

ASC Audit Report

Tilapia x Pangasius ____

Initial ____ Surveillance x Recertification ____

Name client	Aquacorporación Internacional
Client number	821448
Name contact person	Noilyn Carrera
Address client	2.5 KM WEST FROM CEMETERY OF CAÑAS, PASO HONDO
Telephone, fax, e-mail	+506 26684000 ncarrera@tilapia.com
Certificate code	
Date of issue of certificate	31-12-12
Date and length of audit	November 5 th and 6 th
Name of auditor(s)	Efraín Calderon, Principles 1 to 6 Kenlly Mora Vargas, Principle 7
Inspected unit (s)	Finca ACI, Finca La Pacifica, Finca El pelón
Number and % of members evaluated (in case of group certification)	N/A
Issued by	Control Union Peru SAC
Address	Av. Rivera Navarrete 762, piso 15, San Isidro, Lima Peru
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Certifier	Pilar Kuriyama
Date	24-03-14
Signature	

1. METHODOLOGY

Control Union Peru (CUP), a member of the Control Union World Group is an international inspection and certification body and is accredited by ASI on behalf of the Aquaculture Stewardship Council (ASC) to carry out inspection and certification according to the ASC farm certification standards.

Control Union Peru, miembro de Control Union World Group es organismo de inspección y certificación internacional y esta acreditado por ASI en representación del Aquaculture Stewardship Council (ASC) para realizar inspección y certificación de acuerdo a los estándares ASC para fincas.

CUP performs inspection and certification in the fields of FSC, organic production, input, Sustainable Textile production, GLOBALGAP, HACCP, BRC, GMP and GTP.

CUP realiza inspecciones y certificaciones para programas como FSC, producción orgánica, insumos, Producción de textiles sostenible, GLOBALGAP, HACCP, BRC, GMP y GTP.

Audits and certification is carried out in conformity with the procedures as laid down in the Procedure Manual and the program manual for the auditor and certifier. During the audit the qualified CU auditors use standardized audit forms to record their findings.

Auditorias y certificación son realizadas en conformidad con los procedimientos como se establece en el manual de procedimientos y de programa para el auditor y certificador. Durante la auditoria auditores calificados de CU usan formatos estandarizados para registrar los hallazgos.

Based on the information provided by the auditor and by the client, the certifier reviews and evaluates all information provided and certifies the products when all conditions of the regulations are fulfilled. The result of the evaluation is documented in Chapter 7. Audit work by the auditor and certification by the certifier are clearly separated activities.

Basado en la información provista por el auditor y por el cliente, el certificador revisa y evalúa toda la información y certifica los productos cuando todas las condiciones de las regulaciones son cumplidas. El resultado de la evaluación es documentado en el capítulo 7. El trabajo de auditoria por el auditor y de certificación por el certificados son actividades claramente separadas.

2. REPORT

This certification report is made in accordance with the ASC Certification and Accreditation requirements, Version 1.0, Annex C.

Este reporte de certificación es realizado de acuerdo con los requerimientos de certificación y acreditación ASC versión 1.0, anexo C

2.1 Background of the assessed company and description of the management system:

Aquacorporación Internacional, ACI, is a Nile Tilapia (*Oreochromis niloticus*) producer located in Cañas and Liberia, Guanacaste Province, Costa Rica. The project has 3 production units: Finca ACI, Finca La Pacífica and Finca el Pelón. The 3 farms are under the same management system and resources as fingerlings, feed, technical, management and quality staff.

Aquacorporación Internacional, ACI, es un productor de tilapia del Nilo (*Oreochromis niloticus*) ubicado en Cañas y Liberia, provincia de Guanacaste, Costa Rica. El proyecto consta de tres unidades de producción: Finca ACI, Finca La Pacífica y Finca el Pelón. Las tres granjas están bajo el mismo sistema de gestión y los comparten recursos con alevines, alimento, gestión técnica, y personal de calidad.

There are 2 hatcheries that are located in: Finca ACI that provides Finca ACI and Finca La Pacífica and in Finca El Pelón that provides fingerlings for only this farm.

Hay dos hatcheries que se encuentran en: Finca ACI que provee Finca ACI y Finca La Pacífica y en Finca El Pelón que provee alevines sólo para esta finca.

The receiving water bodies were defined per each unit and selected the 3 sampling points. The sampling is done by the same team.

Los cuerpos de agua receptores fueron definidos por cada unidad y seleccionó a los tres puntos de muestreo. El muestreo es realizado por el mismo equipo.

The water resource for the 3 units is provided by irrigation channels and only Finca ACI have a discharge directly to Río Cañas, the other 2 farms discharges to the receiving water body through agriculture irrigation channels.

El recurso agua para las 3 unidades se proporciona a través de canales de riego y sólo Finca ACI tienen una descarga directa a Río Cañas, los otros dos granjas descargan al cuerpo de agua receptor a través de canales de riego agrícola.

2.2 Summary

The scope of this audit is: Tilapia, cluster of sites.

The applicable standards are: ASC Tilapia standard v 1.0, ASC tilapia audit guide 1.0 and the ASC certification and accreditation requirements v 1.0.

El alcance de esta auditoria es: Tilapia, cluster of sites.

Los estándares aplicables son: Estandar de tilapia ASC v 1.0, Guia de auditoria ASC tilapia 1.0 y Requerimientos de certificación y acreditación ASC v 1.0.

2.3 Decision

ACI is recommended to continue with the ASC certification, only one minor NC was detected. Corrective actions for previous audit minor NC were received and settled.

ACI es recomendada para continuar con la certificación ASC, solo una NC menor fue detectada. Acciones correctivas par alas NC menores detectadas en la auditoria anterior fueron recibidas y cerradas.

2.4 Audit background

Author(s): Efrain Calderon

Audit dates: November 5th and 6th

Report finished at: 13-03-14

Report reviewed at: 24-03-14

Date of the certification decision: 31-12-12

Persons involved in the audit:

Patricia Saborio: QMS manager / Gerente SGC

Noilyn Carrera: QMS assistant / Asistente SGC

Gustavo Ureña: Production manager / Gerente técnico

Andrés Riofrio: Veterinarian / Veterinario

Leiber Quiros: Environment and Health manager / Gestor de salud ocupacional y ambiente

Activities audited:

This surveillance audit not included the social principle 7 assessment, because of good performance at previous audit.

The production activities audited were: / **Esta auditoria de vigilancia no incluye la evaluación del principio social 7, debido al buen desempeño en la auditoria previa. Las actividades auditadas fueron:**

- Feeding / Alimentación
- Veterinary treatments / Tratamientos veterinarios
- Receiving waters reference points water sampling and DO lecture / Muestreo de agua de puntos de referencia de cuerpo de agua receptor y lecturas de OD.
- Harvest / Cosecha
- Male/Female sampling / Muestro de machos/hembras
- Predator control / Control de Predadores
- Chemicals storage / Almacenamiento de químicos

Stakeholder participation: No comments to this audit / No hubieron comentarios para esta auditoria

Previous Audits (if applicable):

At last audit 3 minor NCs were detected. All were settled with the following corrective actions:

Standard item / Item del standard	Grading / Categoría	NC Status	Failing	Corrective action
2.5.1	Minor Menor	Closed / cerrada	Samples for data ranges were not taken in the afternoon measurements as indicated in the instructions of the standard: two hours before sunset. Las muestras para los rangos de datos NO fueron tomadas en las mediciones de la tarde como es indicado en las instrucciones del standard: 2 horas antes del atardecer.	Samples are taken as required by standard 2 hours before sunset. Records of sampling time available and correct samling evidenced during audit. Muestras son tomadas como require el standard 2 horas antes del atardecer. Estan disponibles los registros de tiempo de muestreo y muestreo correcto fue evidenciado durante la auditoria.
7.5.2	Minor Menor	Closed / cerrada	There is evidence of activities in production at night in Finca Pelon where workers worked more than 12 hours in a day (national law permits a maximum of 12 hours per day) and more than 12 overtime hours per week affecting the requirement.	Hire 3 more production workers and 1 manager in order to handle shift times. Overtime records from may 2013 show that no workers exceed 12 hours weekly overtime. Contratar 3 trabajadores mas de produccion y un encargado para

			Hay evidencia de actividades de producción en la noche en Finca Pelon donde los trabajadores trabajan más de 12 horas en un día (ley nacional permite un máximo de 12 horas al día) y más de 12 horas extraordinarias por semana afectando al requisito	manejar los tiempos de turnos. Registros de sobretiempos desde mayo 2103 muestran que ningun trabajador excede las 12 horas de sobretiempo semanales
7.10.2	Minor Menor	Closed / cerrada	The company has not communicated to the community the socio-economic impact assessment (requirement c and f). La compañía no ha comunicado a la comunidad el estudio de impacto socio economico (requerimientos c y f)	The company has a corporate website where is published a social assessment of company activities. Letters to main local authorities were sent to explain how to access to the report and if its necessary to request more information how to do it. La compañía tiene un website corporativo donde se publica una evaluacion social de las actividades de la compañía. Cartas a las principals autoridades locales fue eron enviadas para explicar como accede al reporte y si es necesario solicitar mas informacion como hacerlo.

Other activities:

Pre-audit info desk review / Revisión de información pre-auditoría: 20-10-14

2.5 Scope**ASC standard version:** ASC Tilapia standard v 1.0, ASC Tilapia audit guide v 1.0.**Species:** *Oreochromis niloticus and hybrids***Scope of audit:** Units and locations included in the audit with geographical coordinates

<i>Production Unit name</i>	<i>Production Unit number (assigned by CUSI)</i>	<i>Address and geographical positions</i>	<i>Receiving water</i>
Finca ACI	PRD 041544	Cañas, Guanacaste 10°23'58.18"N 85° 6'41.55"O	Rio Cañas
Finca Pacifica	PRD 041548	Cañas, Guanacaste 10°28'6.82"N 85° 8'28.88"O	Rio Tenorio
Finca Pelon	PRD 041549	Liberia, Guanacaste 10°28'37.56"N 85°23'59.45"O	Rio Tempisque

Receiving water: The receiving water bodies are fresh water rivers that have less than 10 m depth. Finca ACI discharge directly to Cañas river, the other two farms discharge to irrigation channels that finally discharges in rivers Tenorio and Tempisque.

Los cuerpos de agua receptores son ríos de agua dulce que tienen menos de 10 m de profundidad. Finca ACI descarga directamente al río Cañas, las otras dos granjas descargan a los canales de riego que finalmente descargan en los ríos Tempisque y Tenorio.

The selections of the RWRP, RWFO and RWFA is simple: upstream, farm or channel discharge and downstream.

La selection of the RWRP, RWFO and RWFA es simple: aguas arriba, descarga de la finca o canales y aguas abajo.

2.6 Description of the start of the Chain of Custody.

The tilapia products from Aquacorporación are eligible to carry the ASC ecolabel and to enter into further certified chains of custody.

Los productos de tilapia de Aquacorporación son elegibles de llevar la ecoetiqueta ASC y de entrar en siguientes cadenas de custodia certificadas.

Considerations for the decision / Consideraciones para la decisión:

- Tracking, tracing and segregation systems within the aquaculture operation / Sistemas de rastreo, trazabilidad y segregación dentro de la explotación acuícola:
Only certified product will be produced at Aquacorporación and no inputs of non certified products from external sources at farm level, the dispatch documents show Aquacorporación as origin.
Solo productos certificados serán producidos en Aquacorporación y no se tienen ingresos de productos no certificados de Fuentes externas a nivel de finca, los documentos de despacho muestran a Aquacorporación como origen.
- Use of transshipment / Uso de trasbordo
Transshipment not practiced, fish is loaded into oxygenated tanks and doors sealed until the arrival to processing plant.
No se practica trasbordo, los peces son cargados en tanques oxigenados y las puertas selladas hasta su arribo a la planta de proceso.
- Eligible operators and point(s) of landing / Operadores elegibles y puntos de desembarque:
The transportation is made by owned or subcontracted trucks that transport the tilapia alive in tanks with numbered seals to a only processing plant (Terrapez)
El transporte se realiza mediante camiones propios o contratados que llevan la tilapia viva en tanques con sellos numerados a una unica planta de proceso (Terrapez)
- Opportunity of substitution of certified with non-certified product within the unit of certification./ Oportunidad de sustitución de product certificado con product no certificado dentro de la unidad de certificación
There is not opportunity of substitution, only certified products will be produced by the legal entity and there are no more tilapia producers in the surroundings.
No existe oportunidad de sustitución , la entidad legal solo producira productos certificados y no existen productores de tilapia en las cercanias.
- Point from which Chain of Custody certification is required./ Punto donde se requiere certificación de cadena de custodia.
The MSC chain of Custody certification for ASC products is required at the point of download at processing plant after harvest and transportation
La certificación MSC cadena de custodia para productos ASC es requerida en el punto de entrega en la planta de proceso despues de la cosecha y transporte.

