permanent workers	C				Farm had provided original labour contract to workers. Farm was showed the health insurance card of all workers on the farm.
Footnote	[71] Health insurance is required for workers who are employed for >3months/year. If not covered under national law employers must provide insurance to cover 100% of any job-related accident/injury for permanent workers. The cost 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 criteria (Required Client Actions):					
Footnote	[72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.						
7.5.1	**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.	C				The farm have no CBA Mr. Nguyen Van Duong is worker prepresentative at fram Labour contract was maintained copy at the farm.
		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.	C				Interview worker good aware human rights and freedom.
		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).	C				This is small farm with 8 employees and no joined local union but they are wellcome all of visitor from local labour Dept.
		d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.	C				Interview worker good aware human rights and freedom.
		e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.	C				The farm is small farm therefore have no CBA Mr. Nguyen Van Duong is worker prepresentative at fram
Footnote	[73] Worker: A person who enters an agreement of any duration with an enterprise to work for the enterprise in return for remuneration in cash or in kind. Immediate family members of the farm owner (i.e., children, spouse, parents, brothers and sisters) and exchange labor may not be considered as workers, unless they express their desire to be workers.						
Footnote	[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 criteria (Required Client Actions):					
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.	C				Issued anti-discrimination policy and posted this policy in farm (issued on 04/Jan/2012) Interview workers, they said that aware about this policy.
		b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.	C				All salary records are full maintained at farm. No found any signal violation.
		c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.	C				At now, No found any pregnant woman on the farm. Have the policy for pregnant woman / Young workers/ older workers (iussed 04/Jan/2012)
Footnote	[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 criteria (Required Client Actions):					
7.7.1	**Indicator:** Employers treat all workers with dignity and respect **Requirement:** Yes **Applicability:** All	a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).	C				Interview workers that no found any signal violation
		b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)	C				Interview workers and no found any signal violation
7.8 Criteria: Working hours							
		Compliance criteria (Required Client Actions):					
7.8.1	**Indicator:** Maximum number of regular working hours **Requirement:** 8h/day or 48h/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.	C				Checked timesheet from Jun to Dec/2012. It was clear defined about annual leave and day off per month. There is evidence to control and monitoring the annual leave of workers that will specify the employees have 12 day off of annual leave.
		b . Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week	C				They have clear working plan for each farm team
7.8.2	**Indicator:** Workers have the right to leave the farm after completing the standard work-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).	C				Checking in interview workers so no found any signal violation.
		b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave	C				Labour contract was clear shown and defined.
7.8.3	**Indicator:** Minimum time off **Requirement:** Two nights/week off if residing on the farm and a total of 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	C				Checking in interview workers so no found any signal violation.
		b. Ensure that all workers have at least 4 days/month off	C				On the timesheets, clear the 4 days off for each workers. (From Jun to Dec/2012) Interview workers are no comments.
		c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.	C				The time sheet of jan-2013 until the audit date are available.
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)	C				1) Farm has paid salary multiplied with 3 for national day off (2/Sep and the first day of new year) 2) The farm has paid 21% of basic salary for employees about social insurance fee and unempolyees fee.
		b. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.	C				The time sheet of six month are available.
		c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights	C				Labour contract was clear shown and defined.

		d. Maintain records of payments for overtime hours	C				Payment records was full maintained from Jun to Oct 2013
Footnote	[76] Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/ regulations and / or industry standards. Must be 120% of normal rate or higher.						
7.9 Criteria: Fair and decent wages							
		Compliance criteria (Required Client Actions):					
7.9.1	**Indicator:** The employer pays at least minimum wages as defined by law, or ensures that wages cover basic needs [77], plus some discretionary income [78] , whichever is higher **Requirement:** Yes **Applicability:** All, Farm-Wide	a. Obtain legal documents showing minimum wages for the location where the farm operates.	C				Area Minimun Salary was defined 1T400 (Local Labour Dept Infoming Decree No. 70/2011/NDCP) At now, Farm had signed labour contract with 2.113.500 VND monthly salary including meals.
		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.	C				Basic wage is calculated by farm and comply with the calculation table of BV for this area. Farm sign contract with workers with salary higher than the minimum basic wage
		c. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees	C				Farm had signed labour contract with monthly salary including meals. The salary will be paid on 5 th of each month.
		d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.	C				The payment records was full maintained from Jan to Oct/2013 Interview worker, they feedback that all payments is on time and by cash.
Footnote	[77] Basic needs are determined by calculating the cost of the basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, and the average size of a 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.						
Footnote	[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	C				On the labour contract, company pay for piece work to employees
		b. Ensure that employees are aware of the mechansim used for setting wages	C				Interview workers, workers are fully aware the way salary caculation.
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	C				The payment records was full maintained from Jan to Oct/2013
		b. Maintain records of payments indicating the method of payment	C				The payment records was full maintained from Jan to Oct/2013 Interview worker, they feedback that all payments is on time and by cash.
7.10 Criteria: Labor contracts							
		Compliance criteria (Required Client Actions):					
7.10.1	**Indicator:** Workers have copies of, and can understand, their labor contract [79] **Requirement:** Yes **Applicability:** All	a. Ensure that employees have copies of their labor contracts	C				Interview workers, all feedback have received original labour contract after signed labour contract with Farm's Manager.
		b. Ensure that employees understand their labor contracts	C				Interview workers are aware about that.

Footnote	[79] Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must 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 month	C				Maintained one hardcopy labour contract at farm
		b. Ensure that probation times are understood by employees and respected	C				Maintained one hardcopy labour contract at farm Interview workers are understand about contents of their labour contract
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	C				Maintained one hardcopy labour contract at farm Interview workers are understand about contents of their labour contract
		b. Ensure that probation times are understood by employees and respected	C				Same above contents
7.11 Criteria: Management system							
		Compliance criteria (Required Client Actions):					
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.	C				Have one complaint box in farm. And maintained records to checking this Box monthly to meet with "Giai Quyet Khieu Nai" TT06 issued 12/Mar/2012
		b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management	C				Interview workers, all of them aware the complaint procedure
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.	C				They have the book to record any issue of complaint box. The farm meeting was conducted monthly with full workers attendance. (The contents of meeting related to health & safety, management farm and workers' problem)
		b. Ensure that employees have access to the register at reasonable times	C				Interview workers are aware about that.
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.	C				The from Jun/2012 upto now, there is no complaint via Box. All of workers are joined monthly meeting and discusion about their problem in working. All of this will be resloved in output meeting.
		b. Record the issues being resolved in the register as for 7.11.2a	C				Upto now, No complaint via box
		c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month	C				Upto now, No complaint via box
Footnote	[80] Resolution of a conflict is defined as when both parties agree to remove it from the list of conflicts.						
Footnote	[81] Complaints include the ones coming from other resource users, employees and buyers (e.g., middlemen or processors).						
7.11.4	**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	C				Upto now, No complaint via box
		b. Ensure that the plan is adhered to	C				Upto now, No complaint via box
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] **Requirement:** Within 1 year from achieving certification **Applicability:** All	a. For first audit, prepare a declaration of commitment to contract only suppliers and service providers that ensure suitable health and safety condition within 1 year.	C				They was signed commitment and Health & safety instruction with subcontractor. (Hút Bùn & Bắt Cá) Contract No. 01/HD.2012 Have contract to control safety of Subcontractor
		b. For subsequent audits, ensure that all health and safety conditions as indicated in these Requirements (i.e. within Criteria 7.1, 7.2 and 7.4) are respected by all the employees of suppliers and service providers who are working in the farm	C				same above content.
Footnote	[82] Including either written or verbal contracts.						

Footnote	[83] As defined in these Requirements.						
7.12 Criteria: Record-keeping							
		Compliance criteria (Required Client Actions):					
7.12.1	**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.	C				All of records was keep comply with standard requirements.
		b. Maintain a list of all employees employed in the farm	C				Full maintained records and including the list of new workers In this year, there is no any dismissal workers or resigned workers
7.13 Criteria: Participatory social impact assessment for local communities.							
		Compliance criteria (Required Client Actions):					
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 must be commissioned to professional experts. A new p-SIA should be conducted at least every 3-years.	C				It was approved by local govement and resiresponders. This report to make by SOFIS "Trung Tam Dao Tao Va Dich Vu Thuy San Phia Nam. (Issued in 17/Oct/2012)
		b. For large scale farms, provide evidence of the experience of the professional experts commissioned. Evidence must indicate a track record of at least 3 years conducting participatory consultations with rural communities	C				p-SIA contents are clear this point.
Footnote	[84] p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project (e.g., a farm or farm development) undertaken in such a manner that all stakeholder groups have input in process, results and outcome 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	C				p-SIA contents are clear this point.
		b. Obtain signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if 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).	C				p-SIA contents are clear this point.
Footnote	[85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and are joined by collective engagements within a geographically confined area. Four common indicators are 1.) 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 allow 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 criteria (Required Client Actions):					
7.14.1	**Indicator:** A verifiable conflict resolution policy [86], [87], for local communities is developed and applied **Requirement:** Yes **Applicability:** All	a. Prepare and ensure the application of a conflict resolution policy for local communities	C				appendix of p-SIA
		b. Maintain records of all the people having received copy of the policy	C				appendix of p-SIA
		c. Obtain signatures from at least 50% of the people having received copies of the policy. The people signing must include at least: a representative of the local 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).	C				appendix of p-SIA
		d. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas 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)	C				appendix of p-SIA
Footnote	[86] The policy shall state how conflicts and complaints will be tracked transparently and explain how to respond to all received complaints.						
Footnote	[87] The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local 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.						
	Indicator: Complaint boxes, complaint registers, and	a. Maintain complaint boxes in public locations reachable by the local community.	C				There is one public complaint Box putted at farm's gate near the residence area. Interview the residents of local communities, no any complaints

7.14.2	**Indicator:** Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used **Requirement:** Yes **Applicability:** All	b. Retain complaint forms submitted by local communities. For first audits, records must include at least previous ≥ 6 months.	C				No found any signal violation, No any complaint of residence
		c. Provide evidence that complaints have been acknowledged to the local community (e.g. through a statement from the local community stating having received acknowledgement or acknowledgement receipts)	C				Interview residences are good comments
		d. Maintain a register of the complaints received. Register should include date, complaint and action taken. For first audits, register must contain records from at least previous ≥ 6 months.	C				Upto now, No complaint via box and Farm have one book to monitor local complaint box
7.14.3	**Indicator:** Percentage of conflicts 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	C				Refer to "Giai Quyet Khieu Nai" procedure TT06 issued 12/Mar/2012.
		b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved	C				Appendix of p-SIA and upto now no any complaint from residence.
7.15 Criteria: Preferential employment for local communities							
		Compliance criteria (Required Client Actions):					
7.15.1	**Indicator:** Evidence of advertising positions within local communities before migrant workers are hired **Requirement:** Yes **Applicability:** All	a. Maintain a list of all employees employed in the farm indicating also place of origin	C				farm have 03/08 workers who are residence.
		b. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present copies of the dated advertisements posted around the farm to advertise. For first audit copies must cover more than previous ≥ 6 months	C				Interview residences are good comments about the hiring in local.
		c. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present a list containing the name, address and 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	C				Have the hiring poster.
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 **Requirement:** Yes, if workers outside the local community are employed **Applicability:** All	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 17.15.1a	C				List of workers are available
		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.	C				Most of employees had worked a long time at farm and 03 employees are residence.

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			**Non Conformity No. 01**
File Number:	**CLAUSE: 1.1.3b**		**TEAM LEADER: NGUYEN HUY**
Date: 28, 29 30th Nov 2013	**OTHER TEAM MEMBERS: LY VI CUONG**		
Major:	**Minor: X**	**Observation**	**COMPANY REPRESENTATIVE: Mr LE VAN CONG**

DESCRIPTION OF THE NON CONFORMITY:

Farm's records shows that lab's staff does sampling. However the records should show the sampling time, to proof compliance with requirement of taking sample

Deadline for clearance:	**30th Nov 2014**

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	**Company Representative: Mr Le Van Cong**

Root Cause Analisys

- Farm has mistake in requesting lab's staff to record sampling time according to standard requirement

Description of the Corrective Action

* Corrective action & Preventive action:
Quality Department does training again for farm manager about sampling requirements of standard
Establish new "Sampling form" to ensure all requirents are current and recorded.

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	**YES**	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.			
AUDITOR: NGUYEN HUY	*SIGNED: NGUYEN HUY*		*Date: 30th Nov 2013*
CLOSED			*NO*

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			**Non Conformity No. 02**
File Number:	**CLAUSE: 3.1.3d**		**TEAM LEADER: NGUYEN HUY**
Date: 28, 29 30th Nov 2013	**OTHER TEAM MEMBERS: LY VI CUONG**		
Major:	**Minor: X**	**Observation**	**COMPANY REPRESENTATIVE: Mr LE VAN CONG**

DESCRIPTION OF THE NON CONFORMITY:

Farm has TP calculation following standard. There are some modifications in the calculation records, but farm could not show his control of records (who can change the record, reason of changing records)

Deadline for clearance:	**30th Nov 2014**

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	**Company Representative: Mr Le Van Cong**

Root Cause Analisys

Farm modifies records when having mistake of recording. All records are done by AAH Specialist and Farm technician. However, Farm does not have regulation of record changes approval.

Description of the Corrective Action

*** Corrective action:**
Company checks again all records which having changes, to ensure all records are correct.

Preventive action:
Establishes "Record change approval regulation", and communicates this regulation to farm manager for implementing

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	**YES**	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.			
AUDITOR: NGUYEN HUY	*SIGNED: NGUYEN HUY*		*Date: 30th Nov 2013*
CLOSED			*NO*

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			**Non Conformity No. 03**
File Number:	**CLAUSE: 3.4.1d**		**TEAM LEADER: NGUYEN HUY**
Date: 28, 29 30th Nov 2013	**OTHER TEAM MEMBERS: LY VI CUONG**		
Major:	**Minor: X**	**Observation**	**COMPANY REPRESENTATIVE: Mr LE VAN CONG**

DESCRIPTION OF THE NON CONFORMITY:

Farm has "Slugde given agreement" signed with nearby garden. However, farm should have records of giving sludge to Mr. Duong's garden, and farm shall have analytical result of discharged water from this garden, shows compliance with Circular 44/2010/TT-BNNPTNT on 22-07-2010

Deadline for clearance:	**30th Nov 2014**

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	**Company Representative: Mr Le Van Cong**

Root Cause Analisys

Farm has mistake in recording sludge pumping, and Farm also did not aware the necessary of testing discharged water from Mr. Duong garden yet.

Description of the Corrective Action

*** Corrective action:**
Company reviews and records again all sludge pumping records

Preventive action:
Conduct a meeting with farm manager about sludge pumping records, establish discharged water monitoring schedule of Mr. Duong garden

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	**YES**	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.			
AUDITOR: ***NGUYEN HUY***		***SIGNED: NGUYEN HUY***	***Date: 30th Nov 2013***
CLOSED			***NO***

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			**Non Conformity No. 04**
File Number:	**CLAUSE: 3.5.3**		**TEAM LEADER: NGUYEN HUY**
Date: 28, 29 30th Nov 2013	**OTHER TEAM MEMBERS: LY VI CUONG**		
Major:	**Minor: X**	**Observation**	**COMPANY REPRESENTATIVE: Mr LE VAN CONG**

DESCRIPTION OF THE NON CONFORMITY:

Farm has chemical/medicine repository, but the tank floor is damaged, bearing the risk of leaking chemical/medice to soil environment
Farm control empty feed bag, but the records show that farm does not control the specific quantity of empty feed bag to reference feed given quantity

Deadline for clearance:	**30th Nov 2014**

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	**Company Representative: Mr Le Van Cong**

Root Cause Analisys

Chemical/medicine repository is old, farm has the plan to repair but did not do yet.
Farm also has records of general quantity of empty feed bag, but farm does not aware the necessary to control the quatity of each kind of feed bag to reference feed-given quantity.

Description of the Corrective Action

* Corrective action:
Farm repairs the chemical/medicine repository.
Farm records the quantity of each kind of empty feed bag in empty feed bag control book

Preventive action:
Conduct a meeting with farm manager, requests farm manager to frequency check the chemical/medicine repository and do repairing when having damage. And also requests farm manager to monitor the empty feed bag recording

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	**YES**	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.			
AUDITOR: ***NGUYEN HUY***		***SIGNED: NGUYEN HUY***	***Date: 30th Nov 2013***
CLOSED			***NO***

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			**Non Conformity No. 05**
File Number:	**CLAUSE: 3.5.4f**		**TEAM LEADER: NGUYEN HUY**
Date: 28, 29 30th Nov 2013	**OTHER TEAM MEMBERS: LY VI CUONG**		
Major:	**Minor: X**	**Observation**	**COMPANY REPRESENTATIVE: Mr LE VAN CONG**

DESCRIPTION OF THE NON CONFORMITY:

Farm has "Dead fish hand-over records" signes with receiving party, but the records from Sep-2013 until the audit date (28-Nov-2013) has no signature of receiver

Deadline for clearance:	**30th Nov 2014**

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	**Company Representative: Mr Le Van Cong**

Root Cause Analisys

- Currently, receiving party comes and collects dead fish from the farm daily. But from Sep-2013 until now, farm's workers did not ask him to sign in dead fish collecting book.

Description of the Corrective Action

* Corrective action:
Company askes dead-fish receiving party to reconcile mortality quantity, then sign in dead fish collecting book from Sep-2013 until now

Preventive action:
Conduct a meeting with farm manager, requests farm manager to monitor dead-fish collecting activity, and to request the collecting party sign in dead-fish collecting book at each collecting event.

