

## Aquaculture Stewardship Council Audit Report for Farms Pangasius

### DOCIFISH CORPORATION

Date:	14-15 Aug 2013	By:	BUREAU VERITAS Certification - Viet Nam
CLIENT :	DOCIFISH CORPORATION	ASSESSORS TEAM :	NGUYEN HUY
MAIN CONTACT (Audited person):	Mr. NGUYEN TAN TOI		
REPORT REFERENCE :	ASC- PANGASIUS STANDARD V 1.0	REPORT WRITING DATE :	22-août-13
LEAD ASSESSOR :	NGUYEN HUY	REPORT REVIEWING DATE :	29-août-13

ASSESSMENT / MISSION	INITIAL SURVEILLANCE COMPLEMENTARY /SUPPLEMENTARY	SA1
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#### Summary:

Farms located in a good positions for Aquaculture developing area, farm owner have strategy view & accept to invest for farm to get certify with ASC Pangasius standard. However, ASC Pangasius is a new standard and quite difference with other present farming standard like many calculation in water quality, feed use, mortality and especially with social criteria, beside that farm staffs don't have much experience so they have quite a lot of non-conformity for these points.

Another point is, Docifish have two audited farm but some NCs was found in this farm & not in the other farm and opposite, it is showing that they don't have QMS and cross internal audit between farms.

#### Audit Plan:

Desk reviews and other activities undertaken before or after any site visits.	Preview of Quality Manual & all calculation 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 :	Docifish Farm 1 and Farm 6
	Activity :	Farming of Pangasius species
	Specie :	Pangasianodon hypophthalmus
	Adress :	Docifish Farm 1: Binh Tan Hamlet, Binh Thanh Commune, Cao Lanh District, Dong Thap Province Docifish Farm 6: Dong Hue Hamlet, Tan Khanh Dong Commune, Sa Dec District, Dong Thap Province
	Contact :	Mr. Nguyen Tan Toi
	Other certifications held :	Farm 1: GlobalGAP 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. Nguyen Tan Toi - Technical Deputy Manager, Mr. Nguyen Ba Thong - HR Deputy Manager Mr. Huynh Chinh Trung - Farm 1 Manager, Mr. Nguyen Ba Thong - HR Manager Farm 1 Ms. Nguyen Thi Dieu Hien - QA Staff Farm 1 Ms. Ngo Thi Kim Ngan - QA staff Farm 1 Mr. Vo Hoang Thai - Farm 1 Technician. Mr. Phan Van Minh - Farm 6 Manager, Mr. Le Hai Lam - HR Manager Farm 6 Ms. Nguyen Thi Yen Nhi - QA staff Farm 6 Ms. Nguyen Thi Kieu Trang - QA staff Farm 6 Ông Le Huu Hieu - Farm technician Farm 6
	Date & Duration of the visit :	14, 15 Aug 2013
	Description of receiving water body :	Mekong River - Tien Giang Branch

<b>Previous Audits (if applicable):</b>						
<b>Findings</b>						
	PREVIOUS ASSESSMENTS REVIEW			CURRENT ASSESSMENT CONCLUSION		
	Number	NON-CONFORMANCES REFERENCES	Open/closed	Number	N-CONFORMANCES REFERENC	Open /closed
Observations	2	See NC report	Closed	1	NC-EV1	Closed
Minor NC	17	See NC report	Closed	3	NC SC 2-4	Closed
Major NC	3	See NC report	Closed	0	NA	NA
Summary of Conditions :	All non-comformities found on 14, 15 Aug 2013 were closed effectively, and farm was recommended to maintain ASC certification status					
Certification status of the applicant:	Surveillance Audit 1, the ASC certification status is maintained					
<b>Evaluation Results:</b>						
Please see Audit Grid attached						
<b>Determination of the start of the CoC</b>						
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						
<b>Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter</b>						
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 need to be more improving		
5. Any transshipment activities taking place	X			When harvesting fish, use boat to transport fish alive from fram 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			

<p><i>Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter</i></p>	<p>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:  <b>- Tracking, tracing and segregation systems within the aquaculture operation:</b> DOCIFISH CORPORATION - DOCIFARM 1,6 keeps all records related to the origin of fish such as grow out pond and fingerling supplier. DOCIFISH CORPORATION - DOCIFARM 1,6 is owned by the same legal entity DOCIFISH CORPORATION, all products harvested at DOCIFARM 1,6 are processed at DOCIFISH factory. This factory are also certified ASC CoC by Bureau Veritas Certification. The information related to the origin of the fish are sent to the DOCIFISH processing Factory with the transportation documents.  <b>- Use of transshipment:</b> Have no transshipment. The farm uses well-boat in order to transport the harvested fish to the processing Factory directly from the farm.  <b>- Eligible operators and point(s) of landing:</b> There are only one point of harvesting at farms and a unique point of landing at the DOCIFISH processing Factory.  <b>- The opportunity of substitution of certified with non-certified product within the unit of certification:</b> There is no chance of substitution and all harvested products are process at CAFATEX factory.  <b>- Point from which Chain of Custody certification is required:</b> Chain of custody certification is required after harvested when fish is received at DOCIFISH processing Factory which also owned by DOCIFISH CORPORATION and already certified ASC CoC by Bureau Veritas Certification                  This determination will remain in force until revised by the CAB in a subsequent audit.</p>
<p><i>Describe points of change of ownership after which chain of custody certification is needed</i></p>	<p>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.</p>
<p><b>CERTIFICATION DECISION</b></p>	
<p>Date of issuing:</p>	
<p>Date of expiring:</p>	
<p>Scope of the certificate:</p>	
<p>List of all outstanding non-conformities:</p>	<p>All non-comformities found on 14, 15 Aug 2013 were closed effectively, and farm was recommended to manitain ASC certification status</p>
<p>Signature of the client</p>	
<p>Signature of the auditor</p>	
<p><b><u>Non-conformity Report(s)</u></b></p>	
<p><i>Please see non-conformity reports attached</i></p>	
<p><b><u>Confidential data for commercially sensitive information</u></b></p>	
<p><i>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.</i></p>	

AUDIT MANUAL - ASC Pangasius Standard Created by the Pangasius Aquaculture Dialogue				C	Major NC	Minor NC	NA	COMMENTS -RATIONALE
Scope: <i>Pangasianodon hypophthalmus, Pangasius bocourti</i>								
PRINCIPLE 1. LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS								
1.1 Criteria: Local and national regulations								
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
1.1.1	<b>Indicator:</b> Presence of all pertinent permits and registrations required by local and national authorities  <b>Requirement:</b> Yes  <b>Applicability:</b> 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				Land are renting from Dong Thap Government. There is one contract for land renting in 20 year on 01 Nov 2007 with total 20 hecta for three area. It is including area for two Certify farms with total area 16.2 hecta.
		b. Obtain an aquaculture farming licence (as applicable).	B. Verify farm has aquaculture farming licence (as applicable).	C				Commercial Licence including farming licence for farms.
		c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).	C				Commercial Licence number 1400480183 by Dong Thap Business Department, first issued on 08 Dec 2008, revised 29 may 2009.
		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 licences required
1.1.2	<b>Indicator:</b> Presence of documents proving compliance with pertinent tax laws  <b>Requirement:</b> Yes  <b>Applicability:</b> 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				Farm had payment fee for land one per year, payment was done at the end of this year.
		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				Checked land payment fee: avaiable payment receipts for year 2011.
1.1.3	<b>Indicator:</b> Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations  <b>Requirement:</b> Yes  <b>Applicability:</b> Ponds	<b>Instruction to Clients for Indicator 1.1.3 - Showing Compliance with Water Discharge Regulations</b> 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 seraparety under Principle 3 below.						
		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				Had a statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge: Samples collected by "Trung Tam quan trac ky thuat tai nguyen va Moi trung - tinh Dong Thap"
		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 lab.
		c. Submit relevant legal documents showing compliance.	C. Verify compliance. If (a), (b) or (d), then enter 'not applicable' for (c).	C				According to TT45/2010-BNNPTNT issued 22.07.2012, testing had been done yearly, check result show compliance.
		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	<b>Indicator:</b> Presence of documents proving compliance with local and national legal regulations on land and water use  <b>Requirement:</b> Yes  <b>Applicability:</b> 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				Comppany has submitted the application for water use to local government but not yet received the answer from government. The permit of government for water use id still missing.
		c. If the farm operates in a country and region with no permitting system for land and water use, provide documentary evidence (e.g. letter from authorities) attesting to this fact.	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

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				Major NC	Minor NC	NA
2.1 Criteria: Meeting official development plans						
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>			
2.1.1	<b>Indicator:</b> Farms [4] located in approved aquaculture development areas <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Provide a detailed map of the farm with at least 4 GPS coordinates.  b. Provide official plans that identify approved aquaculture development areas. If there are none, obtain a statement from the authorities as confirmation. c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	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.  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. Verify farm is located in an approved aquaculture area. If there are no such areas, auditor response is 'not applicable'.	C		* GPS Farm1: 10°18'1.04"N; 105°48'20.99"E 10°18'7.28"N; 105°48'21.91"E 10°18'7.62"N; 105°48'48.61"E 10°18'5.93"N; 105°48'48.81"E * GPS Farm 6: 10°22'12.09"N; 105°43'35.31"E 10°22'11.07"N; 105°43'33.97"E 10°22'23.59"N; 105°43'29.39"E 10°22'21.55"N; 105°43'23.83"E  Had statement from Dong Thap province, registry number 286/UBND-HC, date 22 Jul 2009 that these two farms were located in the Aquaculture developing area.  See 2.2.1.b
Footnote	[4] Pond, cage and pen-based facilities					
2.2 Criteria: Conversion of natural ecosystems						
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>			
2.2.1	<b>Indicator:</b> For ponds [5], evidence [6] that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion <b>Requirement:</b> Yes <b>Applicability:</b> Ponds established after August 31, 2010	a. Provide a declaration that identifies the month and year of farm construction, and specify dates of any subsequent farm expansions.  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.	A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010.  B. Review evidence from government organizations. Where land-use maps or spatial information is provided, cross-check against map of farm (see 2.1.1).  C. Verify accuracy of (a) and (b) above during interviews with local community 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		* Farm 1: Farm construction contract with Hong Phat Company on 01/10/2009 to 15/03/2010. * Farm 6: had construction contract with Tan Tai company on 10/08/2008, Finished contract on 12/09/2009. There is no any expansion since the previous audit  Check land renting contract, farms contract maps & present map: all information were correct.  Community interview: farms had been construction three to four year ago.
Footnote	[5] For Ponds established after the publication of the PAD standards.					
Footnote	[6] From government organizations.					
2.2.2	<b>Indicator:</b> 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 <b>Requirement:</b> Yes <b>Applicability:</b> 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.  b. Retain the receipt from ASC showing that farm's signed letter was received.  c. Retain evidence of all payments made into the fund.	A. Verify the farm has signed a letter stating commitment to contribute to the fund.  B. Verify evidence that ASC has received the letter.  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		Had Commitment letter for contribute 0.5\$/ton of fish after farm get certified, sign by General director on 10/10/2011.  Checked confirmation Email from ASC on Oct 09, 2012: "received a letter of commitment to contribute \$ 0.5 to ASC fund for environmental rehabilitation"  NA, Fund is not yet set up
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	<b>Indicator:</b> Evidence [8] that no earth has been discharged into common [9] water bodies <b>Requirement:</b> Yes <b>Applicability:</b> 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. 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.	A. Verify the farm has made a declaration.  B. Review list of construction activities and means for disposing of earth.  C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.			NA, Ponds were established after August 31, 2010 - NA, Ponds were established after August 31, 2010 - Construction contract indicate that land from pond construction will use to make the Bund system. Community interview: No earth discharge to natural environment during farm construction.
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	<p><b>Indicator:</b> Evidence [10] of no negative impacts on endangered species [11]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	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				Had Scientific Report done by can Tho University about the "Identification of endangered / IUCN red list species at Docifish farm 1 & farm 6" with content including: - Identification of endangered species may appear at farm area in comparing with IUCN list. - Risk assessment for all farming practice that can made danger to these species. - Apply new farming practice in order to have no negative impact on endangered species.		
		b. Determine whether any species occurring 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 occurring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2).	C. Review list for completeness. Compare with results from search of IUCN database for red list species (see 6.6.2).	C				Had list of all endangered species occurring in the area & compare with 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.		
		-	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 impact on endangered species - Farm has recently had no impact (since August 2010).		
Footnote	[10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.									
Footnote	[11] As set by IUCN and national authorities.									
<b>2.3 Criteria: Site connectivity</b>										
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>						
2.3.1	<p><b>Indicator:</b> Farm does not impede navigation, aquatic animals or water movement</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Pens and Cages</p>	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	<p><b>Indicator:</b> Minimum width of the water body [15] without cages (see Diagram 1, Annex C)</p> <p><b>Requirement:</b> ≥ 50%</p> <p><b>Applicability:</b> Cages</p>	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	<p><b>Indicator:</b> Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C)</p> <p><b>Requirement:</b> ≤ 20% percent of the width of the water body</p> <p><b>Applicability:</b> Pens</p>	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
	<p><b>Indicator:</b> Maximum number of contiguous pens allowed (see Diagram 3, Annex C)</p>	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	

2.3.4	<p><b>Requirement:</b> Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens</p> <p><b>Applicability:</b> Pens</p>	<p>b. On the map, show how the arrangement of pens complies with the requirement for number and separation distance (see Diagram 3, Annex C)</p>	<p>B. Verify the farm's arrangement of pens is in compliance.</p>				NA	N/A. Pond
<b>2.4 Criteria: Water use</b>								
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>					
2.4.1	<p><b>Indicator:</b> Farm complies with water allocation [16] limits as set by local authorities or a reputable independent institution [17]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Ponds</p>	<p>a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Obtain a statement from local authorities indicating the water allocation limits (units given) for the farm. If local authorities do not set water allocation limits for farms operating in the region, obtain a statement from local authorities attesting to this fact.</p> <p>c. If water allocation limits are not set by local authorities (see 2.4.1b), obtain a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given) for the farm.</p> <p>d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable).</p> <p>e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits.</p>	<p>A. Verify the farm keeps complete records of water intake.</p> <p>B. Review the water allocation limits set for the farm by local authorities. If local authorities do not set water allocation limits, confirm the farm has an attestation.</p> <p>C. Review evidence that water allocation limits have been set for the farm by a reputable independent institution (as applicable).</p> <p>D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).</p> <p>E. Check the farm's water intake against the water allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).</p>	C				<p>Farm had record of water abstracted daily for individual pond &amp; calculated for each harvesting pond.</p> <p>Declaration of local authority on 19/07/2012. No limit setting for water allocation at present time.</p> <p>See 2.4.1.b</p> <p>See 2.4.1.b</p> <p>values were checked.</p>
Footnote	[16] Valid for both surface water and groundwater. Surface water is defined as "water collecting on the ground or in a stream, river, lake, wetland or ocean." Groundwater is defined as "water beneath the earth's surface that supplies wells and springs." Note the term "surface water" is used here in place of the original term "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.							
<b>Instruction to Clients for Indicator 2.4.2 - Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced</b>								
2.4.2	<p><b>Indicator:</b> For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in Annex D)</p> <p><b>Requirement:</b> 5,000 m3/metric ton of fish produced</p> <p><b>Applicability:</b> Ponds</p>	<p>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).</p> <p>b. Maintain records showing amount of fish harvested from each pond.</p> <p>c. Calculate the total weight of fish produced (in metric tons) from each pond.</p> <p>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).</p> <p>e. Using results from all harvested ponds, calculate the farm-wide average ratio of total water abstracted per ton of fish produced (see Instructions above).</p>	<p>A. Review calculations against intake records to confirm accuracy.</p> <p>B. Verify the farm keeps records showing the amount of fish harvested.</p> <p>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).</p> <p>D. Review farm's calculations for accuracy. Cross-check that water volumes (2.4.2a) and harvest weights (2.4.2b) from individual ponds can be reconciled with total annual production (2.4.2c) and total annual water intake (2.4.1e).</p> <p>E. Confirm the farm-wide average Q is ≤ 5,000 m3/metric ton of fish produced.</p>	C				<p>Had daily water intake record for all ponds, including harvested ponds</p> <p>Avaiabe harvesting receipt for harvested ponds with harvesting duration &amp; quantity.</p> <p>* Farm has calculation weigh of fish produced, checked 1 pond of farm 6 and 5 harvested pond of farm 1 (pond 2, 5, 6, 8, 12), OK</p> <p>* Farm has the calculation of water abstracted per ton of fish produced for all harvested pond, result is appropriate (&lt;5,000m3/ton)</p> <p>There is farm average calculation of water abstracted per ton of harvested fish, &lt;5,000m3/ton, OK</p>
Footnote	[18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater.							
<b>PRINCIPLE 3. MINIMIZE THE NEGATIVE IMPACT OF PANGASIUS FARMING ON WATER AND LAND RESOURCES</b>				Major NC	Minor NC	NA		
<b>3.1 Criteria: Nutrient utilization efficiency</b>								
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>					
<b>Instruction to Clients for Indicators 3.1.1 and 3.1.2 - Laboratory Analysis of TP and TN in Feed</b>								
3.1.1	<p><b>Indicator:</b> Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced.</p> <p><b>Requirement:</b> 20 kg/t</p> <p><b>Applicability:</b> Pens and Cages</p>	<p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Obtain relevant declarations of TP content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).</p> <p>d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Confirm the farm has complete and accurate records for feed used.</p> <p>B. Verify the farm has obtained declarations for TP content in feed.</p> <p>C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable).</p> <p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.</p>					<p>NA N/A. Pond</p> <p>NA N/A. Pond</p> <p>NA N/A. Pond</p> <p>NA N/A. Pond</p>

		e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	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	<p><b>Indicator:</b> Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.</p> <p><b>Requirement:</b> 70 kg/t</p> <p><b>Applicability:</b> Pens and Cages</p>	<b>Note:</b> 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	<p><b>Indicator:</b> Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)</p> <p><b>Requirement:</b> 7.2 kg/t</p> <p><b>Applicability:</b> Ponds</p>	<p><b>Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged</b></p> <p>Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Farms will measure the amount of TP and TN discharged from a minimum of 1 pond in production; at least one of these ponds shall be randomly selected. The farm must record the number and identity of selected ponds before sampling. Required procedures for collecting water samples are as follows:</p> <ul style="list-style-type: none"> <li>- two water samples are taken: one from the pond (=pond water) and one from the intake (=intake water). The two samples are taken on the same day.</li> <li>- all water sample collections are done following the methodology provided by a fully independent ISO 17025 accredited laboratory and will be available to the certifier at the day of the audit. The accredited laboratory will be required to verify that sampling was conducted in accordance with this methodology.</li> <li>- all water samples are collected in second half of crop production (i.e. ≥ 90 days after stocking)</li> <li>- pond water samples are collected at 50% of pond depth</li> <li>- all water samples are collected before 11:00am</li> <li>- pond water samples are collected &gt; 6 hours after the intake of water into the pond</li> </ul> <p>For first audits farm records for monitoring TP and TN discharged must cover ≥ 6 months.</p> <p>To prepare for first audit:</p> <ul style="list-style-type: none"> <li>- farm invites accredited laboratory to the farm to have the water sampled</li> <li>- if samples are out of compliance, farm takes corrective actions prior to ASC audit</li> <li>- in case of non-compliances, farm does have the water sampled by accredited labatory after implementation of corrective actions to show compliance</li> <li>- all sampling results are supplied to auditor by the accredited laboratory to show that corrective action has been taken and that farms is now in</li> </ul>							
		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					* Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.
		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: OK
	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.	C			* Farm 1: had signed calculation TP for 5 harvested pond, results were accuracy & compliant * Farm 6: had signed calculation TP for 1 harvested pond, results was accuracy
		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 calculation was accuracy & compliant
		<b>Note:</b> see instructions for Indicator 3.1.3					
3.1.4	<b>Indicator:</b> Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D)  <b>Requirement:</b> 27.5 kg/t  <b>Applicability:</b> Ponds	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			* Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.
		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: OK
		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			* Farm 1: had signed calculation TN for 5 harvested pond, results were accuracy & compliant * Farm 6: had signed calculation TN for 1 harvested pond, results was 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 calculation was accuracy & compliant
<b>3.2 Criteria: Measuring water quality in receiving water body</b>							
<b>Compliance Criteria (Required Client Actions):</b>			<b>Auditor Evaluation (Required CB Actions):</b>				
		<b>Instruction to Clients for Indicator 3.2.1 - Measuring Percent Change in Diurnal Dissolved Oxygen</b> 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.  <b>Note 1:</b> 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.					
3.2.1	<b>Indicator:</b> 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)  <b>Requirement:</b> <=65%  <b>Applicability:</b> All	a. Provide DO measurements .	A. Review dataset to confirm that monitoring covers the required timeframe.	C			DO measure one per two week, during over 12 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 devide use measure DO, temperature & salinity. Technician was calibrated devide manually prior to each use.
		c. Calculate percent change in DDO for each monitoring date using the equation in Annex D.	C. Review calculations to confirm accuracy.	C			* Checked farm's calculations were accurate
		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			Checked the calculations show that DDO < 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			Onsite observation, shows that DO measures is compliance with standard requirement
Footnote	[22] DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a						
Footnote	[23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.						
3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]							
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):				
Footnote	[24] This criteria is not pertinent to either cage or pen cultures.						
3.3.1	Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D). Requirement: 100% Applicability: Ponds	<b>Instruction to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet</b> Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Laboratory results will be accompanied by a statement that indicates compliance to the methodology set in 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					
	a. Provide laboratory results for TP in water samples from inlet and outlet.	A. Review laboratory results for TP.	C			* Farm 1: check result for TP of 05 harvested ponds * Farm 6: check result for TP of 01 harvested ponds	
	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 calculations, all 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 calculations, all were compliance	
	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			* Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.	
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	<b>Note: see instructions for Indicator 3.3.1</b> a. Provide laboratory results for TN in water samples from inlet and outlets. b. For each pond, calculate the percent change of TN between inlet and outlet on each sampling day using the equation shown above. c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period. d. During the on-site visit, arrange for the auditor to observe sampling of pond effluents for TP and TN.					
	a. Provide laboratory results for TN in water samples from inlet and outlets.	A. Review laboratory results for TN.	C			* Farm 1: check result for TN of 05 harvested ponds * Farm 6: check result for TN of 01 harvested ponds	
	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 calculations, all 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 calculations, all were compliance	
	d. During the on-site visit, 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			* Lab testing center is "Trung Tam Quan Trac Ky Thuat Tai Nguyen va Moi Truong" Vilas 412. * Samples were collect by lab staff, have record of detail water sampling requirement with signature & stamp of Laboratory.	
Footnote	[25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.						
Footnote	[26] Outlet: The actual water being discharged, not the receiving water.						
	<b>Instruction to Clients for Indicator 3.3.3 - Measuring DO in Water Discharged</b> 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			DO of waste water is measured daily for individual pond before discharge to waste water channel.	

3.3.3	<p><b>Indicator:</b> Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)</p> <p><b>Requirement:</b> 3 mg/l</p> <p><b>Applicability:</b> Ponds</p>	<p>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.</p>	<p>B. Confirm DO in water discharged by farm is ≥ 3 mg/l. If any single value falls outside limits, raise a non-conformity.</p>	C			<p>Check records of DO of pond discharge water measure of farm 1 and 6 found result OK, onsite observe and interview the Farm technician about the testing method found no deviation.</p>
		<p>c. During the on site visit, make arrangements for the auditor to observe calibration of equipment and measurements.</p>	<p>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.</p>	C			<p>Auditor observed farm technician calibration equipment &amp; take measurement of DO. Checking were compliance.</p>
3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]							
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>			
Footnote	[27] For cage culture, there are no requirements for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly.						
3.4.1	<p><b>Indicator:</b> Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>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.</p>	<p>A. Review the farm's sludge management plan.</p>	C			<p>- Farm had sludge management plan QLCT ver 1, issued 01, and fish health management plan which is modify that the sludge will be storage at farm. Sludge in ponds were schedule for emptying one per two month &amp; after harvesting.</p>
		<p>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.</p>	<p>B. Review records to confirm appropriate disposal according to plan.</p>	C			<p>Check record of all pond of Farm 1 and Farm 6, showing appropriate disposal as plan</p>
		<p>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.</p>	<p>C. If yes to (c), confirm farm has appropriate documentary evidence.</p>	C			<p>* Farm 1: check record of all pond, showing compliance. * Farm 6: check record pond 1, showing compliance.</p>
		<p>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).</p>	<p>D. If yes to (d), inspect sludge repository during on-site visit.</p>	C			<p>On-site visit: * Farm 1: have one pond for sludge repository * Farm 6: had fruit gardens near by with some area already have sludge on.</p>
		-	<p>E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems</p>	C			<p>Community interview: no evidence of farm discharge sludge directly into receiving waters on natural ecosystems.</p>
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.						
<b>Instruction to Clients for indicator 3.4.2 - Size of Sludge Repository</b>							
3.4.2	<p><b>Indicator:</b> Evidence of a sludge repository of appropriate size (See Sludge Repository formula in Annex D)</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms managing the sludge using a repository</p>	<p>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.</p>					
		<p>a. Provide calculations showing the sludge repository is of appropriate size.</p>	<p>A. Review farm's calculations to verify accuracy. Confirm compliance.</p>	C			<p>* Farm 1: Check the records of calculation of Sludge repository pond volume for Farm 1, result found conform. * Farm 6: sludge is given fruit garden of local people for free, calculation showing compliance.</p>
		<p>b. Provide evidence of legal access to the sludge repository (see 3.4.1c).</p>	<p>B. During on-site visit, inspect the farm's sludge repository.</p>	C			<p>On-site visit: * Farm 1: sludge is storing on sludge repository pond. * Farm 6: sludge is given fruit garden of local people for free.</p>
3.5 Criteria: Waste management							
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>			

3.5.1	<p><b>Indicator:</b> Evidence of farm solid wastes being discharged into the natural environment</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	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			Had solid waste management plan, it includes treatment for all kinds of waste (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			Onsite check Farm 1 and 6 found no solid waste, check the records of solid waste collection, OK.
		-	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			Onsite check Farm 1 and 6 found no solid waste, check the records of solid waste collection, OK.
3.5.2	<p><b>Indicator:</b> Evidence of human and animal solid wastes being discharged into the natural environment</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	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 are used
		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, maintenance plan issued 10 Jan 12 for both farm 1 and farm 6, check records found no deviation.
		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 emptying and maintenance follow the schedule.	C			Check records found no deviation, onsite check found no deviation about 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	On-site checking: OK, no other animal at farm.
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).	C			Check the construction contract with Nguyen Thanh Tung construction supplier signed on 29 Nov 2011 and commissioning records on 10 Dec 2011, no deviation found.
3.5.3	<p><b>Indicator:</b> Evidence of chemical and medicine wastes being discharged into the natural environment</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	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			Farm's plan for management of chemical and medicinal wastes
		b. During the on-site visit, allow the auditor to inspect the farm's management of chemical and medicinal wastes.	B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.	C			On-site checking no evidence of chemical & medicine wastes discharge into the natural environment. Auditor also checked the warehouse for empty chemical/medicine containers and found no deviation.
		-	C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	C			Implemented according to the procedure
	<p><b>Indicator:</b> Evidence of proper disposal [30] of dead/moribund fish</p>	<p><b>Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish</b></p> <p>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.</p>					
		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			Farm had plan for disposal of dead/moribund fish.
		b. <u>burial, incineration, fermentation</u> : plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).	C			* Dead fish caused by an infectious agent or a pesticide/chemical pollutant: burial * Normal death fish: sell out daily.
		c. <u>septic tank</u> : 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. <u>production of fish meal or fish oil</u> : 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	Had sales contract with moribund fish buyer: fish is used to make fertilizer.

3.5.4	<b>Requirement:</b> Yes								
	<b>Applicability:</b> All	e. <u>feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d")</u> : 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	Check again the buying contract and records of dead fish sold daily, sample check records, found OK, including the written statements from AAH that dead fish not caused by an infectious agent or a pesticide/chemical pollutant.
		f. <u>sold</u> : 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).	C					Check again the buying contract and records of dead fish sold daily, sample check records, found OK, including the written statements from AAH that dead fish not caused by an infectious agent or a pesticide/chemical pollutant.
		-	G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.	C					Plan is effectively implemented, Interview farm worker during on-site visit showing compliance.
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								
3.6 Criteria: Energy consumption									
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>					
3.6.1	<b>Indicator:</b> Information available on the following variables (per year per farm in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method.	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					Maintain receipts of farm energy consumption for the whole year: electric, fuel. The calculate & receipt are in place.
	<b>Requirement:</b> Yes <b>Applicability:</b> All	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					Had full crop record of: * Farm book had record daily fish mortality (species & kg) * Had dead fish daily selling record (kg). * Had dead fish burial record.
PRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS					Major NC	Minor NC	NA		
4.1 Criteria: Presence of pangasius in the water drainage system									
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>					
4.1.1	<b>Indicator:</b> Farm located in a river basin where the farmed species is indigenous or has a self-recruiting [32] stock established before 1st January 2005 <b>Requirement:</b> Yes <b>Applicability:</b> Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	<b>Note:</b> If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established, then Indicator 4.1.1.							
		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					Had declarations from hatcheries that fingerling species is "Pangasianodon 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					Had maps of river basin showing farms' location.
		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 the river basin, had copy of FAO report (Sauvage, 1878) and Scientific Magazine of Can Tho University issued 2008
		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	N/A, species is indigenous
	-	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	<b>Indicator:</b> If a self-recruiting stock is established, evidence of no negative impacts on the environment [33] <b>Requirement:</b> Yes <b>Applicability:</b> 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	N/A, species is indigenous
Footnote	[32] Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times and location are necessary as evidence.								

Footnote	[33] Peer-reviewed papers, official government (competent authority) statements or other comparable references are necessary as evidence.							
4.1.3	<p><b>Indicator:</b> 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]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established</p>	<p>a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.</p>	<p>A. Review evidence provided by the farm to confirm that the farmed species cannot establish in the river basin.</p>				NA	N/A, species is indigenous
Footnote	[34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.							
<b>4.2 Criteria: Genetic diversity</b>								
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>					
4.2.1	<p><b>Indicator:</b> Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p>a. Obtain evidence for either of the following: - the species is indigenous to the river basin (result from 4.1.1); or - a self-recruiting stock has established in the river basin (result from 4.1.2).</p>	<p>A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.</p>	C				See 4.1.1
		<p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p>	<p>B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river basin.</p>	C				See 4.1.1, Farm's GPS location & farm map were available.
		<p>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.</p>	<p>C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.</p>	C				- All seed that had been purchase from hatcheries "Trung Tam Giong Thuy San Dong Thap" and "Co So Nuoi Trong Thuy san Munh Lien" with confirmation letters that the species is Pangasianodon Hypophthalmus. - Had certificate from "vien nghien cuu nuoi trong thuy san II" that the Parents fish use for breeding at these two hatcheries is Pangasionodon hypophthalmus species and it has original from Mekong basin.
		<p>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.</p>	<p>D. Verify that sourcing of seed is in compliance with the Requirement.</p>	C				Checking fingerling source of Pond 9 - farm 1 and pond 1 - fram 1: 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.							
<b>4.3 Criteria: Source of seed</b>								
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>					
4.3.1	<p><b>Indicator:</b> Allowance for use of wild-caught seed for grow out</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	<p>a. Provide a declaration that the farm does not use wild-caught seed for grow out.</p>	<p>A. Verify declaration of no wild-caught seed for grow out.</p>	C				Avaiable od Declaration from hatcheries that no use of wild-caught seed.
		<p>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).</p>	<p>B. Verify that farm has statements from seed suppliers.</p>	C				Seed supplier statements & receipts are aviable.
		<p>c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥ 6 months.</p>	<p>C. Verify the farm maintains accurate records for sourcing of seed.</p>	C				Reord of seed stocking in individual pond & fram diary, records are accurate,
<b>4.4 Criteria: Genetically engineered and hybridized strains</b>								
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>					
4.4.1	<p><b>Indicator:</b> No use of genetically engineered (transgenic) or hybrid seed</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.</p>	<p>A. Verify declaration of no use of genetically engineered or hybrid strains.</p>	C				Avaiable od Declaration from hatcherie that no use of genetically engineered or hybrid strains.
		<p>b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover ≥ 6 months.</p>	<p>B. Verify that farm maintains statements from seed suppliers.</p>	C				Seed supplier statements & receipts are aviable.
Footnote	[31] A genetically modified organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC).							
<b>4.5 Criteria: Escapees.</b>								
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>					
4.5.1	<p><b>Indicator:</b> Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Provide farm records indicating fish sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review records for fish size in different holding units.</p>	C				Fram1 check pond 2, 5, 6, 8, 12 and farm 6: check pond 1, had records of fish size for full crop, checking fish size every 15 days.
		<p>b. Maintain records indicating the size of net mesh or grills for the entire farm. For first audits, farm records must cover ≥ 6 months.</p>	<p>B. Review records for mesh or grill size.</p>	C				Farm diary have record of fish size & mesh size apply: 1cm, 1.5cm, 2.0cm, 4.0cm.
		<p>-</p>	<p>C. During the on-site visit, inspect the size of net mesh or grills to confirm compliance.</p>	C				Check during onsite audit: ask for farm staff to made diving for mesh check showing compliance.

4.5.2	<p><b>Indicator:</b> Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection)</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	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			Net checking & maiternace done daily, keep record.
		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			Had record for full crop,
		c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.	C			Check during onsite audit, for both two farm, auditor request farm staff take out escape protection net and using the ruler to check the net size.
4.5.3	<p><b>Indicator:</b> Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Ponds</p>	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			Official Report of Dong Thap hydrography agency had record maximum height of high water when flooding occurs during last 10 years at difference location, including farm location.
		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			- Onsite visit showing dike system is effciently to prevent spillage when flooding occur. Farm has dike monitor and maintenance procedure, check daily records found OK. - On-site inspect: the farm have no precast concrete point to check and compare, only have signal of highest high flooding last 10 year. Compare show OK.
		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			- Interview local community: no evidence 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	<p><b>Indicator:</b> Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection)</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	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 divides had direct contact with intake water pie for each pond with small mess size 1cm
		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.
		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			onsite check showing compliance, request farm staffs to check the funtion of trap, after that, take off the trap and check net size, the status of net and result found no deviation.
Footnote	[40] These devices should not injure or compromise fish health (e.g., gill nets).						
4.6 Criteria: Pond Maintenance							
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>			
4.6.1	<p><b>Indicator:</b> Evidence that the bund has remained intact [41] throughout the culture cycle</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	a. Prepare a procedure for the monitoring and repair of damaged bunds.	A. Review farm's procedure for bund monitoring and repair.	C			Check the procedure for bund monitor & maiternaces signed on 19 Jan 2012 and records found OK. This non conformity had closed with effectiveness actions
		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			Check the procedure for bund monitor & maiternaces signed on 19 Jan 212 and records found OK.
		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 have some erosion & it had been well repair.
		-	D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.	C			Community interview: no evidence of bun collapse.
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	<b>Indicator:</b> Evidence assuring there has been no intentional release [42]  <b>Requirement:</b> Yes  <b>Applicability:</b> 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			Check the declaration that the farm has made no intentional releases in the last 12 months signed on 01 Dec 2011 found OK, interview the farm worker and residence found no deviation.	
		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			* Chec pond 2, 5, 6, 8, 12 of farm 1 & pond 1 of farm 6 for seed receive record, farm diary record (deaf fish kg & head), harvesting volume (kg & head). Result showing compliance.	
		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 indicate the possibility of intentional release.	C			* Review annual production summary showing compliance.	
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				Major NC	Minor NC	NA		
5.1 Criteria: Sustainability of feed ingredients								
		<b>Compliance Criteria (Required Client Actions):</b>		<b>Auditor Evaluation (Required CB Actions):</b>				
5.1.1	<b>Indicator:</b> Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed  <b>Requirement:</b> No  <b>Applicability:</b> 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			Had feed received receipt for feed use of the whole cycle. Feed use is Domyfeed (GloabGAP certified)	
		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 uncooked or unprocessed fish and/or fish products (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 Domyfeed 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	<b>Indicator:</b> Use of pangasius fish processing by-products [44] as feed or feed ingredients  <b>Requirement:</b> No  <b>Applicability:</b> 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			Commitment from Domyfeed CFM (GloabGAP certified): No use of uncook fish, no use of pangasius by-product, No use of fish meal content species in IUCN as ingredient for feed.	
		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				See 5.1.2.a
		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				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	<b>Indicator:</b> Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46]  <b>Requirement:</b> Yes  <b>Applicability:</b> All	<b>Instructions to Clients for Indicator 5.1.3 - Confirm there are no IUCN Red List Species in Feed</b> For the purposes of this Indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species do not comply with the Standard. This restriction extends to feeds that use by-products (e.g. trimming) or aquacultured products of IUCN Red Listed species.  For each fish product used as a feed ingredient, determine whether the species is on the IUCN Red List as follows: - go to <a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a> - in the primary search field enter the genus and species - click on "run search" and record the status of the species.  Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with Indicator 5.1.3, consider only species identified as "Vulnerable"						
		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				Commitment from Domyfeed CFM (GloabGAP certified): No use of uncook fish, no use of pangasius by-product, 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 database to verify that fish species use as fish meal ingredient provide by Domyfeed CFM, 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	N/A, 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	<p><b>Indicator:</b> Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II and III [47]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site</p>	<p>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.</p>	C		<p>Commitment from Domyfeed CFM (GloabGAP certified): No use of uncook fish, no use of pangasius by-product, No use of fish meal content species in IUCN as ingredient for feed.</p>
		<p>b. Determine if any species identified in 5.1.4(a) is listed in CITES appendix I, II, or III by doing the following: - go to <a href="http://www.cites.org/eng/resources/species.html">http://www.cites.org/eng/resources/species.html</a> - select option "Species", enter genus and species, and click "find it"</p>	<p>B. Repeat search of CITES database to verify that farm obtained an accurate result.</p>	C		<p>Search of CITES database to verify that fish species use as fish meal ingredient provide by Domyfeed CFM, result showing compliance.</p>
		<p>c. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, obtain a statement from the respective supplier confirming compliance.</p>	<p>C. Confirm that farm has provided sufficient evidence of compliance.</p>			NA
Footnote	[47] <a href="http://www.cites.org/eng/app/appendices.shtml">http://www.cites.org/eng/app/appendices.shtml</a>					
5.1.5	<p><b>Indicator:</b> ISEAL-certified fishmeal and fish oil products must be used in feed</p> <p><b>Requirement:</b> Within 3 years of becoming available in a region</p> <p><b>Applicability:</b> All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only trimming and aquaculture products are used</p>	<p><b>Note 1:</b> "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).</p> <p><b>Note 2:</b> "products" does not apply to trimmings and aquacultured products used as feed ingredients (see Indicator 5.1.3).</p>				
		<p>a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p>	<p>A. Confirm that farm has statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest).</p>	C		<p>- Statement from Domyfeed CFM that fish meal ingredient made by fish speices: loignathidae, Engranlidae &amp; Sardinelle, all capture from allow fishing zone by Viet Nam government.</p>
		<p>b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.</p>	<p>B. Review evidence and confirm compliance.</p>	C		N/A
5.1.6	<p><b>Indicator:</b> ISEAL certified fishmeal and fish oil products must be used in feed</p> <p><b>Requirement:</b> Within 5 years from the publication date of the PAD standards</p> <p><b>Applicability:</b> All, after August 2015. Not applicable if only trimming and aquaculture products are used</p>	<p>a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p>	<p>A. Confirm that farm obtains information about feed ingredients.</p>	C		N/A
		<p>b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5.</p>	<p>B. Review evidence and confirm compliance.</p>	C		N/A
	<p><b>Indicator:</b> Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score</p> <p>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</p>	<p><b>Instruction to Clients for Indicator 5.1.7 - FishSource Score of Products Used in Feed</b> To determine FishSource scores of fish species used as feed ingredients, do the following: - go to <a href="http://www.fishsource.org/">http://www.fishsource.org/</a> - select "Species" drop down tab to the left - select the species that is utilized by the farm as a source of fish meal or oil - confirm that the search identifies the correct species, then select the top tab that reads "Scores" - Review scores to verify average FS scores ≥ 6.0; no individual score &lt; 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.</p>				
		<p>a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p>	<p>A. Verify that farm obtains information about feed ingredients.</p>	C		<p>- Statement from Domyfeed CFM that fish meal ingredient made by fish speices: Liognathidae, Engranlidae &amp; Sardinelle, all capture from allow fishing zone by Viet Nam government.</p>

5.1.7	<p>(IFFO) "Responsible Sourcing Program for Certification of Responsible Practice for Fishmeal and Fish Oil Production"</p> <p><b>Requirement:</b> ≥ 6.0 with no individual score &lt; 6.0 or an N/A in the stock assessment category</p> <p>Yes</p> <p><b>Applicability:</b> Up to when standard 5.1.5 or 5.1.6 can be met. Not applicable if only trimming and aquaculture products are used</p>	<p>b. Provide an FS score or verification of IFFO certification for each species used as a feed ingredient in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p>	<p>B. Review FS scores and IFFO certification for species used in feed. Cross check against species listed in feed supplier declarations (see 5.1.3a).</p>	C				N/A
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5.2 Criteria: Efficient management of feed use on the farm

		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
5.2.1	<p><b>Indicator:</b> Maximum weighted [50] average of economic Feed Conversion Ratio (eFCR) for the complete production cycle</p> <p><b>Requirement:</b> 1.68</p> <p><b>Applicability:</b> All</p>	<p>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).</p> <p>b. Maintain records showing the type of feed and the total amount used (see 3.1.1a).</p> <p>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).</p> <p>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).</p> <p>e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.</p>	<p>A. Review records to confirm that farm has records for all seed.</p> <p>B. Confirm that farm has complete and accurate records for feed.</p> <p>C. Verify the farm keeps records showing amount of fish harvested.</p> <p>D. Review calculations for accuracy and completeness.</p> <p>E. Review calculations for accuracy. Confirm compliance.</p>	C				<p>Seed record on farm diary for individual pond.</p> <p>Feed record daily on farm diary for individual pond.</p> <p>Harvesting quantity had record on farm diary, check harvesting receipt of pond 2, 5, 6, 8, 12 farm 1 &amp; pond 1 fram 6: result showing compliance.</p> <p>Had eFCR calculation for individual pond, all result showing compliance.</p> <p>* Farm 1 &amp; 6: Check the calculation method of average eFCR calculation all harvested pond found OK, result eFCR of farm eFCR &lt; 1.68</p>

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	<p><b>Indicator:</b> Maximum Fish Feed Equivalence Ratio (FFER)</p> <p><b>Requirement:</b> 0.5</p> <p><b>Applicability:</b> All</p>	<p>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.</p> <p>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</p>	<p>A. Verify that farm obtains information about percent inclusion of fish meal and fish oil for all feed types.</p> <p>B. Review calculations to verify accuracy. Confirm compliance.</p>	C				<p>Had statement from Domyfeed CFM for feed meal &amp; fish oi content in feed on 9 Feb 12</p> <p>- 28%P: fish meal 4%, fish oil 1%</p> <p>- 26%P: fish meal 3%, fish oil 0.7%</p> <p>- 22%P: fish meal 2%, fish oil 0.5%</p> <p>Had preview FFER calculation of fish meal &amp; fish oil for individula pond, result showing compliance.</p>
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PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety

6.1 Criteria: Mortalities					Major NC	Minor NC	NA	
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		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
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6.1.1	<p><b>Indicator:</b> Maximum average real percentage mortality, from stocking to harvest, during the grow-out period (See Real Percent Mortality formula in Annex D).</p> <p><b>Requirement:</b> 20 %</p> <p><b>Applicability:</b> All</p>	<p><b>Instructions to Clients for Indicator 6.1.1 - Calculating Average Real Percentage Mortality (RPM)</b> Calculate the weighted average of Real Percentage Mortality using the stocking &amp; 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</p> <p>Weighted Average RPM = [ (RPME1 x YieldE1) + (RPME2 x YieldE2) ... + (RPMEn x YieldEn) ] / (YieldE1 + YieldE2 ... + YieldEn)</p> <p>Where E1, E2, En are the 1st enclosure, the 2nd enclosure and the nth enclosure</p> <p>For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p><b>Note 1:</b> Only use counts of live fish in these calculations. Do not include counts of dead fish when determining number of harvested fish or number of stocked fish. <b>Note 2:</b> Only use information from complete crops.</p>					
		<p>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).</p>	A. Review receipts. Confirm that farm records are sufficient to determine number of seed stocked into each enclosure.	C		<p>* Had seed receiving receipt for individual pond * Check seed receiving receipt of pond 2, 5, 6, 8, 12 farm 1 &amp; pond 1 farm 6: result showing compliance.</p>	
		<p>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).</p>	B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.	C		<p>* Had harvesting receipt for individual pond * Check harvesting receipt of pond 2, 5, 6, 8, 12 farm 1 &amp; pond 1 farm 6: result showing compliance.</p>	
		<p>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.</p>	C. Review farm's calculations to verify accuracy. Confirm that average real percentage mortality is ≤ 20%.	C		<p>Preview calculation: Individual pond mortality &amp; average farm mortality were ≤ 20%</p>	
<b>6.2 Criteria: Veterinary medicines and chemicals</b>							
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>				
6.2.1	<p><b>Indicator:</b> Use only veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country.</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Prepare a list of all veterinary medicines, chemicals and biological products used on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. For the list provided in 6.2.1a, identify suppliers and contact information.</p> <p>d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.</p> <p>e. Provide a list of the farm's exports (i.e. sales to parties in foreign countries) over the last 12 months.</p> <p>f. If the farm cannot determine the country of export (6.2.1e), prepare a list of 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).</p> <p>g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumption.</p>	<p>A. Review list of medicines, chemicals and biological products.</p> <p>B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies).</p> <p>C. Review list.</p> <p>D. Confirm that listed products used are approved for aquaculture.</p> <p>E. Review list and compare to farm's sales receipts.</p> <p>F. Review list (as applicable).</p> <p>G. Review list.</p>	C	C	C	<p>* 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).</p> <p>Check farm 1 &amp; 6: check chemical warehouse, stock in-out OK. Cross check actual warehouse with chemical medicine list allow for use at farm found no deviation.</p> <p>Had medicine supplier list with detail contact information.</p> <p>See 6.2.1.a</p> <p>Review list and compare to farm's sales receipts: showing compliance.</p> <p>List of countries export is available with the chemical &amp; medicine substance banned.</p> <p>List of countries export is available with the chemical &amp; medicine substance banned.</p>

		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			List of countries export is available with the chemical & medicine substance banned.
6.2.2	<p><b>Indicator:</b> Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist [55] based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose [56].</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	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			Check record of pond 8 - Farm 1 with internal parasite infected, Prescriptions were Issued & approved by AAH Specialist for use of antiparasite product The prescriptions also maintain need time for product withdrawn before harvest.
		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			Prescriptions were approved by AAH Specialist.
		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.	C			Prescriptions were Issued & approved by AAH Specialist prior to the application.
		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			The AAH Specialist was qualified.
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:						
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	<p><b>Indicator:</b> Follow the aquatic animal health specialist recommendations on: 1- how to apply the veterinary medicine and chemicals prescribed 2 - how to handle &amp; 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</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	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 events 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			Farm's declaration was checked: compliance
		-	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: * Farm 1: Compliance * Farm 6: Compliance
		-	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	<p><b>Indicator:</b> Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label</p> <p><b>Standard:</b> None</p> <p><b>Applicability:</b> All</p>	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 on farm diary & on AAH prescription.
		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 labels and completion dates of withdrawal periods: compliance
		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 farm diary for harvested pond showing compliance.
6.2.5	<p><b>Indicator:</b> Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].</p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> All</p>	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			Available list of antibiotic use.
		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			* Available of Farm's Declaration * Cross check with WHO list of antibiotics critical to human medicine: OK
		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 check: OK
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 <a href="http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf">http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf</a>						
		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 declaration of AAH specialist on Jan 2012.

6.2.6	<b>Indicator:</b> Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem.  <b>Standard:</b> None  <b>Applicability:</b> All	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 declares there is no known unauthorized prophylactic use of veterinary medicines.	C			Verify the AAH Specialist declaration: OK
		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 keeping.
		-	D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.	C			On-site checking of veterinary medicines inventory: * Farm 1: OK * Fram 6: OK
		-	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			Records of use were checked & compared with purchased quantity & inventory quantity held on-site: OK
6.2.7	<b>Indicator:</b> Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters [58].  <b>Requirement:</b> None  <b>Applicability:</b> 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 the AAH Specialist declaration: OK
		-	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			Records of use were checked & compared with purchased quantity & inventory quantity held on-site: OK
Footnote	[58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).						
<b>6.3 Criteria: Pangasius health plan</b>							
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>				
6.3.1	<b>Indicator:</b> Presence of a written pangasius health plan reviewed yearly, updated and approved by a specified aquatic animal health specialist [59] (See Annex E for Health Plan).  <b>Requirement:</b> Yes  <b>Applicability:</b> 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 aviable & 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.
		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			Has updated for 2013 for 2nd year of certification
		-	D. During on-site visit, verify that the plan is implemented and effective.		NC1		Found damage at the location of Farm 6, bund between pond 01 and 02, could not prevent cross-contamination following the VHP
Footnote	[59] GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders.						
<b>6.4 Criteria: Holding-unit specific record-keeping</b>							
		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>				
6.4.1	<b>Indicator:</b> Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities  <b>Requirement:</b> Yes  <b>Applicability:</b> All	a. Maintain records that identify all the veterinary medicines and chemicals used at the grow-out facility. For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains purchase records.	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
		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.	C			There are declarations from all seed suppliers.

6.4.2	<p><b>Indicator:</b> Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>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).</p> <p>For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Verify the farm maintains records for seed quality as required.</p>	C				<p>Verify the farm maintains records for seed quality as required: OK</p>
6.4.3	<p><b>Indicator:</b> Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>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.</p> <p>For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review daily records to confirm that all reporting elements are included. Verify compliance.</p>	C				<p>Daily monitoring record on Farm diary. When fish have symptom of disease or increasing mortality, AAH specialist will be made diagnostic &amp; record on AAH prescription.</p>
Footnote	<p>[60] Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion).</p>							
<p><b>Instructions to Clients for Indicator 6.4.4 - Establishing a Threshold for the Reporting of Mortality Events</b> 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.</p>								
6.4.4	<p><b>Indicator:</b> All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>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).</p>	<p>A. Review daily mortality records.</p>	C				<p>Daily mortality records available on farm diary.</p>
		<p>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).</p>	<p>B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events.</p>	C				<p>AAH Specialist has reviewed daily mortality records &amp; signed on farm diary.</p>
		<p>c. Describe how the threshold was established in the farm's Pangasius Health Plan (see 6.3.1).</p>	<p>C. Review the proposed mortality threshold in the farm's Pangasius Health Plan to confirm compliance with requirements.</p>	C				<p>Proposed mortality threshold is done by surveying of 48 pond of Docifish farms. Review yearly.</p>
		<p>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.</p>	<p>D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements.</p>	C				<p>OK</p>
<p>6.5 Criteria: Fish welfare.</p>								
<p><b>Compliance Criteria (Required Client Actions):</b></p>			<p><b>Auditor Evaluation (Required CB Actions):</b></p>					
<p>Instructions to Clients for Indicator 6.5.1 - Calculating Average Growth Rate</p>								

6.5.1	<p><b>Indicator:</b> Minimum average growth rate</p> <p><b>Requirement:</b> 3.85 g/day</p> <p><b>Applicability:</b> All</p>	<p>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:</p> <p>Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1)</p> <p>AGRP1 = YieldP1 / duration of production cycle (Pond1)</p> <p>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.</p> <p>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:</p> <p>Weighted Average AGR = [ (AGRP1 x YieldP1) + (AGRP2 x YieldP2) ... + (AGRPn x YieldPn) ] / (YieldP1 + YieldP2 ... + YieldPn)</p> <p><b>Clarification note:</b> Indicator 6.5.1 was developed under the assumption that: - fish are stocked at 80 grams, - harvested at 1,000 grams and - average production cycle is 8 months.</p> <p>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).</p> <p>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.</p>					
6.5.2	<p><b>Indicator:</b> Maximum fish density at any time</p> <p><b>Requirement:</b> 38 kg/m2 for ponds and pen</p> <p><b>Applicability:</b> Ponds and Pens</p>	<p>a. Provide a plan of the farm showing surface area (m<sup>2</sup>) of each enclosure.</p> <p>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).</p> <p>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).</p> <p>d. In addition to calculating fish density at harvest (6.5.2.c), farms shall record monthly estimates of fish density for each enclosure using estimated biomass (e.g. from farm diaries) and surface area (see 6.5.2a). For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Verify farm maintains records of the weight of fish stocked in each enclosure.</p> <p>B. Verify farm maintains records of the weight of fish harvested from each enclosure.</p> <p>C. Review calculations to confirm accuracy and completeness.</p> <p>D. Verify that the farm-wide weighted average AGR complies with requirements.</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p>			<p>Weigh of fish stocked were recorded on farm diary for each pond.</p> <p>Weigh of harvested fish record on the harvesting receipt.</p> <p>Calculations were available &amp; accurate.</p> <p>Average AGR was compliance.</p> <p>Surface area for each Pond was record on Fram map &amp; farm diary.</p> <p>Had harvesting receipt for each harvesting pond. For one harvested pond: have some receipt for each harvest transportation boat with date, boat number, total quantity weigh at farm.</p> <p>Review AVG calculation for individual pond &amp; average AGR for the whole farms: showing compliance.</p> <p>Review monthly estimates of fish density: OK</p>
6.5.3	<p><b>Indicator:</b> Maximum fish density at any time</p> <p><b>Requirement:</b> 80 kg/m3 for cages</p> <p><b>Applicability:</b> Cages</p>	<p>a. Provide a description of the system specifying the total number of cages and volume (m<sup>3</sup>) of each cage.</p> <p>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).</p> <p>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).</p> <p>d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates of fish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.</p> <p>B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.</p> <p>C. Review calculations for fish density at harvest to verify compliance.</p> <p>D. Review monthly estimates of fish density to verify compliance.</p>			<p>NA</p> <p>NA</p> <p>NA</p> <p>NA</p>	<p>N/A, Pond</p> <p>N/A, Pond</p> <p>N/A, Pond</p> <p>N/A, Pond</p>
6.6 Criteria: Predator control		<b>Compliance Criteria (Required Client Actions):</b>	<b>Auditor Evaluation (Required CB Actions):</b>				

6.6.1	<p><b>Indicator:</b> Use of lethal predator [61] control</p> <p><b>Requirement:</b> No</p> <p><b>Applicability:</b> All</p>	<p>a. Prepare a list of all predator control devices and their locations.</p>	<p>A. Review list.</p>	C			Only rat traps are applied at farm, No use of other lethal devides.
		-	<p>B. Inspect sites to verify no use of lethal predator controls.</p>	C			Only rat traps are applied at farm, No use of other lethal devides.
Footnote	<p>[61] Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all types of predators during the production period, but only birds, reptiles and mammals during the period of preparation of the holding 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</p>						
<p><b>Instruction to Clients for Indicator 6.6.2 - Presence of IUCN Red Listed Species</b></p>							
6.6.2	<p><b>Indicator:</b> Mortality of IUCN red listed species.</p> <p><b>Requirement:</b> 0 (zero)</p> <p><b>Applicability:</b> All</p>	<p>a. Perform analysis. Record all IUCN red listed species occuring in the area of the farm.</p>	<p>A. Repeat analysis to verify that client obtained an accurate result.</p>	C			<p>Had Scientic Report done by can Tho University about the "Identification of endangered / IUCN red list species at Docifish farm 1 &amp; farm 6" with content including:</p> <ul style="list-style-type: none"> <li>- Identification of endangered species may appear at farm area in comparing with IUCN list.</li> <li>- Risk assessment for all farming practice that can made danger to these species.</li> <li>- Apply new farming practice in order to have no negative impact on endangered species.</li> </ul>
		<p>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.</p>	<p>B. Verify that farm procedures are appropriate and implemented (as applicable).</p>	C			See 6.6.2.a
		-	<p>C. During local community interviews, verify there is no evidence of the farm causing mortality of IUCN red listed species [also see Indicator 2.2.4(E)].</p>	C			Community interview: no evidence of the farm causing mortality of IUCN red listed species
<p><b>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.</b></p>					Major NC	Minor NC	NA
<p><b>PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO COMMUNITY DEVELOPMENT AND POVERTY ALLEVIATION.</b></p>							
<p><b>7.1 Criteria: Labor law</b></p>							
<p><b>Compliance criteria (Required Client Actions):</b></p>							
7.1.1	<p><b>Indicator:</b> Compliance with labor laws in the country where pangasius is produced</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Obtain all national and local labor regulations applicable to the farm. Regulations should cover at least the following issues: labor contracts, child labor, working time, working/living conditions, minimum wage and benefits/allowance, health and safety, presence of on-farm regulation.</p>		C			<p>- Company had issued CBA (Collective Bargaining Agreement) on 11/Jul/2011 Auditor sample check the name of farm staff and the name list of registered for benefit insurance accident from the company, result found OK, company had updated according to actual worker list on farm.</p>
		<p>b. Ensure that the farm and all employees on the farm comply to the labor regulations.</p>		C			<p>1) Interview workers, some workers aware the way to overtime caculation and the company regulation, Collective Bargaining Agreement. 2) Checked training records of the company regulation, Collective Bargaining Agreement and salary calculation - Company had established annual training plan per year - Records of receiving labour contract for all employees Farm 1 and Farm 6.</p>
<p><b>7.2 Criteria: Child labor [62] and young workers [63]</b></p>							
<p><b>Compliance criteria (Required Client Actions):</b></p>							
Footnote	<p>[62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is 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.</p>						
Footnote	<p>[63] Young worker: Any worker between the age of child as defined and under the age of 18.</p>						



7.2.1	<b>Indicator:</b> Minimum age of workers  <b>Requirement:</b> Yes  <b>Applicability:</b> All	a. Maintain a list of all employees employed in the farm indicating date of birth	C			Farm 1: the youngest worker was born on 1991 Farm 6: the youngest workers was born in May/1994. This worker join company in 08/2013 and over 18 years old
		b. Maintain copies of the official ID of all the employees listed showing date of birth	C			All employees have official ID card meet with the list and labour contract.
		c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]	C			Hiring procedure and hiring posted are clear this issue.
		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 company policy
7.2.2	<b>Indicator:</b> 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]  <b>Requirement:</b> Yes  <b>Applicability:</b> 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			The farm have no any employees under 18 years old
		b. Maintain records of schooling commitments of each employee younger than 18 years old	C			The farm have no any 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			The farm have no any 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 young or 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]						
<b>Compliance criteria (Required Client Actions):</b>						
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	<b>Indicator:</b> Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68]  <b>Requirement:</b> Yes  <b>Applicability:</b> 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			Company 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 company regulation
		c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers	C			Interview workers that some feedback have no received labour contract after signed labour contract with HR Dept
		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
		e. Ensure that no employee is obligated to work at the farm to repay debt	C			Interview worker
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						
<b>Compliance criteria (Required Client Actions):</b>						

7.4.1	<p><b>Indicator:</b> The employer provides a non-hazardous working and living environment</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	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 (Suc Khoe & ATLD - ASS-03). Checked the risk assessment for the farm 1 & 6 (ver 04) effected date on 02/Sep/2012
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed	C			The farm have emergency procedure for 9 SOP (Fire, inundation, spill oil, isolate, fish lost, electric shock, food poisoning, chemical spill, mud spill out river.
		c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards			NC2	The farm manager was conducted training all SOP on 5/Jul/2012 at Farm 1 and Farm 6 on 20/Jun/2012 However, there is no health check plan for some new workers in 08, 09/2013
		d. Ensure that employees have constant access to potable/safe drinking water	C			Checked the: - Annual plan of monitoring health & safety condition at two farm. - Reviewed the health & safety checklist form 28/Sep/2012 - Checked the result of the cooking water are meet with QCVN 01/2009/BYT, it was done on 19/Sep/2012
		e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.	C			Onsite checking, there is no deviation
		f. Ensure that the employees' housing is constructed of materials able to withstand local conditions	C			Conducted site tour about house of workers and toilet, kitchen, warehouse. that all are corrected.
7.4.2	<p><b>Indicator:</b> Workers are aware of the health and safety hazards [69] at the work place and how to deal with them</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All, Farm-Wide</p>	a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b			NC3	Farm 1 & 6: Interview worker are good aware and full provided free PPE. But farm does not have list of PPE provided and evidence of regularly checking in 2013

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	<b>Indicator:</b> The employer records all accidents, even if minor [70], and take preventive and corrective action for each  <b>Requirement:</b> Yes  <b>Applicability:</b> All	a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.	C				The farm have one book to update the accidents in farm. However there is no accident from Jan/2012 up to now.	
	b. Ensure that corrective actions are in place as relevant	C				The farm have the corrective and preventive action procedure to maintain system. (PR-14 &15)		
Footnote	[70] Accidents that could not be handled in-house, the person was taken to the closest clinic							
7.4.4	<b>Indicator:</b> Employer ensures that all permanent workers have health insurance [71]  <b>Requirement:</b> Yes  <b>Applicability:</b> All	a. Maintain a list of all permanent workers	C				Checked the social & accident insurance cards which were provided to all employees of farm 1 & farm 6. Checked the status all labour contract of all employees who are working at two farm to meet with labour law. Checked training records of Vietnam labour law for staffs and farm manager. Interview workers, they had confirmed to received labour contract.	
	b. Provide evidence showing health insurance coverage for all permanent workers	C				The labour contract and available photocopy all health insurance cards of permanent workers		
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]								
<b>Compliance criteria (Required Client Actions):</b>								
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	<b>Indicator:</b> Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74].  <b>Requirement:</b> Yes  <b>Applicability:</b> All	a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.	C				The farm have CBA and Mr. Duong Van Trat is union chairman of Docifish company. Labour contract was maintained 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 that.	
		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				CBA was approved by local labor Dept. and Trade union meeting monthly.	
		d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.	C				The name of union chairman and his phone number had put near the complaint box	
		e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.	C				CBA was approved by local labor Dept. and Trade union meeting monthly.	
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								
<b>Compliance criteria (Required Client Actions):</b>								
7.6.1	<p><b>Indicator:</b> Workers do not suffer any discrimination [75] from the employer or other workers</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>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.</p>	C				Issued anti-discrimination policy however need to post this policy in farm Interview workers, no found any signal violation.	
		<p>b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.</p>	C				No found any signal violation	
		<p>c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.</p>	C				At now, No found any pregnant woman on the farm. Checked the pregnant woman policy which was issued on 10/Sep/2012. - Training records of pregnant woman policy on 11/Sep/2012. - Interview woman workers are effective aware about this policy.	
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)								
<b>Compliance criteria (Required Client Actions):</b>								
7.7.1	<p><b>Indicator:</b> Employers treat all workers with dignity and respect</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).</p>	C				No found any signal violation	
		<p>b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)</p>	C				Interview workers and no found any signal violation	
7.8 Criteria: Working hours								
<b>Compliance criteria (Required Client Actions):</b>								
7.8.1	<p><b>Indicator:</b> Maximum number of regular working hours</p> <p><b>Requirement:</b> 8h/day or 48h/week (although these do not have to be consecutive hours)</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.</p>	C				Checked timesheet from Jan to Jul/2012, the timesheet show clear about day-off and day-off compensation following local legislation - Interview workers are aware about annual leave process.	
		<p>b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week</p>	C				They have clear working plan for each farm team	
7.8.2	<p><b>Indicator:</b> Workers have the right to leave the farm after completing the standard work-day</p>	<p>a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).</p>	C				Checking in interview workers so no found any signal violation.	

	<p><b>Requirement:</b> Yes <b>Applicability:</b> All, Farm-Wide</p>	<p>b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave</p>	C			<p>Labour contract was clear shown and defined.</p>
7.8.3	<p><b>Indicator:</b> Minimum time off <b>Requirement:</b> Two nights/week off if residing on the farm and a total of four days/month off for all workers <b>Applicability:</b> All, Farm-Wide</p>	<p>a. Ensure that all workers residing at the farm have the right to 2 nights off/week</p>	C			<p>The farm have night securities plan from Jan to May/2012. It is clear at least 2 day-off per week. Checked the registration of worker to local authority, following legislation of residence</p>
		<p>b. Ensure that all workers have at least 4 days/month off</p>	C			<p>On the timesheets, Some worker have only two or three day off per month from Jan to Sep 2013, ok</p>
		<p>c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.</p>	C			<p>The time sheet of eight months 2013 are available.</p>
7.8.4	<p><b>Indicator:</b> 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) <b>Requirement:</b> Yes <b>Applicability:</b> All, Farm-Wide</p>	<p>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)</p>			NC4	<p>-Checked the salary payment records from Jan-August 2013, compared with timesheet, OK - Farm need to provide more evidence about pay tripple salary for workers working in national holiday 02 Sep 2013</p>
		<p>b. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.</p>	C			<p>The time sheet of six month are available.</p>
		<p>c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights</p>	C			<p>Labour contract was clear shown and defined.</p>
		<p>d. Maintain records of payments for overtime hours</p>	C			<p>Payment records was full maintained from Jan to Aug /2013</p>
Footnote	<p>[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.</p>					
<p>7.9 Criteria: Fair and decent wages</p>						
<p style="text-align: center;"><b>Compliance criteria (Required Client Actions):</b></p>						
		<p>a. Obtain legal documents showing minimum wages for the location where the farm operates.</p>	C			<p>Area Minimun Salary was defined 1T4 (Local Labour Dept Infoming Decree No. 70/2011/NDCP) At now, Company had paid 2.4mil VND monthly salary, plus 0.6mil VND for meal.</p>

7.9.1	<p><b>Indicator:</b> 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</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All, Farm-Wide</p>	<p>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.</p>	C			<p>The minimum salary was not covered the BNW. Checked the basic wage calculation table on 10-Sep-2012 - interview the HR's staff about awareness of method BNW calculation</p>
		<p>c. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees</p>	C			<p>Labour contract was clear shown and defined. (2.4mil VND monthly salary)</p>
		<p>d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.</p>	C			<p>The payment records was full maintained from Jan to Jul Interview worker, they feedback that all payments is on time and by cash</p>
Footnote	<p>[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.</p>					
Footnote	<p>[78] For guidance and methods for basic needs wage calculation, see SA8000 Guidance Document.</p>					
7.9.2	<p><b>Indicator:</b> Workers have the right to know the mechanism for setting the wages and benefits</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Provide a declaration stating the mechanism used for setting wages</p>	C			<p>The company new salary scheme was registered in Feb/2012</p>
		<p>b. Ensure that employees are aware of the mechanism used for setting wages</p>	C			<p>Interview workers, all of workers are aware the way to overtime calculation and the company regulation, Collective Bargaining Agreement.</p>
7.9.3	<p><b>Indicator:</b> Wages shall be paid in cash or in a manner most convenient to workers</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Maintain records of the preferred method of payment for each employee</p>	C			<p>The payment records was full maintained from Jan to Aug/2013</p>
		<p>b. Maintain records of payments indicating the method of payment</p>	C			<p>The payment records was full maintained from Jan to Aug 2013 Interview worker, they feedback that all payments is on time and by cash</p>
7.10 Criteria: Labor contracts						
<b>Compliance criteria (Required Client Actions):</b>						
7.10.1	<p><b>Indicator:</b> Workers have copies of, and can understand, their labor contract [79]</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	<p>a. Ensure that employees have copies of their labor contracts</p>	C			<p>Interview workers, workers received labour contract after signed labour contract with HR Dept</p>
		<p>b. Ensure that employees understand their labor contracts</p>	C			<p>Interview workers are aware about that.</p>
Footnote	<p>[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.</p>					

7.10.2	<p><b>Indicator:</b> Maximum length of probation period stated in the contract for workers, other than farm managers and workers with an university degree</p> <p><b>Requirement:</b> 1 month</p> <p><b>Applicability:</b> All</p>	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			Checked the status all labour contract of all employees who are working at two farm to meet with labour law. Checked training records of Vietnam labour law for staffs and farm manager. Interview workers, they had confirmed to received labour contract. This nonconformity had closed with effectiveness actions
		b. Ensure that probation times are understood by employees and respected	C			Same above NC 7.10.2 a
7.10.3	<p><b>Indicator:</b> Maximum length of probation period stated in the contract for farm managers and workers with an university degree</p> <p><b>Requirement:</b> 2 months</p> <p><b>Applicability:</b> All</p>	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			Same above NC 7.10.2 a
		b. Ensure that probation times are understood by employees and respected	C			Same above NC 7.10.2 a
7.11 Criteria: Management system						
<b>Compliance criteria (Required Client Actions):</b>						
7.11.1	<p><b>Indicator:</b> The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions</p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> All</p>	a. Maintain complaint boxes for employees throughout the farm.	C			- Checked the monitoring book of each time opening the internal and external complaint box. - interview the HR's staff about contents of "Quan Ly Khieu Nai" PR-18 procedure.
		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	<p><b>Indicator:</b> Percentage of issues raised by workers which are registered, tracked and responded to by the employer</p> <p><b>Requirement:</b> 100%</p> <p><b>Applicability:</b> All</p>	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	<p><b>Indicator:</b> Percentage of complaints that are resolved[80] within one month after being received [81]</p> <p><b>Requirement:</b> 90%</p> <p><b>Applicability:</b> All</p>	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.	C			The from Jan upto now, there is no complaint via Box. All of workers are joined monthly meeting and discussion about their problem in working. All of this will be resolved 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	<p><b>Indicator:</b> A plan for addressing the yet to be resolved conflicts is developed and complied with</p>	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

7.11.4	<b>Requirement:</b> Yes <b>Applicability:</b> All	b. Ensure that the plan is adhered to	C			Upto now, No complaint via box
7.11.5	<b>Indicator:</b> timeframe for the contracting [82] or suppliers and service providers that ensure suitable health and safety conditions for their workers [83]	a. For first audit, prepare a declaration of commitment to contract only suppliers and service providers that ensure suitable health and safety condition within 1 year.	C			They was signed commitment and Health & safety instruction with subcontractor
	<b>Requirement:</b> Within 1 year from achieving certification <b>Applicability:</b> All	b. For subsequent audits, ensure that all health and safety conditions as indicated in these Requirements (i.e. within Criteria 7.1, 7.2 and 7.4) 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						
<b>Compliance criteria (Required Client Actions):</b>						
7.12.1	<b>Indicator:</b> Records of the hours worked by every worker employed in the farm are available <b>Requirement:</b> Yes <b>Applicability:</b> All, Farm-Wide	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.	C			All of reocords was keep comply with standard requirements.
		b. Maintain a list of all employees employed in the farm	C			Full records and including the list of resigned workers.
7.13 Criteria: Participatory social impact assessment for local communities.						
<b>Compliance criteria (Required Client Actions):</b>						
7.13.1	<b>Indicator:</b> A participatory Social Impact Assessment (p-SIA) [84] is conducted (See Annex F for more information) <b>Requirement:</b> Yes <b>Applicability:</b> 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 goverment and residers. This report to make by Trung tâm Nghiên cứu Tài nguyên và Phát triển nông thôn (RECERD)
		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	<b>Indicator:</b> Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language <b>Requirement:</b> Yes <b>Applicability:</b> 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						
<b>Compliance criteria (Required Client Actions):</b>						
	<b>Indicator:</b> A verifiable conflict resolution policy [86], [87], for local communities is developed and applied	a. Prepare and ensure the application of a conflict resolution policy for local communities	C			appendix of p-SIA
		b. Maintain records of all the people having received copy of the policy	C			appendix of p-SIA



7.14.1	<b>Requirement:</b> Yes <b>Applicability:</b> All	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	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.					
7.14.2	<b>Indicator:</b> Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Maintain complaint boxes in public locations reachable by the local community.	C			- Checked onsite location of public complaint box and agreement minutes with Ms Nguyen Thi Hanh for place to put complaint box. - Checked the monitoring book of each time opening the internal and external complaint box.
		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 company have one book to monitor local complaint box
7.14.3	<b>Indicator:</b> Percentage of conflicts resolved within the date of being filed <b>Requirement:</b> Within 6 months 50% Within 1 year 75% Within 2 years 100% <b>Applicability:</b> 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 "Quan Ly Khieu Nai" procedure PR-18.
		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						
<b>Compliance criteria (Required Client Actions):</b>						
7.15.1	<b>Indicator:</b> Evidence of advertising positions within local communities before migrant workers are hired <b>Requirement:</b> Yes <b>Applicability:</b> All	a. Maintain a list of all employees employed in the farm indicating also place of origin	C			Each of farm have some 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 in local area.
7.15.2	<b>Indicator:</b> An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities <b>Requirement:</b> Yes, if workers outside the local community are employed	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			On the application form are confirmed polices' clearance

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		<b>A.S.C. NON-CONFORMITY REPORT</b>	
<b>Company: DOCIFISH F (FARM 1 &amp; 6)</b>		<b>Non Conformity No. 01</b>	
<b>File Number:</b>	<b>CLAUSE: 6.3.1</b>	<b>TEAM LEADER: NGUYEN HUY</b>	
<b>Date: 15 Aug 2013</b>	<b>OTHER TEAM MEMBERS: NGUYEN HUY</b>		
<b>Major:X</b>	<b>Minor:</b>	<b>Observation:</b>	<b>COMPANY REPRESENTATIVE: Mr. NGUYEN TAN TOI</b>
<b>DESCRIPTION OF THE NON CONFORMITY:</b> Found damage at the location of Farm 6, bund between pond 01 and 02, could not prevent cross-contamination following the VHP			
<b>Deadline for clearance:</b>		15-août-14	
<b>Audit Comments:</b>			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
<b>Actual Clearance Date: 02/10/2012</b>		<b>Company Representative: Mr. NGUYEN TAN TOI</b>	
<b>Root Cause Analysis</b> Workers did not careful check farm's construction, and farm manager did not well monitor about maintenance activity			
<b>Description of the Corrective Action</b> * Corrective action Farm manager conduct checking and repair all damaged point at farm bund.  * Preventive action: QA dept. conducts meeting with farm manager, request to careful monitor maintenance activity in the farm			
<b>CLEARANCE REPORT (to be completed by BVCertification)</b>			
ACCEPTED		YES	
<b>FOLLOW-UP COMMENTS</b> Checked photo of farm bund has already been repaired and meeting minutes between QA dept. and farm manager, show compliance			
<b>AUDITOR: NGUYEN HUY</b>		<b>SIGNED: HUY NGUYEN</b>	
		<b>DATE: 29 Aug 2013</b>	
CLOSED		YES	

		<b>A.S.C. NON-CONFORMITY REPORT</b>	
<b>Company: DOCIFISH F (FARM 1 &amp; 6)</b>		<b>Non Conformity No. 02</b>	
<b>File Number:</b>	<b>CLAUSE: 7.4.1</b>	<b>TEAM LEADER: NGUYEN HUY</b>	
<b>Date: 15 Aug 2013</b>	<b>OTHER TEAM MEMBERS: NGUYEN HUY</b>		
<b>Major:</b>	<b>Minor: X</b>	<b>Observation:</b>	<b>COMPANY REPRESENTATIVE: Mr. NGUYEN TAN TOI</b>
<b>DESCRIPTION OF THE NON CONFORMITY:</b> Farm 6 has no health check plan for some new workers joining the farm in 2013			
<b>Deadline for clearance:</b>		15-août-14	
<b>Audit Comments:</b>			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
<b>Actual Clearance Date: 02/10/2012</b>		<b>Company Representative: Mr. NGUYEN TAN TOI</b>	
<b>Root Cause Analysis</b> HR dept. of the farm has mistake, did not conduct health checking for new employees joining the farm in 2013			
<b>Description of the Corrective Action</b> * Corrective action Farm conducts health checking for all new workers in the farm  * Preventive action: Farm manager conduct meeting with HR dept. request to conduct health check for all new worker joining in the farm			
<b>CLEARANCE REPORT (to be completed by BVCertification)</b>			
ACCEPTED		YES	
<b>FOLLOW-UP COMMENTS</b> Checked health checking records of all new workers and meeting minutes between HR dept. and farm manager, show compliance			
<b>AUDITOR: NGUYEN HUY</b>		<b>SIGNED: HUY NGUYEN</b>	
		<b>DATE: 29 Aug 2013</b>	
CLOSED		YES	

		<b>A.S.C. NON-CONFORMITY REPORT</b>	
<b>Company: DOCIFISH F (FARM 1 &amp; 6)</b>		<b>Non Conformity No. 03</b>	
<b>File Number:</b>	<b>CLAUSE: 7.4.2</b>	<b>TEAM LEADER: NGUYEN HUY</b>	
<b>Date: 15 Aug 2013</b>	<b>OTHER TEAM MEMBERS: NGUYEN HUY</b>		
<b>Major:</b>	<b>Minor: X</b>	<b>Observation:</b>	<b>COMPANY REPRESENTATIVE: Mr. NGUYEN TAN TOI</b>
<b>DESCRIPTION OF THE NON CONFORMITY:</b> But farm does not have list of PPE provided and evidence of regularly checking in 2013			
<b>Deadline for clearance:</b>		<b>15-août-14</b>	
<b>Audit Comments:</b>			
<b>CORRECTIVE ACTION REPORT (to be completed by the Company)</b>			
<b>Actual Clearance Date: 02/10/2012</b>		<b>Company Representative: Mr. NGUYEN TAN TOI</b>	
<b>Root Cause Analysis</b> HR dept. of the farm has mistake, did not establish the list of provided PPE and monitoring records of PPE use			
<b>Description of the Corrective Action</b> * Corrective action Farm establishes list of provided PPE and PPE use monitoring record  * Preventive action: Farm manager conduct meeting with HR dept. request to update PPE providing into PPE list and records all use of PPE of the farm			
<b>CLEARANCE REPORT (to be completed by BVCertification)</b>			
<b>ACCEPTED</b>		<b>YES</b>	
<b>FOLLOW-UP COMMENTS</b> Checked list of provided PPE and PPE use monitoring record and meeting minutes between HR dept. and farm manager, show compliance			
<b>AUDITOR: NGUYEN HUY</b>		<b>SIGNED: HUY NGUYEN</b>	
		<b>DATE: 29 Aug 2013</b>	
<b>CLOSED</b>		<b>YES</b>	

		<b>A.S.C. NON-CONFORMITY REPORT</b>	
<b>Company:</b> DOCIFISH F (FARM 1 & 6)		<b>Non Conformity No.</b> 04	
<b>File Number:</b>	<b>CLAUSE:</b> 7.8.4	<b>TEAM LEADER:</b> NGUYEN HUY	
<b>Date:</b> 15 Aug 2013	<b>OTHER TEAM MEMBERS:</b> NGUYEN HUY		
<b>Major:</b>	<b>Minor:</b> X	<b>Observation:</b>	<b>COMPANY REPRESENTATIVE:</b> Mr. NGUYEN TAN TOI
<b>DESCRIPTION OF THE NON CONFORMITY:</b> Farm should provide more evidence about pay tripple salary for workers working in national holiday 02 Sep 2013			
<b>Deadline for clearance:</b>		15-août-14	
<b>Audit Comments:</b>			
CORRECTIVE ACTION REPORT (to be completed by the Company)			
<b>Actual Clearance Date:</b> 02/10/2012		<b>Company Representative:</b> Mr. NGUYEN TAN TOI	
<b>Root Cause Analysis</b> Farm has already paid tripple for all workers working in national holiday 02/09/2013, but the payment records has not stated clearly			
<b>Description of the Corrective Action</b> * Corrective action HR dept. of the farm re-modifies the payment slip, to state clearly about additional payment of workers working on national holiday  * Preventive action: Farm manager conduct meeting with HR dept. request to use the new payment slip form to state clearly about additional all payments for workers working in national holiday			
<b>CLEARANCE REPORT (to be completed by BVCertification)</b>			
ACCEPTED		YES	
<b>FOLLOW-UP COMMENTS</b> Checked the new payment slip and meeting minutes between HR dept. and farm manager, show compliance			
<b>AUDITOR:</b> NGUYEN HUY		<b>SIGNED:</b> HUY NGUYEN	
		<b>DATE:</b> 29 Aug 2013	
CLOSED		YES	



**Confidential data for commercially sensitive information**

No content of the report has been removed/ separated because of confidential reasons.

*Including Written of other documented information and Bureau Veritas Certification responses to each submission.*

*If no submission, precise " no submissions received"*

Public Consultation period	Stakeholder submission	BV Response
Audit announcement ( 30 days prior to audit)		
	No submissions received	NA
Draft public report ( 10 days from publication)		

**Table 2. A checklist of records that the farm must provide to the auditor to show evidence of compliance of full crops from > 20% of enclosures.**

No.	Description of Farm Record	Indicator(s)	Record Coverage	Yes / No / NA
1	Records for water intake / water abstraction	2.4.1a, 2.4.2a	1 full crop (see pre-amble in AM)	YES
2	Records for type and quantity of feed used	3.1.1a, 3.1.2a	1 full crop (see pre-amble in AM)	YES
3	Supplier declarations for TP and TN content in feeds	3.1.1b, 3.1.2b	1 full crop (see pre-amble in AM)	YES
4	Records for amount of TP and TN added per ton of fish produced and supporting lab test results	3.1.1d, 3.1.1e, 3.1.2d, 3.1.2e	1 full crop (see pre-amble in AM)	YES
5	Records for weekly DO measurements (to determine minimum DO in water discharged)	3.3.3a	1 full crop (see pre-amble in AM)	YES
6	Records for mortality quantities and their disposal method	3.6.1b	1 full crop (see pre-amble in AM)	YES
7	Records for fish size	4.5.1a	1 full crop (see pre-amble in AM)	YES
8	Register of inspection, mitigation and repair of net mesh or grills	4.5.2b	1 full crop (see pre-amble in AM)	YES
9	Record of actions taken upon detection of escapes	4.5.4c	1 full crop (see pre-amble in AM)	YES
10	Records to show all crops were accounted for (harvested or properly disposed)	4.6.2b	1 full crop (see pre-amble in AM)	YES
11	Written justification for periods of inactivity > 3 months	4.6.2c	1 full crop (see pre-amble in AM)	YES
12	Records (receipts, supplier statement) showing average weight of seed and numbers	5.2.1a	1 full crop (see pre-amble in AM)	YES
13	Records showing amount of fish harvested	5.2.1c	1 full crop (see pre-amble in AM)	YES
14	Calculations for eFCR and yield for each crop	5.2.1d	1 full crop (see pre-amble in AM)	YES
15	Records showing average weight and numbers of seed stocked into each enclosure	6.1.1a, 6.5.1a	1 full crop (see pre-amble in AM)	YES
16	Records showing total number of fish harvested from each enclosure	6.1.1b	1 full crop (see pre-amble in AM)	YES
17	List of all veterinary medicines, chemicals and biological product and records of their usage	6.2.1a, 6.2.1b	1 full crop (see pre-amble in AM)	YES
18	Records of prescriptions/written advice for all veterinary medicines and chemicals used	6.2.2a	1 full crop (see pre-amble in AM)	YES
19	Daily records of product use and water temp for all chemicals requiring withdrawal periods	6.2.4a	1 full crop (see pre-amble in AM)	YES
20	List of all antibiotics used	6.2.5a	1 full crop (see pre-amble in AM)	YES
21	Receipts for purchases of veterinary medicines	6.2.6b	1 full crop (see pre-amble in AM)	YES
22	Detailed records of use of veterinary medicines and chemicals (including withdrawals) for hatchery and grow-out facilities	6.4.1b, 6.4.1d	1 full crop (see pre-amble in AM)	YES
23	Records of daily monitoring for stress or disease	6.4.3a	1 full crop (see pre-amble in AM)	YES
24	Records of daily monitoring for mortality	6.4.4a	1 full crop (see pre-amble in AM)	YES
25	Records showing the total weight of fish harvested from each enclosure	6.5.1b, 6.5.2b, 6.5.3b	1 full crop (see pre-amble in AM)	YES
26	Calculated fish density at harvest for each enclosure	6.5.2c, 6.5.3c	1 full crop (see pre-amble in AM)	YES