2.7 Evaluation results

See audit checklist attached / Ver checklist de auditoria adjunto

2.7 Findings.

Aquacorporacion Internacional maintains the ASC certification. Only 1 minor NC was detected and its settling must be effective before the next surveillance audit at November 2014.

Aquacorporacion Internacional mantiene la certificación ASC. Solo se detecto una NC menor y su cierre afectivo debe ser antes de la siguiente vigilancia en noviembre 2014.

PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS PRINCIPIO 1: OBEDECER LA LEY Y CUMPLIR CON TODAS LAS REGULACIONES NACIONALES Y LOCALES

All regulations related to aquaculture operations are complied as: Payment to SENARA water use and property documents. The company is up to date with taxes obligations and property obligations. The internal labor and health and safety regulations working according local laws. All legal compliance was updated for 2013.

Todas las regulaciones relacionadas con las operaciones de acuicultura se cumplan como: Pago al uso del agua SENARA y documentos de propiedad. La empresa se encuentra al corriente de las obligaciones y deberes impuestos a la propiedad. El Reglamento interno de trabajo y de salud y seguridad laboral operan según las leyes locales. Todos el cumplimiento legal esta actualizado a 2013

PRINCIPLE 2: MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY PRINCIPIO 2: MANEJAR LA FINCA PARA CONSERVAR EL HABITAT NATURAL Y BIODIVERSIDAD LOCAL

DDDO average and during audit were below 65%

El promedio y valor de auditoria de DDDO fueron menores a 65%

All water quality values were inside the data set from october 2012 to october 2013,

Todos los valores dentro del rango de valores del juego de datos desde octubre 2013 a octubre del 2013

No evidence of wetlands conversion before or after 1999.

No se evidencio conversión de humedales antes o despues de 1999.

PRINCIPLE 3: CONSERVE WATER RESOURCES

PRINCIPIO 3: CONSERVAR RECURSOS ACUATICOS.

All information for calculations about phosphorus and nitrogen from feed and fertilizers was available as feed producer declarations, invoices and consumption records. The phosphorus levels were under maximum values of the standard.

Toda la información para los calculos acerca del fósforo y nitrógeno de alimentos y fertilizantes estaba disponible tales como declaraciones de fabricante de balanceados, facturas y registros de consumo. Los niveles de fósforo estan por debajo de los máximos del standard.

PRINCIPLE 4: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

PRINCIPIO 4: CONSERVAR LA DIVERSIDAD DE LAS ESPECIES Y LAS POBLACIONES SILVESTRES

The farm takes the necessary measures to avoid escapes of cultured fish to the receiving water bodies as proper maintained screens at pond outlets, transportation that don't allow scapes and sampling of the efficiency of the outlet retention divices. The males percentage of fish avobe 200 g was 100%. No evidence of use of GMOs or lethal predator control.

La finca toma las medidas necesarias para evitar escape de los peces cultivados a las aguas receptoras tales como filtros de malla bien mantenidos en las descargas de los estanques, transporte que no permite escape de peces y muestreo de la eficiencia de las mallas en las descargas de los estanques. El porcentaje de machos por encima de 200g fue de 100%. No evidencia de uso de GMOs o control LETAL de depredadores.

Principle 5: USE RESOURCES RESPONSIBLY

Principio 5: USE LOS RECURSOS RESPONSABLEMENTE

Aquacorporación's feed provider are Biomar, Proveedora de Concentrados and Montes de Oro by declaration letters explains that the source for fishmeal and fishoil is from Tuna by-products for the feed used in grow out. For the first stages is used fishmeal and fish oil from fisheries of not threatened species. One minor NC was detected regarding the fish source scoring of one specie of one feed provider. This non compliance specie was only used at hatchery feed that represent less than 5 % of total feed consumed

Los proveedores de alimento balanceado de Aquacorporación son Biomar, Proveedora de concentrados y Montes de Oro. Mediante cartas de declaración explicna que la fuente de harina y aceite de pescado es de subproductos de atún para el engorde. Para las primeras etapas se utiliza harina y aceite de pescado de pesquerías de especies no amenazadas. Una no conformidad menor fue detectada con respect al puntaje de fishsource de una especie de un proveedor de aliemento. Este incumplimiento fue detectado en una especie usada solo en alimento de alevinaje que representa solo el 5% del total de aliemnto consumido.

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

PRINCIPIO 6: MANEJO DE LA SALUD Y BIENESTAR D ELOS PECES DE UNA MANERA RESPONSIBLE CON EL MEDIO AMBIENTE.

Was evidenced the use of only allowed substances (in origin and destiny countries) under the guide of a Veterinarian Health Plan managed by qualified veterinarians. All treatments were related to a recorded pathology event

Se evidencio el uso de sustancias permitidas (en países de origen y destino) bajo la guía de un Plan Veterinario de Salud manejado por veterinarios calificados. Todos los tratamientos estuvieron relacionados con un evento patológico registrado.

The retention period for water in contact with male reversion hormones comply with the standard with the use collection ponds with the enough volume.

El periodo de retención del agua en contacto con hormonas masculinas de reversion cumple con el estandard con el uso de estanques de colección con el volume suficiente.

The mortalities collection and disposal don't present risks of spread of pathogens internally or to natural water bodies.

La recolección y desecho de mortalidades no presenta riesgos de propagación de patógenos internamente o hacia los cuerpos de agua natural.

PRINCIPLE 7: BE SOCIALLY RESPONSIBLE

Social Module not assessed, because of good performance at previous audit

Modulo social no evaluado, debido al buen desempeño en auditoria anterior

2.8 Non-conformity report(s)

See audit checklist 821448-ASC-2013-01-EC. /**Ver lista de verificación de auditoría 821448-ASC-2013-01-EC.**

2.9 Confidential annexes

There are no confidential annexes to this audit/ No hay anexos confidenciales a esta auditoría

Name and signature of authorized representative:

Position:

Date:

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

ASC audit checklist ASCASS-TIL.F01(02)						
Reportnumber:						821448-ASC-2013-01-EC
1.1 Client contact data						
CUC number:	821448					
Company name:	Aquacorporación Internacional					
Contact person:	Noilyn Carrera					
Address:	2.5 KM WEST FROM CEMETERY OF CAÑAS, PASO HONDO					
Postal code:						
City:	Cañas					
Country:	Costa Rica					
Telephone number:	+506 26684000					
e-mail:	agerencia@tilapia.com; ncarrera@tilapia.com					
1.2 Audit information						
Date of last external audit :	October 18th to 20th 2012					
Audit date :	November 5th and 6th 2013					
Full name of the lead auditor:	Efrain Calderon					
Audit team:	Auditor: Efrain Calderon (principles 1 to 6) Auditor: Kennly Mora (principle 7) (not present during audit only checked corrective actions from previous audit social NCs)					
Type audit :	Announced / Unannounced Initial / Surveillance / Recertification					
1.3 Scope of ASC						
Scope:	Standard Version: ASC tilapia standard 1.0 Specie: Tilapia (<i>Oreochromis niloticus</i>)					
Production units						
	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
F-01	Finca ACI	Cañas, Guanacaste 10°23'58.18"N 85° 6'41.55"O	Rio Cañas	Cañas	Costa Rica	Tilapia
F-02	Finca Pacifica	Cañas, Guanacaste 10°28'6.82"N 85° 8'28.88"O	Rio Tenorio	Cañas	Costa Rica	Tilapia
F-03	Finca Pelón	Liberia, Guanacaste 10°28'37.56"N 85°23'59.45"O	Rio Tempisque	Liberia	Costa Rica	Tilapia

Changes since last audit	
No changes	
1.4 Other information	
Brand name of the company:	Products are commercialized with Rainforest Aquaculture
Mention other existing certification schemes of licensee:	ISO 14000, ISO 9001, OSHAS 18000, BAP
Lead Auditor : Efrain Calderon	Company representative : Noylin Carrera
signature	signature

2. ASSESMENT OF ASC TILAPIA STANDARDS			
Scope: Species of the Family Cichlidae commonly referred as Tilapia (<i>Oreochromis niloticus</i> , <i>O. mossambica</i> , <i>O. aureus</i> and <i>O. hybrids</i>)			
Indicator	Compliance	COMMENTS	
PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS			
1.1	<i>Evidence of legal compliance</i>	YES-NO-n/a	Replace the compliance criteria with the audit findings and comments
1.1.1	Presence of documents proving compliance with local and national authorities on land and water use (e.g., permits, evidence of lease, concessions and rights to land and/or water use) Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Payment to SENARA water use, proof of the 3 farm, receipt 4955534, 19-09-13 b. Trusts with Improsa Bank and Financial Consultants COFIN Madre Villa ACI and farm leases Pacífica and El Pelon. c. Revision in www.protectedplanet.com database of protected áreas near farms, farms are not within protected áreas. d. Inspection by authorities is done only if there is a complaint, No inspections done during last year.
1.1.2	Presence of documents proving compliance with all tax laws Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Proof of having no outstanding obligations issued by tributaries of Guanacaste Tax Administration. b. Receipt of payment of income tax and sales c. Operating Permits veterinaries from MAG: Villa ACI 019789-01 Villa Pacifica 074411-01 Finca El Pelon 074414-01
1.1.3	Presence of documents proving compliance with all labor laws and regulations Requirement: Yes	yes	a. Last update of minimum salaries available from July 2013. b. Health and Safety comitee present

	Applicability: All Farms, Farm-Wide		c. All workers are affiliate to the Social Security, reviewed last payment from september 2013, showing the payment up to date.
1.1.4	Presence of documents proving compliance with regulations or permits concerning water quality impacts. Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Wastewater operational reports of all farms april - june 2013. b. Parameters Ministry of Health reported to meet maximum permissible according to the Rules of dumping and reuse wastewater 19/03/2007. c. All parameters are below the maximum residual limits.
2	MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY		
2.1	<i>Site information</i>		
2.1.1	Site location, history and stewardship activities matrix located in Appendix 1, Table 1 is completed and validated Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Checklist completed and information of last 12 months available b. Review of information from from October 2012 to October 2013, up to date and accurate.
2.2	<i>Presence of natural or established tilapia species</i>		
2.2.1	Demonstration that the tilapia species cultured is established ^[1] and naturally reproducing in the receiving waters ^[2] , of the operation on or before 1 January 2008 ^[3] Requirement: Yes Applicability: All farm locations outside Africa (see 2.2.2), Farm-Wide	yes	a. Document: Presence of tilapia, Oreochromis at the mouth of the Bebedero River, Gulf of Nicoya, Costa Rica. 1993. Bebedero River is were all 3 receiving water bodies goes. Testimony of Costa Rican Institute of Fisheries and Aquaculture, confirming that tilapia are situated on river reeds before 2008

^[1] "A non-indigenous species is considered established if it has a reproducing population within the basin, as inferred from multiple discoveries of adult and juvenile life stages over at least two consecutive years. Given that successful establishment may require multiple introductions, species are excluded if their records of discoveries are based on only one or a few non-reproducing individuals whose occurrence may reflect merely transient species or unsuccessful invasions." (National Oceanic and Atmospheric Administration)

^[2] "Receiving water" is defined as all distinct bodies of water that receive runoff or waste discharges, such as streams, rivers, ponds, lakes and estuaries (adapted from World Health Organization). This does not include farm-constructed water courses, impoundments or treatment facilities (settling ponds, oxidation lagoons, compost pits, etc).

^[3] Where there are no-discharge systems, or no discharge from farm into receiving waters, standards 2.2.1 and 2.2.2 are not applicable.

2.2.2	<p>In Africa, demonstration that the tilapia species and strain cultured is established and naturally reproducing in the receiving waters of the operation on or before 1 January 2008 Requirement: Yes Applicability: Farms located in Africa only (see 2.2.1), Farm-Wide</p>	n/a	a. N/A farm in Costa Rica
2.3	<i>The effects of eutrophication</i>		
2.3.1	<p>The percent change in diurnal dissolved oxygen of receiving waters relative to dissolved oxygen at saturation for the water's specific salinity and temperature Requirement: ≤ 65% Applicability: All Farms, Farm-Wide</p>		<p>a. All DDDO info available from October 2012 to October 2013 b. Equipment calibrated before each lecture with salinity and altitude c. All measurements from the 3 farms are below 65% d. Year average are: ACI 6,21%. Pelon: 10,87%. Pacifica. 9,58% e. Audit values: ACI 3.2%. Pelon: 6.9%. Pacifica. 4.2%, values are inside minimum and maximum values.</p>
2.4	<i>Water quality in oligotrophic receiving waters</i>		

