

ASC Audit Report

Tilapia Pangasius Initial Surveillance Recertification

FOR COMMENTS OF THE DRAFT VERSION OF THIS REPORT PLEASE CONTACT: LETHUY@CONTROLUNION.COM; ECALDERON@CONTROLUNION.COM; PKURIYAMA@CONTROLUNION.COM

| | |
|--------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| Name client | VINH QUANG FISHERIES CORPORATION |
| Client number | 832468 |
| Name contact person | Mr. NGUYEN BINH PHUONG |
| Address client | Lot 37-40 My Tho Industrial Park, My Tho city, Tien Giang province |
| Telephone, fax, e-mail | Telephone: +84 (73)3953358 Fax: +84 (73)3953198 Email: phuongnguyen@vinhquangtg.com |
| Certificate code | CUP-C-832468-ASC-01-2014 |
| Date of issue of certificate | 12-09-14 |
| Date and length of audit | 05-06/06/2014 - 02 days |
| Name of auditor(s) | Ms. LE TRAN TRUONG THUY – Environmental part Mr. LE ANH NGOC – Social part Mr. LE XUAN QUYNH – Technical expert |
| Inspected unit (s) | 01 unit - PRD049702 |
| 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 | Control union peru s.a.c. |
| Date | 02-12-14 |
| 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.

CUP performs inspection and certification in the fields of FSC, 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 7. 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 registered unit is named VINH QUANG Farm, which was completely constructed in 2008 and located at an Loc dune, Tan Loc ward, Thot Not District, Can Tho city, Vietnam. There are total 26 cages. The receiving water body of the farm is Hau River. The estimated yearly production is 1,000 MT

2.2 Summary

Scope:

Standard: ASC Tilapia standard V 1.0 Jan. 2012

Specie: Tilapia, single site certification

Unit of certification: Tilapia farm VINH QUANG

Receiving water body: Hau River

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 Hau river which is allowed by local government. The company obeys the local regulation such as approved by the the branch of Aquaculture Department of Can Tho; The business licence no. 1200543012; The information ref. "acceptance of Environment protection assurance for fish farming project" Fish farming in cages - Duc Thanh - area 2" on 30/05/2014 no. 27/TB-UBND

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

During SD measurement from 10/07/2013 đến 31/05/2014, SD is in the range of 50 cm and 65 cm. At the audit time, the auditor measures SD at 170 cm which is less than 10m and in the rage of farm measurement. The farm has followed all this principle.

PRINCIPLE 3: CONSERVE WATER RESOURCES

There are 01 kind of feed . By calculation, TP and TN input are 12.5 kg (<27kg) and, 300 kg respectively; TP and TN output are 5.0 kg (<20kg) and 279 kg, respectively. The farm has provide the letter of the feed manufacturer

PRINCIPLE 4: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

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

PRINCIPLE 5: USE RESOURCES RESPONSIBLY

The fishmeal comes from by-product

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

The farm not use antibiotic. All records and inventory are available to auditor

PRINCIPLE 7: BE SOCIALLY RESPONSIBLE

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

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

Summary of findings:

Completing the audit, the farm had 06 minor Non-conformities which were closed (see more details about findings in the audit result).

| Nr | Standard item | Grading | NC Status | Falling | Corrective action |
|----|---------------|---------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| 1 | 4.1.3 | Minor | closed | The farm has the trapping map and know how to control as to see the escapee but not yet put it in the document | See attachment |
| 2 | 6.1.1 | Minor | closed | Checked the calculation, the percent recovery of fish stocked in production stages is not calculated | See attachment |
| 3 | 7.3.2 | Minor | closed | No evidence that the training on diversity and non-discrimination has been given the list of employees dated 02.01.2014 maintained-06 People | See attachment |
| 4 | 7.4.1 | Minor | closed | No evidence that Health and safety training for all employees has been conducted on a regular basis for 2014 | See attachment |
| 5 | 7.5.1 | Minor | closed | No evidence that the Basic need calculation of 2014 has been established | See attachment |
| 6 | 7.9.1 | Minor | closed | No evidence that the drinking water has been tested as required by QCVN02-2009/BYT | See attachment |