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	**YES**	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.			
AUDITOR: ***NGUYEN HUY***		***SIGNED: NGUYEN HUY***	***Date: 30th Nov 2013***
CLOSED			***NO***

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			Non Conformity No. 06
File Number:	CLAUSE: 6.2.3		TEAM LEADER: NGUYEN HUY
Date: 28, 29 30th Nov 2013	OTHER TEAM MEMBERS: LY VI CUONG		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr LE VAN CONG

DESCRIPTION OF THE NON CONFORMITY:

Farm has some "Chemical output form" of Vitamin C, enzym, premix were approved by farm technician insteed of AAH Specialist.

Deadline for clearance:	30th Nov 2014

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	Company Representative: Mr Le Van Cong

Root Cause Analisys

Farm technician has accademic qualification for aquaculture, he is nominated to approve the use of nutrient products for fish. However, farm did not define the right and resposibility of farm technician in approving what kind of chemical.

Description of the Corrective Action

* Corrective action & Preventive action:
Conduct a meeting with farm manager, establishes "Right and resposibility" for technician, define what kind of chemical/medicines are within the approval of technician

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	YES	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.

AUDITOR: NGUYEN HUY	SIGNED: NGUYEN HUY	Date: 30th Nov 2013

CLOSED		*NO*

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			Non Conformity No. 07
File Number:	CLAUSE: 6.4.2		TEAM LEADER: NGUYEN HUY
Date: 28, 29 30th Nov 2013	OTHER TEAM MEMBERS: LY VI CUONG		
Major:	Minor: X	Observation	COMPANY REPRESENTATIVE: Mr LE VAN CONG

DESCRIPTION OF THE NON CONFORMITY:

There is the list of chemical/medicine that used in hatchery, but farm could not provide the list of chemical/medicine used during production of each seedling batch

Deadline for clearance:	30th Nov 2014

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	Company Representative: Mr Le Van Cong

Root Cause Analisys

Farm only requested hatchery to provide list of all used chemical/medicine, however farm does not aware the necessary of monitoring all chemical/medicines used for production of each seedling batch

Description of the Corrective Action

*** Corrective action:**
Company requests seedling supplier to provide list of chemical/medicine that used in each batch of seedling production

Preventive action:
Conduct a meeting with farm manager, requests farm manager to check the list of chemical/medicine that use in production of each seedling batch, and compare with banned list

CLEARANCE REPORT (to be completed by BVCertification)

ACCEPTED	YES	

FOLLOW-UP COMMENTS

The evidence of actions taken will be checked onsite in the next surveillance audit next year.

AUDITOR: NGUYEN HUY	SIGNED: NGUYEN HUY	Date: 30th Nov 2013

CLOSED		*NO*

A.S.C. NON-CONFORMITY REPORT

Company: CAFATEX FARM BAN CHAT			**Non Conformity No. 08**
File Number:	**CLAUSE: 7.4.1**		**TEAM LEADER: NGUYEN HUY**
Date: 28, 29 30th Nov 2013	**OTHER TEAM MEMBERS: LY VI CUONG**		
Major:	**Minor: X**	**Observation**	**COMPANY REPRESENTATIVE: Mr LE VAN CONG**

DESCRIPTION OF THE NON CONFORMITY:

Work environment in the farm is not very safety. Onsite observation, there are some potential risk points:
+ Feed-given floor of pond 4A is weak, and one wooden bar of floating raft of pond 5B is broken
+ Lime warhouse 3, there is no MSDS of lime and there is no emergency facilities when having accident with lime
+ Warehouse 2 at the electric generator, the skin of electric rope is broken
+ Worker dormitory has no light, door can't be closed tight, and there is no potable water
+ In the chemical store, the protecting glass is not used by worker
+ In the working field, there is no facility to alarm when having accident

Deadline for clearance:	**30th Nov 2014**

Audit Comments:

CORRECTIVE ACTION REPORT (to be completed by the Company)

Actual Clearance Date:	**Company Representative: Mr Le Van Cong**

Root Cause Analisys

Farm manager does not regularly checking the work safety condition of the farm.

Description of the Corrective Action

*** Corrective action:**
Company does checking and repairs all potential risk points of safety

Preventive action:
Conducts a meeting with farm manager, requests farm manager often checking. Conducts safety training again for all workers, and encorages workers to raise suggestions of repairing/improvement any risk point in the farm.

CLEARANCE REPORT (to be completed by BVCertification)		
ACCEPTED	*YES*	
FOLLOW-UP COMMENTS		
The evidence of actions taken will be checked onsite in the next surveillance audit next year.		
AUDITOR: NGUYEN HUY	*SIGNED: NGUYEN HUY*	*Date: 30th Nov 2013*
CLOSED		*NO*