2.4.1	Secchi disk visibility ^[4] limit above which production is not certifiable Requirement: 10 meters Applicability: All Farms, Farm-Wide	n/a	a. Receiving water bodies with less than 10
2.4.2	Compliance with standards 2.4.3. & 2.4.4. when Secchi disk visibility ^[4] ≤ 5.0 meters Requirement: Yes Applicability: All Farms, Farm-Wide	n/a	a. Receiving water bodies with less than 10
2.4.3	Total phosphorus concentration limit in receiving waters ^[4] Requirement: ≤ 20 µg/L Applicability: All Farms, Farm-Wide	n/a	a. Receiving water bodies with less than 10
2.4.4	Chlorophyll a concentration limit in receiving waters ^[4] Requirement: ≤ 4.0 µg/L Applicability: All Farms, Farm-Wide	n/a	a. Receiving water bodies with less than 10
^[4] Measurements shall be taken at the Receiving Water Farm Afar (RWFA) sampling station. See Appendix II for RWFA definition.			
2.5	Receiving water monitoring		

2.5.1	Receiving water quality monitoring matrix completed and validated (Appendix II) Requirement: Yes (6 months data, pre-audit, required) Applicability: All Farms, Farm-Wide		a. 12 months data set available from October 2012 to October 2013 b. All parameters monitored: Turbidity, TSS, Conductivity, nitrogen, phosphorus, chlorophyll a, volume, DO. Water quality matrix accurate and according to the laboratory results. c. DO meter calibrated d. Sampling was witnessed, time and locations are correct and sent immediately to an independent laboratory, Laboratorios Lambda. e. Samples collected and maintained in a container with ice during transport to laboratory. f. Samples were sent sealed to Laboratorios Lambda. g. All values are from tests performed at Laboratorio Lambda, results from audit fall in the data set range for the 3 farms. Results received at November 14 th and December 12 th
2.6	<i>Wetland conservation</i>		
2.6.1	Hectares of allowable wetland ^[5] conversion since 1999 ^[6] Requirement: 0 ha Applicability: All Farms, Farm-Wide	yes	a. No evidence of conversion of wetlands, wetland nearest to the farm el Pelón is at 10 Km Ramsar Wetland Palo Verde, rice fields are between farm and wetland.
<p>^[5] "Wetland is defined as lands where saturation with water is the dominant factor determining the nature of soil development and the types of plant and animal communities living in the soil and on its surface." (United States Environmental Protection Agency)</p>			
<p>^[6] The year Ramsar contracting parties adopted strategic framework for the development of the Ramsar List</p>			
3	CONSERVE WATER RESOURCES		
3.1	<i>Nutrient utilization efficiency</i>		
3.1.1	The total amount of phosphorus added to the culture system per metric ton of fish produced per year. Use equations from Appendix III. Requirement: ≤ 27 kg Applicability: All Farms, Unit	yes	a. Total feed MT/year: la pacifica, 4559. Pelon, 9301. ACI 23315 b. Reviewed invoices from march and august 2013 for feed provided by Biomar, purchases are coherent with the quantity consumed in the same period. c. Total fish MT: Pelon 5314, Pacifica 2748, ACi 13129 d. Letters from feed manufacturers include the P % values. e. Calculations are complete and accurate for each farm. f. Total P/MT: ACI 17.6, Pelon: 17.2, Pacifica 16.9

	of Certification Only		
3.1.2	<p>The total amount of phosphorus released from the culture system per metric ton of fish produced per year. Phosphorus loading will be either calculated using equations from Appendix III or measured in effluent if there is post-culture treatment.</p> <p>Requirement: ≤ 20 kg Applicability: All farms, Unit of Certification Only</p>	yes	<ul style="list-style-type: none"> a. Total feed MT/year: la pacifica, 4559. Pelon, 9301. ACI 23315 b. REvived invoices from march and august 2013 for feed provided by Biomar, purchases are coherent with the quantity consumed in the same period. c. Total fish MT: Pelon 5314, Pacifica 2748, ACi 13129 d. Letters from feed manufacturers include the P % values. e. Calculations are comple and accurate for each farm. f. Total P: ACI 9.7, Pelon: 9.2, Pacifica 8.6.
3.1.3	<p>Calculation and verification of the total amount of nitrogen applied to the culture system. Use equations from Appendix III.</p> <p>Requirement: Measured in kg nitrogen/mt fish/year Applicability: All Farms, Unit of Certification Only</p>	yes	<ul style="list-style-type: none"> a. Total feed MT/year: la pacifica, 4559. Pelon, 9301. ACI 23315 b. REvived invoices from march and august 2013 for feed provided by Biomar, purchases are coherent with the quantity consumed in the same period. c. Total fish MT: Pelon 5314, Pacifica 2748, ACi 13129 d. Letters from feed manufacturers include the N % values. e. Calculations are comple and accurate for each farm. f. Total N: ACI 92.2, Pelon: 92.8, Pacifica 90.2.

3.1.4	<p>Calculation and verification of the total amount of nitrogen released from the farming activity. Use equations from Appendix III. Requirement: Measured in kg nitrogen/mt fish/year Applicability: All Farms, Unit of Certification Only</p>	yes	<p>a. Total feed MT/year: la pacifica, 4559. Pelon, 9301. ACI 23315 b. REvised invoices from march and august 2013 for feed provided by Biomar, purchases are coherent with the quantity consumed in the same period. c. Total fish MT: Pelon 5314, Pacifica 2748, ACi 13129 d. Letters from feed manufacturers include the N % values. e. Calculations are comple and accurate for each farm. f. Total N: ACI 69.9, Pelon: 70.1, Pacifica 66.7.</p>
3.2	<i>Groundwater salinization</i>		
3.2.1	<p>Percent change in specific conductance of freshwater from a drilled well at the time of drilling and the time of audit. This is required when freshwater wells are used in combination with brackish surface water for the culture of tilapia. Freshwater aquifers are defined as having a specific conductance less than 1,300 µS/cm. Requirement: ≤ 10 % Applicability: Only farms where brackish water is used for tilapia culture, Farm-Wide</p>	n/a	<p>a. Fresh water is used with a conductivity less than 1300 us/cm, values confirmed during water sampling.</p>
4	CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS		
4.1	<i>Escapes from aquaculture facilities</i>		

4.1.1	<p>Presence of net mesh or grills/screens, barriers on inlets and outlets of culture vessels (e.g., tanks, ponds and raceways), and mesh on all netted confinement units (e.g., cages and impoundments), appropriately sized to retain the stocked fish Requirement: Yes Applicability: All Farms, Farm-Wide</p>	yes	<p>a. During field visit was observed pond discharge chamber with screens in place and properly maintained b. Verified size of mesh of nursery, pregrow and grow out and are appropriate for the fish size.</p>
4.1.2	<p>Presence of net mesh, or grills/screens and permanent barrier inspection register recording dates, findings and actions taken, including mitigation or fish containment structure repairs Requirement: Yes Applicability: All Farms, Farm-Wide</p>	yes	<p>a. All screen verified were in good maintenance b. Review records from daily review and work orders 29435 and 29259 c. 12 Months information available</p>
4.1.3	<p>Presence of trapping devices placed in effluent/drainage canals or in between cages to sample for escapees, and a record of findings and actions taken Requirement: Yes Applicability: All Farms, Farm-Wide</p>	yes	<p>a. 12 ponds are tested monthly by each farm. Divice operation was observed, no scapes detected. b. Review of records from 12 months, no scapes detected.</p>
4.1.4	<p>In cage culture systems, the minimum distance between the bottom of the cage and the bottom of the receiving waters where the cage is placed Requirement: ≥ 3.0 m Applicability: Cage systems only, Farm-Wide</p>	n/a	<p>a. N/A POND SYSTEM</p>

4.1.5	<p>The minimum percentage of males or sterile fish in a culture unit Requirement: 95 % Applicability: Land-based systems only, Farm-Wide</p>	yes	<p>a. Only Finca ACI and Pelon has reversion ponds. Finca Pacifica is provided by ACI nursery reversion. b. Finca ACI: Ponds reviewed 175, 171, 172: 137 fish, 1 female. 99.2% males c. Finca Pelon: Ponds reviewed 771, 779, 792: 136, 100% males</p>
4.2	<i>Transporting live tilapia</i>		
4.2.1	<p>Presence and evidence of use of fish transport containers that have no escape path for fish Requirement: Yes Applicability: All Farms, Farm-Wide</p>	yes	<p>a. Transport to processing plant is by containers in trucks. No ways of escapes observed</p>
4.3	<i>Transgenic fish</i>		
4.3.1	<p>Allowance for the culture of transgenic tilapia Requirement: No (None allowed) Applicability: All Farms, Farm-Wide</p>	yes	<p>a. Declaration of first 2 non GMO breeding lines acquired in January 2005 by Fishgen Philippines b. No evidence of transgenic animals used.</p>
4.4	<i>Predator control</i>		
4.4.1	<p>Use of lethal^[7] predator control Requirement: No (None allowed) Applicability: All Farms, Farm-Wide</p>		<p>a. Scaring by noise with fireworks, and bird netting over the feeding area b. No evidence of lethal removal methods</p>

<p>^[7] The use of lethal predator control is prohibited, unless a predator becomes impinged in netting and is required to be euthanized.</p>			
4.4.2	<p>Mortality of IUCN Red Listed species Requirement: 0 (zero) Applicability: All Farms, Farm-Wide</p>	yes	<p>a. No risks detected to endangered especies</p> <p>b. List of species in IUCN red list provided by Ministry of environment Energy and Telecommunications, National System conservation areas, Jabiru (Jabiru Mycteria) and crocodile (Cocodrilus acutus).</p> <p>c. Bird mesh size are not a risk to birds, mesh size does not allow trapping. During audit was observed around 10 Jabirus over the ponds dams. Because of the size and feeding habits the nets are not risk to this endangered specie.</p>
5	USE RESOURCES RESPONSIBLY		
5.1	Use of wild fish for feed (fishmeal and oil)		
5.1.1	<p>Feed Fish Equivalence Ratio (FFER).See Appendix IV for feed calculations. Requirement: ≤ 0.8 Applicability: All Farms, Unit of Certification Only</p>	yes	<p>a. Letters with declarations of species used for fishmeal and fish oil available</p> <p>b. Fishmeal and fish oil from fisheries only for the two first stages, grow out feed contains fishmeal from tuna by products.</p> <p>c. Quantities of feed invoices and verified with quantity of fish produced by invoices and transportation bills</p> <p>d. ACI FFERm: 0.02 FFERo: 0.09</p> <p>Pelon: FFERm: 0.02 FFERo: 0.1</p> <p>Pacifica: FFERm 0.01; FFERo: 0.09</p>

<p>5.1.2</p>	<p>Allowance for the use of fishmeal and fish oil in tilapia feed containing products from fisheries that are listed on the IUCN's Red List or the species list maintained by the Convention on the International Trade of Endangered Species of Wild Fauna and Flora Requirement: None Applicability: All Farms, Unit of Certification Only</p>	<p>yes</p>	<p>a. Fish meal species: Ophistonema libertate, Anchoveta Peruvian northern central stock, Anchoveta Chilean III-V region. b. Species not listed in IUCN or CITIES database</p>
<p>5.1.3</p>	<p>Timeframe for producers to source feed containing fishmeal or fish oil originating from fisheries deemed sustainable by an ISEAL member's accredited certification scheme Requirement: 5 years following the date of ISRTA publication Applicability: All Farms, Unit of Certification Only</p>	<p>yes</p>	<p>a. Commitment policy to buy food with fish meal and oil from certified fisheries under a scheme accredited ISEAL, september 2013 b. c. Policy Delivered to Montes de Oro, Proveedora de concentrados, Biomar CR y CL, Pipasa, Guabi d. copy obtained</p>

5.1.4	<p>Prior to achievement of 5.1.3, the average FishSource score characterizing the fishery(ies) from which the fishmeal or fish oil is derived. See Appendix V for explanation of FishSource scoring.</p> <p>Requirement: ≥ 6.0 with no individual score < 6.0 or an N/A in the stock assessment category</p> <p>Applicability: All Farms, Unit of Certification Only</p>	No minor	<ul style="list-style-type: none"> a. Anchoveta Peruvian northern central stock: all scores ≥ 6 b. Ophistonema libertate: Feed from Pipasa (Cargil) is declared by letter that have fish meal from Ophistonema libertate. Fish source was verified and one value is less than 6 and the others N/A. This feed is used only at hatchery and a small quantity is in stock. c. These fishmeals were only for hatchery use and quantities al below of 5% of the total feed used.
5.2	<i>Preference for better feed manufacturers</i>		
5.2.1	<p>Timeframe for producers to provide evidence of preferential sourcing of feed products from feed manufacturers that have a sustainable sourcing policy for feed ingredients, and traceability of feed ingredients</p> <p>Requirement: 2 years following the date that the ISRTA are published</p> <p>Applicability: All Farms, Unit of Certification Only</p>	yes	<ul style="list-style-type: none"> a. Policies available from Montes de Oro, Costa Rica. Biomar Costa Rica. Pipasa, Costa Rica. Proveedora de Concentrados, Costa Rica
5.3	<i>Energy use</i>		

5.3.1	<p>Identification of the energy sources and calculation and verification of total energy used at the culture facility Requirement: Measured in kilojoules/mt fish/year Applicability: All Farms, Farm-Wide</p>	yes	<p>a. Diesel, gasoline and electricity b. Listed with consumption of 12 months available c. Conversion verified in http://tonto.eia.doe.gov/energyexplained/index.cfm?page=about_energy_conversion_calculator d. 2,931,932 Kj per metric ton of fish produced</p>
6	MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER		
6.1	<i>Stocked tilapia recovery</i>		
6.1.1	<p>Percent recovery^[8] of fish stocked in production stages after they have attained a size of 100 grams Requirement: ≥ 65 Applicability: All Farms, Unit of Certification Only</p>	yes	<p>a. Stage where the fish reach 100 gr: NE b. 22,2% rate of loss estimated before that the fish reach to 100 g c. Grow out recovery 83.6%, pre grow out recovery 85,9. Value recovery of fish over 100 grams to harvest 71.8%</p>
^[8] Recovery does not include recruitment of tilapia resulting from reproduction within the culture system.			
6.2	<i>Chemicals</i>		
6.2.1	<p>Allowance for the use of chemicals and therapeutants for disease and pest control that are banned in the importing or producing country Requirement: None Applicability: All Farms, Farm-Wide</p>	yes	<p>a. Updated list of products used and contact information to July 2012, all chemicals observed in the farm are detailed on the list, all products are permitted in local and exportation market b. List of all chemicals used within 12 months. c. Country of destination: United States d. FDA list of prohibited substance, Aquaculture Drugs e. 12 voluntary monitoring annual analysis of antibiotic oxytetracycline. Mandatory testing of contaminants done MAG annual Ministry of Agriculture and Livestock, All prohibited substances undetectable in testing from october 2012 to october 2013. Analysis performed by Inspectorate-Ecuador</p>

6.2.2	<p>Allowance for the prophylactic use of antibiotics, prior to any evidence of a disease problem Requirement: None Applicability: All Farms, Farm-Wide</p>	yes	<p>a. TM700 and Terrivet, active ingredient is oxytetracycline : 4723 kg, bills and prescriptions available (invoices / prescriptions provided). b. Event Diagnosis and prescription for each use of veterinary antibiotics in feed available. c. Prescription details the reason of medication for each event d. Total prescribed and consumption are coherent. Inventory and consumption records were verified.</p>
6.2.3	<p>Minimum hold time required before any water in which fish have been fed with feed containing methyl or ethyl testosterone can be released Requirement: ≥ 48 hours Applicability: All Farms, Farm-Wide</p>	yes	<p>a. ACI hatchery, 68 hours holding capacity at 30 L / s. Pond retention of 7428 m3 b. Pelon hatchery, 129 hours of holding capacity at 16L / s. Pond retention of 7477 m3</p>
6.2.4	<p>Health records proving all therapeutants were used or are being used as prescribed by a veterinary or accredited fish health professional Requirement: Yes Applicability: All Farms, Farm-Wide</p>	yes	<p>a. All prescription developed by Dr. Andres Riofrio b. Veterinarian collegiate # 1054 c. Reviewed medications with the respective diagnosis and prescription of ponds 136, 137 and 140, medicated at the moment of audit</p>
6.2.5	<p>Calculation and verification of the total amount of each antibiotic (active ingredient) used per mt fish produced per year. Requirement: Measured in kilograms of active ingredient of individual antibiotic/mt of fish produced/year Applicability: All Farms,</p>	yes	<p>a. Total amount of antibiotic used 4723 kg: Terrivet 80% TM 700 70% Oxytetracycline. Oxytetracycline per ton of fish =0.187 Kg/MT b. Calculations verified, information available and accurate.</p>

	Farm-Wide		
6.3	<i>Mortalities</i>		
6.3.1	<p>Presence of records demonstrating that fish mortalities are removed consistently on a minimum daily basis</p> <p>Requirement: Yes</p> <p>Applicability: All Farms, Unit of Certification Only</p>	yes	<p>a. Information on mortality collection available from october 2012</p> <p>b. No fish were observed over one day dead. Verified mortality events in ponds 508 and 148. Mortality collected daily and recorded.</p>
6.3.2	<p>Evidence proving acceptable disposal of dead fish, (i.e., landfill receiving receipts, sales receipts, permits or approvals for onsite burial, and assurance if converted to animal meals not destined for the culture of tilapia)</p> <p>Requirement: Yes</p> <p>Applicability: All Farms, Farm-Wide</p>	yes	<p>a. Mortalities can be delivered to fish meal plant or go into burial, amount given to the plant available. Records collected daily amounts available.</p> <p>b. Disposition in burial. Observed burial sites in the 3 farms.</p> <p>c. No leaching observed on nearby water bodies.</p> <p>d. Procedure SA-M-01-C, Opertive manual of good practice and management of aquaculture drugs give the instructiosn how to handle mortalities in chapter “5.2.1 Handling and disposal of dead fish”</p> <p>e. Permit by Health Ministry No. 182-2009, expire at July 13th 2014</p>
6.4	<i>Fish health management</i>		

<p>6.4.1</p>	<p>Presence and evidence of implementation of a fish health plan that is site-specific and contains effective methods for 1) Protecting the farm from introduction of pathogens, 2) Preventing the spread of pathogens within the farm and to the receiving waters and 3) Reducing the potential for development of disease resistance by ensuring responsible therapeutant use Requirement: Yes Applicability: All Farms, Farm-Wide</p>	<p>yes</p>	<p>a. Dr. Andres Riofrio, +506 26691791 ext 111, ariofrio@tilapia.com b. Manual of good practices and drug use in aquaculture, SA-M-01-C version 5 16-08-13 c. Plan is implemented, evidenced disinfecting vehicles and people to pass each point of disinfection.</p>
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Social requirements of this Standard shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1. (See ASC Farm Certification and Accreditation Requirements)			
7	BE SOCIALLY RESPONSIBLE		
7.1	<i>Child labor</i>		
7.1.1	Number of incidences of child ^[9] labor ^[10] Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities were verified.
<p>^[9] A "child" is defined as any person less than 15 years of age. A higher age would apply if the minimum age law stipulates a higher age for work or mandatory schooling. If, however, the local minimum age law is set at 14, in accordance with developing country exceptions under ILO Convention 138, the lower age will apply.</p>			
<p>^[10] "Child labor" is defined as any work by a child younger than the age specified in the definition of a child, except for light work as provided for by ILO Convention 138, article 7.</p>			
7.2	<i>Forced, bonded, compulsory labor</i>		
7.2.1	Number of incidences of forced ^[11] , bonded ^[12] or compulsory labor Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities were verified.

<p>^[11] “Forced (compulsory) labor” is defined as all work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. “Penalty” can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents).</p>			
<p>^[12] “Bonded labor” is defined as when a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.</p>			
7.3	Discrimination in the work environment		
7.3.1	<p>Number of incidences of discrimination^[13] Requirement: 0 (zero) Applicability: All Farms, Farm-Wide</p>	Not assessed	<p>a. This surveillance audit don’t include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.</p>
<p>^[13] “Discrimination” is defined as any distinction, exclusion, or preferences, which has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion, or preference constitutes discrimination. For instance, a merit- or performance-based pay increase or bonus is not by itself discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.</p>			
7.3.2	<p>Evidence of proactive anti-discrimination practice Requirement: Yes Applicability: All Farms, Farm-Wide</p>	Not assessed	<p>a. This surveillance audit don’t include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.</p>


7.4	<i>Health and safety of workers</i>		
7.4.1	Percentage of workers trained in health and safety practices/ procedures/ policies Requirement: 100 % Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.4.2	Percentage of health- and safety-related accidents and violations recorded and mitigated through corrective actions. Requirement: 100 % Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.4.3	Employer responsibility and proof of insurance (accident/ injury) for employee costs in a job-related accident or injury when not covered under national law Requirement: 100 % Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.5	<i>Wages, overtime and working hours</i>		

7.5.1	<p>The percentage of employees who are paid fair and decent wages. Requirement: 100 % Applicability: All Farms, Farm-Wide</p>	Not assessed	<p>a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.</p>
7.5.2	<p>Incidences of abuse of working hours and/or overtime laws Requirement: 0 (zero) Applicability: All Farms, Farm-Wide</p>	Not assessed	<p>a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.</p>
<p>^[14] Labor-only contracting arrangement: The practice of hiring workers without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections</p>			
<p>^[15] False Apprenticeship Scheme: The practice of hiring workers under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a "false" apprenticeship if its purpose is to underpay people, avoid legal obligations, or employ children</p>			
7.6	<p><i>Freedom of association and right to collective bargaining</i></p>		

7.6.1	Incidences of employees denied freedom to associate, ability to bargain collectively ^[16] or denied access to representative(s) chosen by workers Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
[16] "Bargain collectively" is defined as a voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.			
7.7		<i>Disciplinary Actions</i>	
7.7.1	Incidences of abusive disciplinary actions Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.7.2	Evidence of non-abusive disciplinary policies and procedures Requirement: Yes Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.8		<i>Action response plans/policies</i>	
7.8.1	Evidence of implementation of a corrective action plan (updated annually) that addresses unintended problems associated with labor relations and internal	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.

	<p>monitoring of labor activities. Requirement: Yes Applicability: All Farms, Farm-Wide</p>		
7.8.2	<p>Evidence of implementation of an emergency action plan and annual (or more frequent) internal monitoring activities Requirement: Yes Applicability: All Farms, Farm-Wide</p>	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.8.3	<p>Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from employees are responded to within three months after being received. Requirement: Yes Applicability: All Farms, Farm-Wide</p>	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.9	<i>Living conditions for employees</i>		
7.9.1	<p>Evidence that living conditions are clean, sanitary and safe for habitation Requirement: Yes Applicability: All Farms, Farm-Wide</p>	Not assessed	a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.
7.10	<i>Community relations and interaction</i>		

<p>7.10.1</p>	<p>Evidence that farms are not inhibiting or restricting local community access to public land, freshwater resources or public fishing grounds Requirement: Yes Applicability: All Farms, Farm-Wide</p>	<p>Not assessed</p>	<p>a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.</p>
<p>7.10.2</p>	<p>Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from communities are responded to within three months after being received Requirement: Yes Applicability: All Farms, Farm-Wide</p>	<p>Not assessed</p>	<p>a. This surveillance audit don't include the assessment of the social module. Only corrective actions from last audit non-conformities were verified.</p>

ASC audit checklist ASCASS-TIL.F01(01)		
Reportnumber:	821448-ASC-2013-01-EC	
3. Summary and Conclusion		
3.1 List of non-conformities		
ASC Tilapia standard Item	Description (major NC or Minor NC and findings)	
5.1.4	<p>Minor: Feed from Pipasa (Cargil) is declared by letter that have fish meal from Ophistonema libertate. Fish source was verified and one value is less than 6 and the others N/A These fishmeals were only for hatchery use and quantities al below of 5% of the total feed used.</p>	
3.2 Mention all other units, which have been visited including storage rooms		
Antibiotics and chemicals storage rooms, nurseries, farms, receiving waters sample points.		
3.3 Mention products and samples if it has been taken during the inspection		
Samples from receiving water body collected and sent to Independent laboratory Laboratorio Lambda		
3.4 Comments		
Assessment of standards from 1 to 6. Social module was not assessed. NCs from previous audit verified and effectively closed		
3.5 Attachments to this report		
Commitments letters, water quality matrix.		
3.7 Summary and conclusion		
Does the farm comply with ASC Tilapia standard?		
YES NO		
4. Approval of the assessment report by Client		

Date: 6-11-13 Auditor : Efrain CAlderón signature	Date: 6-11-13 Company representative : Noilyn Carrera signature
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5. Review of the assessment report by the certifier
Date: Certifier : signature

ASC Non-Conformity and Re-assessment form

Client number and name	CU 821448, AQUACORPORACION INTERNACIONAL S.A.
Production unit	FINCA ACI, FINCA PELON
Number of non-conformity	01

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

Found non-conformity * Mention failing and audit finding and evidence	Feed from Pipasa (Cargil) is declared by letter that have fish meal from Ophistonema libertate. Fish source was verified and one value is less than 6 and the others N/A These fishmeals were only for hatchery use and quantities al below of 5% of the total feed used.
Section number of checklist/ Reference to standard	5.1.4
Deadline for corrective actions	05-11-14

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing. How, who, when, where	The information of the species that are included in the fish meal was requested after purchasing and use the feed so the compliance with the Fish source of each specie was not assessed. Production staff forgot the evaluation of this standard before purchase and use this feed.
Correction Actions take to solve the punctual failing observed during audit.	Stop purchasing of this or other feed until species included in fish meal comply with the fish source scoring. Time frame: December 2013
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Re-train production staff about the compliance of this standard and to request species of fishmeal information previous to start purchasing a new feed type. Time frame: May 2014
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	To be checked at next surveillance audit.

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!