2.3 Decision

VINH QUANG FISHERIES CORPORATION is certified against ASC standard to TILAPIA

2.4 Audit background

Author(s): LE TRAN TRUONG THUY

Audit dates: 05-06/06/2014

Report finished at: 31/07/2014

Report reviewed at: 15-08-14

Date of the certification decision: 12-09-14

Persons involved in the audit:

- Mr. Nguyen Binh Phuong – The deputy manager of Vinh Quang company
- Ms. Nguyen Thi Hang – The responsibility of documentation
- Ms. Nguyen Thi Cam Hong – The staff
- Mr. Nguyen Binh Phuong – The farm owner
- Mrs. Doan Anh Thu – The technician
- Mr. Nguyen Hien Phu Thinh – The farm manager
- Farm's employees
- Interviewed local community: interviews within the local community

Stakeholder participation:

- Mr. Cao Cong Nghiep – The cell secretary of Tan My area – Tan Loc ward

Previous Audits (if applicable): N/A

Other activities:

ASC audit announcement date: 04/05/2014

Stakeholders consultation opened: 04/05/2014

Pre-audit checklist information desk review: 30/05/2014

2.5 Scope**ASC Tilapia standard version:** 1.0 Jan 2012**Species:** Tilapia (O. hybrids and O. niloticus)**Type of certification:** Single site certification**Unit of Certification**

| Production Unit name | Production Unit number | Address and geographical positions | Receiving water |
|-------------------------------|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| Tilapia farm VINH QUANG | PRD 049702 | * Address: Tan Loc dune, Tan Loc ward, Thot Not District, Can Tho city, Vietnam *Geographical positions: RWRP: 10 ⁰ 11'.41.57"N – 105 ⁰ 36'44.36"E RWFO: 10 ⁰ 11'.39.48"N – 105 ⁰ 36'46.36"E RWFA: 10 ⁰ 11'.37.49"N – 105 ⁰ 36'49.13"E | Hau River |

Receiving water:

The Hau River is the natural water body, see the attached scheme map of the farm.

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 Traceability can know which the processing unit fish is transported to. Currently, there is no fish selling to other processing units with the exception of VINH QUANG FISHERIES CORPORATION (processing plant) – the same legality. Besides, VINH QUANG FISHERIES CORPORATION has only one farm which is on the ASC certification route.

- **Use of transshipment:**

The farm has been using well-boat in order to transport to the processing unit.

- **Eligible operators and point(s) of landing:**

Using well-boat for fishes and there is only one point of harvesting at this farm to VINH QUANG FISHERIES CORPORATION (processing plant) 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 (VINH QUANG Farm belonging to VINH QUANG FISHERIES CORPORATION)

- **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 VINH QUANG FISHERIES CORPORATION.

2.7 Evaluation results*See audit checklist attached***2.8 Findings.***See the NCs report attachment below..***2.9 Non-conformity report(s)***Please see the audit result attached to this report***2.10 Confidential annexes**

State if there is any confidential annex to the public report or not.

Name and signature of authorized representative: Pilar Kuriyama

Position: Certifier

Date:02-12-14

ASC audit checklist
ASCASS-TIL.F02(03)



Reportnumber: 832468.ASC.2014.06.LTTT

1.1 Client contact data

| | |
|-------------------|---------------------------------------------------------------------------|
| CUC number: | 832468 |
| Company name: | VINH QUANG FISHERIES CORPORATION |
| Contact person: | Mr. NGUYEN BINH PHUONG |
| Address: | Lot 37-40 My Tho Industrial Park, My Tho city, Tien Giang province |
| Postal code: | |
| City: | My Tho |
| Country: | Vietnam |
| