

ASC Audit Report

Tilapia ___x___ Pangasius ___

Initial _____ Surveillance ___x___ Recertification _____

Name client	TRAPIA MALAYSIA SDN BHD
Client number	814690
Name contact person	Mr. OLAV JAMTOY
Address client	PUSAT PERIKANAN BANDING KM 38,5 JALAN RAYA TIMUR – BARAT 33300 TASEK TEMENGGOR GERIK, PERAK DARUL RIDZUAN, MALAYSIA
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Certificate code	814690-ASC-2012-01
Date of issue of certificate	28/10/2013
Date and length of audit	02 days
Name of auditor(s)	Ms. LE TRAN TRUONG THUY – Environmental part Ms. Edith Lam – ASI's assesor
Inspected unit (s)	01 unit
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
Telephone	+ 5117190400
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Website	www.cuperu.com www.controlunion.com
Certifier	
Date	
Signature	

1. Methodology

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

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

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

Based on the information provided by the auditor and by the client, the certifier reviews and evaluates all information provided and certify the products when all conditions of the regulations are fulfilled. The result of the evaluation is documented in Chapter 2.3. Audit work by the auditor and certification by the certifier are clearly separated activities.

2. Report

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

2.1 Background of the assessed company:

The farm was established from 2007 and located in Lake Temenggor. Land facilities are located within the compound of Department of Fisheries in Banding. The total farm surface is 30 ha (in the amount of 100ha). The main species is Tilapia which is grown in cages. From 2010, the farm is certified against GLOBALGAP standard and this certification has been kept until now (2012)

The farm has been certified from 28/10/2012 to 27/10/2015

2.2 Summary

Scope:

Standard: ASC Tilapia standard V 1.0 April 2012

Specie: Tilapia, single site certification

Unit of certification: TRAPIA farm

Receiving water body: TEMENGGOR LAKE

C1 (RWRP): N 5°28'38.90" ; E 101°20'11.00"

A2 (RWFO): N 5°28'24.90"; E 101°19'19.60"

A14 (RWFA) : N 5°27'7.00"; E 101°19'23.10"

Summary of the report

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

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

The cage is located in Lake Temenggor which is rent from Department of Fisheries. The company obeys the local regulation such as Environmental quality act, Fisheries act, Water act and surface lease and tax, labor laws

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

During SD measurement from 22/10/2012 to 01/09/2013, SD is in the range of 150 cm and 220 cm. At the audit time, the auditor measures SD at 160 cm which is less than 10m and in the range of farm's measurement. The farm has followed all this principle.

PRINCIPLE 3: CONSERVE WATER RESOURCES

There are 03 kinds of feed coming from CARGILL, EWOS fed for Tilapia. By calculation, TP and TN input are 26.4kg (<27kg) and, 124.9kg respectively; TP and TN output are 18.91kg (<20kg) and 103.7 kg, respectively. Nevertheless, the farm has to provide the letter of the feed manufacturer states phosphorus content of CP.

PRINCIPLE 4: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

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

PRINCIPLE 5: USE RESOURCES RESPONSIBLY

IUCN or red list species are not used for fish meal according feed providers declaration. One feed supplier changed the fishmeal source with species that have non compliance with the fish source scoring.

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

All chemical (antibiotic) used in the farm is permitted in Malaysia and followed by Health professional – Mr. Alex. The mortality has been recorded daily and the health management is based on Veterinarian health plan

PRINCIPLE 7: BE SOCIALLY RESPONSIBLE

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

Summary of findings:

Completing the audit, the farm has 06 Minor Non-conformities that need to be settled for the next surveillance audit in Nov. 2014 and 01 major NC to be settled in a 3 months period from this audit (see more details about findings in the audit result)

2.3 Decision

A certificate can be continue the certificate as have corrective action of minor NC and close 01 major NC.

2.4 Audit background

Author(s): Le Tran Truong Thuy

Audit dates: 25/26-11-13

Report finished at: 19-02-14

Report reviewed at: 14-04-14

Date of the certification decision: 16/04/2014

Persons involved in the audit:

- *Mr. Ramon: The farm manager*
- *Employees of the farm*
- *Community interviewed: N/A*
- *ASI's assessor: Ms. Edtih Lam*

Stakeholder participation: N/A this is a surveillance audit

Previous Audits (if applicable): N/A

Other activities:

ASC audit announcement date: N/A surveillance audit
 Stakeholders consultation opened: N/A surveillance audit
 Pre-audit checklist information desk review: 22-11-13

2.5 Scope

ASC Tilapia standard version 1.0 April 2012

Species: Tilapia

Scope of audit:

<i>Production Unit name</i>	<i>Production Unit number (assigned by CUSI)</i>	<i>Address and geographical positions</i>	<i>Receiving water body</i>
TRAPIA grow-out farm	PRD 022368	* PUSAT PERIKANAN BANDING KM 38,5 JALAN RAYA TIMUR – BARAT 33300 TASEK TEMENGGOR GERIK, PERAK DARUL RIDZUAN, MALAYSIA * Geographical positions: - C1 (RWRP): N 5°28'38.90" ; E 101°20'11.00" - A2 (RWFO): N 5°28'24.90"; E 101°19'19.60" - A14 (RWFA): N 5°27'7.00"; E 101°19'23.10"	<i>Temenggore lake</i>

Receiving water body:

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

2.6 Description of the start of the Chain of Custody.

Products included in the scope of certification detailed in this report may enter further certified chains of custody and are eligible to apply to carry the ASC label

Considerations for the decision:

- Tracking, tracing and segregation systems within the aquaculture operation: The farm has the form of following harvesting and transporting the fish to the processing unit. Based on this form, the farm can know which the processing unit fish is transported to. Currently, there is no fish selling to other processing units with the exception of TRAPIA MALAYSIA SDN BHD (processing plant) – the same legality. Besides, TRAPIA MALAYSIA SDN BHD has only one farm which is on the ASC certification route.
- Use of transshipment: The farm has been using transport living trucks in order to transport to the processing unit (by pumping the fish from cages into the trucks)
- Eligible operators and point(s) of landing: Using transport living trucks for fish and there is only one point of harvesting at this farm to the TRAPIA MALAYSIA SDN BHD processing unit point of landing.
- The opportunity of substitution of certified with non-certified product within the unit of certification: There is no chance of substitution and only certified products are produced by the legal entity (TRAPIA farm)
- Point from which Chain of Custody certification is required: Chain of custody certification is required after harvest when fish is received in processing plant also owned by TRAPIA MALAYSIA SDN BHD.

2.7 Evaluation results

See audit checklist attached to this report.

2.8 Non-conformity report(s)

Please see the audit result attached to this report

2.9 Confidential annexes

No have confidential annex to the public report.

Name and signature of authorized representative:

Position:

Date:

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


ASC audit checklist
ASCASS-TIL.F02(03)

Reportnumber:		814690.ASC.2013.01.LTTT			
1.1 Client contact data					
CUC number:	814690				
Company name:	TRAPIA MALAYSIA SDN BHD				
Contact person:	OLAV JAMTOY				
Address:	PUSAT PERIKANAN BANDING KM 38,5 JALAN RAYA TIMUR – BARAT 33300 TASEK TEMENGGOR GERIK, PERAK DARUL RIDZUAN				
Postal code:					
City:					
Country:	MALAYSIA				
Telephone number:	+605 791 0900 FAX: +605 791 6712				
e-mail:	alex@genomar.com				
1.2 Audit information					
Date of last external audit :	The surveillance audit				
Audit date :	25-26/11/2013				
Full name of the lead auditor:	Ms. LE TRAN TRUONG THUY				
Audit team:	Lead Auditor: Ms. LE TRAN TRUONG THUY (Environmental part) Observer:				
Type audit :	Announced / Unannounced Initial / Surveillance / Recertification				
1.3 Scope of ASC					
Scope: AQUACULTURE	Standard Version: 1.0		Specie: TILAPIA		
Production units					
	Company name	Address and GPS coordinates	Receiving water body	City	Country
F-01	TRAPIA MALAYSIA SDN BHD	Address: PUSAT PERIKANAN BANDING KM 38,5 JALAN RAYA TIMUR – BARAT 33300 TASEK TEMENGGOR GERIK GPS coordinates: C1: N 5°28'38.90" ; E 101°20'11.00" A2: N 5°28'24.90"; E 101°19'19.60"	TEMENGGOR LAKE	PERAK DARUL RIDZUAN	MALAYSIA

		A14: N 5°27'7.00"; E 101°19'23.10"			
Changes since last audit					
No change					
1.4 Other information					
Brand name of the company:			TRAPIA MALAYSIA SDN BHD		
Mention other existing certification schemes of licensee:			GLOBALGAP		
Lead Auditor : LE TRAN TRUONG THUY			Company representative :		
signature			signature		



2. ASSESMENT OF ASC TILAPIA STANDARDS

Scope: Species of the Family Cichlidae commonly referred as Tilapia (*Oreochromis niloticus*, *O. mossambica*, *O. aureus* and *O. hybrids*)

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	Form 09 Company act 789874V – serial SSM NUM:133601 from 26/09/2007 for farm registration in Temmengor lake
1.1.2	Presence of documents proving compliance with all tax laws Requirement: Yes Applicability: All Farms, Farm-Wide	NO	- Established on (26/09/2007), the noKP/PPP/S/202/01/1/359 on 10/10/2008. No need to pay incoming tax in 10 years (from 2007 to 2017) - Incoming tax act 1967, lease payment no 34765 (in 30years) By bank 18/09/2013 compare with contract on 27/07/2012 and no.34531 on 18/07/2012 - DOF (Ministry of Agriculture and Agro-based industry malaysia) no:0095 - Malaysian Aquaculture farm certification scheme - fresh fish culture in cage (SPLAM-SAT-IAT-A-11-65] by Dato' Ahamad Sabki Bin Mahmood (director general of fisheries, Malaysia chairman, Executive Committee Malaysia Aquafarm certification Programme valid from 08/12/2011 to 07/12/2013 - à provide evidence to show the farm will leased by DOF to renew the certificate (having the letter from Trapia to DOF - have to send the result to CB after assessment) - Letter from Trapia to DOF about continuing about using facility – however need to have confirmation of DoF on 11/10/2013 no.

			Trapia/SC/197/13
1.1.3	Presence of documents proving compliance with all labor laws and regulations Requirement: Yes Applicability: All Farms, Farm-Wide	YES	The new law about minimum wage by Malaysian law
1.1.4	Presence of documents proving compliance with regulations or permits concerning water quality impacts. Requirement: Yes Applicability: All Farms, Farm-Wide	No	<ul style="list-style-type: none"> - Environmental regulation (the guide for investor) – department of environment – Ministry of natural resources and environment on 10/2010 - Environmental quality act 1974 - Department of Environment: Interim National Water Quality Standards For Malaysia for DOF - Environment assessment report for farm from 2012 - The water analysis result of C1 (RWRP), A2 (RWFO), A14 (RWFA) for once/ month from 22/10/2012 to 21/10/2013: DO and Turbidity checked by farms not by ISO 17025 certified lab
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	<ul style="list-style-type: none"> - The Receiving Water Information Checklist in Audit Reference 2 (Table 1 in Appendix 1 of the Standard) is completed and complied with this point - TRAPIA submit to CB on 22/11/2013
2.2	<i>Presence of natural or established tilapia species</i>		

<p>2.2.1</p>	<p>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</p>	<p>YES</p>	<p>³This Article mention the introduction of tilapia (<i>O. mossambicus</i>) from Malaysia to Fiji Islands in 1949 and 1954 http://www.fao.org/docrep/field/003/ac295e/ac295e00.htm . The following link is more accurate showing when was introduced <i>O. niloticus</i> to Malaysia in 1979 http://www.fao.org/docrep/007/y5728e/y5728e04.htm, additionally The Department of Fisheries Malaysia reports from 1989 aquaculture cage production in the state of Perak where the lake is located see http://www.dof.gov.my resources, fisheries statistics, 1980-1989, 1989 Table - Marine Fisheries & Aquaculture, page 82.² - TRAPIA submit to CB on 22/11/2013</p>
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^[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	- The farm is located in Temenggor lake in Malaysia - Asia
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>	YES	<p>- The DDDO data collected from 22/10/2012 to 21/10/2013 which is in the range of 6.42-15.63% <65% - Equipment calibration is made for each time of measurement. - Measurement is + 5am - 6a.m: To: 27.8oC; DO: 5.8mg/L; Barometric pressure: 980.0mmHg, So/oo: 0; + 4pm-5pm: To: 29.9oC; DO: 7.5mg/L; Barometric pressure: 978.0mmHg, So/oo: 0; DDO is 18.75% which is out of range (6.42-15.63%).</p>
2.4	<i>Water quality in oligotrophic receiving waters</i>		
2.4.1	<p>Secchi disk visibility^[4] limit above which production is not certifiable Requirement: 10 meters Applicability: All Farms, Farm-Wide</p>	YES	<p>- SD data is collected from 22/10/2012 to 21/10/2013 - The depth of RWFA is 80 metter. SD is min 150cm and max 220cm. - At the audit: SD= 1.6 - 2.0m <10m</p>
2.4.2	<p>Compliance with standards 2.4.3. & 2.4.4. when Secchi disk visibility^[4] ≤ 5.0 meters Requirement: Yes Applicability: All Farms, Farm-Wide</p>	YES	<p>- SD is min 150cm and max 220cm. - At the audit: SD= 1.6 - 2.0m <10m</p>

2.4.3	Total phosphorus concentration limit in receiving waters ^[4] Requirement: ≤ 20 µg/L Applicability: All Farms, Farm-Wide	N/A	- SD is min 150cm and max 220cm. - At the audit: SD= 1.6 - 2.0m <10m
2.4.4	Chlorophyll a concentration limit in receiving waters ^[4] Requirement: ≤ 4.0 µg/L Applicability: All Farms, Farm-Wide	N/A	- SD is min 150cm and max 220cm. - At the audit: SD= 1.6 - 2.0m <10m

^[4] Measurements shall be taken at the Receiving Water Farm Afar (RWFA) sampling station. See Appendix II for RWFA definition.

2.5	<i>Receiving water monitoring</i>		
2.5.1	Receiving water quality monitoring matrix completed and validated (Appendix II) Requirement: Yes (6 months data, pre-audit, required) Applicability: All Farms, Farm-Wide	YES	Receiving water quality monitoring matrix collected from 22/10/2012 to 21/10/2013 submit to CB on 22/11/2013
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	N/A	Not applicable because that is not wetland

^[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)

^[6] The year Ramsar contracting parties adopted strategic framework for the development of the Ramsar List

3	CONSERVE WATER RESOURCES		
3.1	<i>Nutrient utilization efficiency</i>		



3.1.1	<p>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 of Certification Only</p>	YES	<ul style="list-style-type: none"> - The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system) - No longer use CP fee. The letter of EWOS and CARGILL - Nutrient budget worksheet (audit reference 8): TP input = 26.41kg < 27kg
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. Requirement: ≤ 20 kg Applicability: All farms, Unit of Certification Only</p>	YES	<ul style="list-style-type: none"> - The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system) - Nutrient budget worksheet (audit reference 8): TP output = 18.91kg < 20kg - no post-culture treatment for phosphorus
3.1.3	<p>Calculation and verification of the total amount of nitrogen applied to the culture system. Use equations from Appendix III. Requirement: Measured in kg nitrogen/mt fish/year Applicability: All Farms, Unit of Certification Only</p>	YES	<ul style="list-style-type: none"> - The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system) - Nutrient budget worksheet (audit reference 8): TN input = 124.9kg
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	<ul style="list-style-type: none"> - The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system) - Nutrient budget worksheet (audit reference 8): TN output = 103.7 kg
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	- No Groundwater salinization, lake cage system
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>Inspected the net mesh, screen and barrier: - 1.1-3g: 5mm - 6-100g: Orange Net (3/4") - >100g: Aquagrid 1 inch</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>	NO	<ul style="list-style-type: none"> - Grow-out operation: Aquagrid passport and net inspection - Net inspection form recorded and kept from 2010 until now - No have identification number of each cage
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	<ul style="list-style-type: none"> - Escapee daily control SOP by Jorge Ulloa – Farm Operation ma - Fish Escapee and predator recording form control record from 2010 until now



4.1.4	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	YES	The depth of lake is 80m. The bottom of cage and bottom of the receiving water is >3m
4.1.5	The minimum percentage of males or sterile fish in a culture unit Requirement: 95 % Applicability: Land-based systems only, Farm-Wide	N/A	a. <i>The cage system</i>
4.2	<i>Transporting live tilapia</i>		
4.2.1	Presence and evidence of use of fish transport containers that have no escape path for fish Requirement: Yes Applicability: All Farms, Farm-Wide	YES	- Checked the containers, no escape paths for live fish transported to the farm and from the farm.
4.3	<i>Transgenic fish</i>		
4.3.1	Allowance for the culture of transgenic tilapia Requirement: No (None allowed) Applicability: All Farms, Farm-Wide	YES	Statement on non GMO use of GenoMar AS by Professor, Dr Medicine Veterinary (DVM) Norway
4.4	<i>Predator control</i>		
4.4.1	Use of lethal ^[7] predator control Requirement: No (None allowed) Applicability: All Farms, Farm-Wide	YES	No use Lethal predator control
^[7] <i>The use of lethal predator control is prohibited, unless a predator becomes impinged in netting and is required to be euthanized.</i>			
4.4.2	Mortality of IUCN Red Listed species Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	YES	- No have mortality of IUCN red listed species. The location of finding is in South and southeast Asia – Malaysia
5	USE RESOURCES RESPONSIBLY		
5.1	<i>Use of wild fish for feed (fishmeal and oil)</i>		

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	<ul style="list-style-type: none"> - The letter of Cargill and EWOS. The time of finishing used from 01/10/2012 to 30/09/2013 is on 01/2012. (Audit reference 9) - FFER 0,38
5.1.2	<p>Allowance for the use of fishmeal and fish oil in tilapia feed containing products from fisheries that are listed on the IUCN's Red List or the species list maintained by the Convention on the International Trade of Endangered Species of Wild Fauna and Flora Requirement: None Applicability: All Farms, Unit of Certification Only</p>	YES	<p>Confirmation letter. No species in red list - The letter of Cargill and EWOS. The time of finishing used from 01/09/2011 to 31/08/2012 is on 01/2012. (Audit reference 9)</p>
5.1.3	<p>Timeframe for producers to source feed containing fishmeal or fish oil originating from fisheries deemed sustainable by an ISEAL member's accredited certification scheme Requirement: 5 years following the date of ISRTA publication Applicability: All Farms, Unit of Certification Only</p>	N/A	<ul style="list-style-type: none"> - Not applicable in this time - The letter of Cargill and EWOS
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. Requirement: ≥ 6.0 with no individual score < 6.0 or an N/A in the stock assessment category Applicability: All Farms, Unit of Certification Only</p>	NO	<p>The letter of EWOS and CARGILL but Cargill has been using fishmeal and fish oil from wildcaught without inform to TRAPIA. The letter from Cargill to show fishmeal and fish oil coming from wildfish not in FS.</p>
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 Requirement: 2 years following the date that the ISRTA are published Applicability: All Farms, Unit of Certification Only</p>	YES	<ul style="list-style-type: none"> - The list of feed suppliers in the audit reference 1 - Checked the letter of CARGILL and EWOS with communication of the Cargill and EWOS and the feedback of TRAPIA.
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	The total energy used is 4176.05MJ.mt
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>		Recovery calculation accepted by CU. This period recovery is 75%
^[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	POisons act 1952 (section 26(2)) 020446 from 01/01/2014 to 31/12/2014 noreg. AB038/2014 – AB093/2013 for 2013
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>	NO	<p>Prescription no:101137 oxytetracycline 1.13kg from 27/11 to 6/12/2012, streptococcus Prescription no:102645' oxytetracycline GB08- no Have signature of Dr. Goh of DOF on 26/08/2013 and Ramon, with no withdrawal recommendation on prescription GOH from Malaysia and Ramon (Full of Qualification) from University of striling</p>

			Bwt delivery order and using chemical (inventory) on 20/05/2013 and 24/04/2013: there two lot but in the record said the same batch number
6.2.3	Minimum hold time required before any water in which fish have been fed with feed containing methyl or ethyl testosterone can be released Requirement: ≥ 48 hours Applicability: All Farms, Farm-Wide	N/A	No use of testosterone at grow out sites. Hatchery is in other location
6.2.4	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`	YES	- All prescription are in place by Mr. Ramal and specialist from DOF
6.2.5	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, Farm-Wide	YES	- Checked the system record and summarization of data from 01/09/12 – 31/08/12, the amount of active ingredient used is Amoxicilline which is only used in the grow-out calculated. The average antibiotic consumption is around 0.89 kg/ mt fish
6.3	Mortalities		
6.3.1	Presence of records demonstrating that fish mortalities are removed consistently on a minimum daily basis Requirement: Yes Applicability: All Farms, Unit of Certification Only	YES	Fish stock record has showed the mortalities and dead fish is checked daily



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) Requirement: Yes Applicability: All Farms, Farm-Wide</p>	NO	The record show the % of volumen of the mortality container used and not the number of death fish (including sugbbish and dead fish)
6.4	<i>Fish health management</i>		
6.4.1	<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>	YES	Verterinary Health Plan updated on 08/2013 by Mr. Alex

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	N/A	The first surveillance audit without social part audit
<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	N/A	The first surveillance audit without social part audit
<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	<i>Discrimination in the work environment</i>		



7.3.1	Number of incidences of discrimination ^[13] Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
<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	Evidence of proactive anti-discrimination practice Requirement: Yes Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
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	N/A	The first surveillance audit without social part audit
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	N/A	The first surveillance audit without social part audit
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	N/A	The first surveillance audit without social part audit
7.5	<i>Wages, overtime and working hours</i>		

7.5.1	The percentage of employees who are paid fair and decent wages. Requirement: 100 % Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
7.5.2	Incidences of abuse of working hours and/or overtime laws Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
<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	<i>Freedom of association and right to collective bargaining</i>		
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	N/A	The first surveillance audit without social part audit
<p>^[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.</p>			
7.7	<i>Disciplinary Actions</i>		
7.7.1	Incidences of abusive disciplinary actions Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit

7.7.2	Evidence of non-abusive disciplinary policies and procedures Requirement: Yes Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
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 monitoring of labor activities. Requirement: Yes Applicability: All Farms, Farm-Wide	N/A	But no have radio to contact to the office in emergency and no have clean water in toilet
7.8.2	Evidence of implementation of an emergency action plan and annual (or more frequent) internal monitoring activities Requirement: Yes Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
7.8.3	Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from employees are responded to within three months after being received. Requirement: Yes Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
7.9	<i>Living conditions for employees</i>		
7.9.1	Evidence that living conditions are clean, sanitary and safe for habitation Requirement: Yes Applicability: All Farms, Farm-Wide	NO	No have radio to contact to the office in emergency and no have clean water in toilet

7.10	<i>Community relations and interaction</i>		
7.10.1	Evidence that farms are not inhibiting or restricting local community access to public land, freshwater resources or public fishing grounds Requirement: Yes Applicability: All Farms, Farm-Wide	N/A	The first surveillance audit without social part audit
7.10.2	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	N/A	The first surveillance audit without social part audit



ASC audit checklist ASCASS-TIL.F01(01)	
Report number:	814690.ISRTA.2012.01.LTTT
3. Summary and Conclusion	
3.1 List of non-conformities	
ASC Tilapia standard Item	Description (major NC or Minor NC and findings)
No.1 – 1.1.2 Status: closed	Minor NC - Letter from Trapia to DOF about continuing about using facility – however need to have confirmation of DoF on 11/10/2013 no. Trapia/SC/197/13
No.2 – 1.1.4 Status Closed	Minor NC - The water analysis result of C1 (RWRP), A2 (RWFO), A14 (RWFA) for once/ month from 22/10/2012 to 31/09/2013: DO and Turbidity checked by farms not by ISO 17025 certified lab
No.3 – 4.1.2 Status Closed	Minor NC - No have identification at each cage
No.4 – 5.1.4 Status Closed	Major NC The letter from Cargill to show fishmeal and fish oil coming from wildfish not in FS. Correction: Contact provider and request that the fish source scoring must be in compliance. Provider declared that all feed provided for TRapia wil content by-products Pangasius fishmeal and by-products of fish for uman consumption fishoil. Corrective action: Any supplier that change fish meal without notice will be given letter of complain and they must must reply back within 2 weeks. TRAPIA has the authority to end the contract if they are not obeying the rule.
No.6 – 6.2.2 Status Closed	Minor NC Prescription no:101137 oxytetracycline 1.13kg from 27/11 to 6/12/2012 Prescription no:102645' oxytetracycile GB08- no Have signature of Dr. Goh of DOF on 26/08/2013 and Ramon, with no withdrawal recommendation on prescription GOH from Malaysia and Ramon (Full of Qualification) from University of striling Bwt delivery order and using chemical (inventory) on 20/05/2013 and 24/04/2013: there two lot but in the recore said the same batch number
No.8 – 6.3.2 Status: Closed	Minor NC - The record should show the number of dead fish not to show 75% of container (including sugbbish and dead fish) - No mention the time period in pumping dead fish and training to worker
No.9– 7.9.1 Status: Closed	Minor NC But no have radio to contact to the office in emergency and no have clean water in toilet
3.2 Mention all other units, which have been visited including storage rooms	

- Feed storage
- Chemical storage

3.3 Mention products and samples if it has been taken during the inspection

The water samples of RWFA, RWFO, RWRP

3.4 Comments

3.5 Attachments to this report

The map of Grow-out

3.7 Summary and conclusion

Does the farm comply with ASC Tilapia standard?

YES NO

4. Approval of the assessment report by Client

Date: 26/11/2013

Auditor : LE TRAN TRUONG THUY

signature



5. Review of the assessment report by the certifier

Date:

Certifier :

signature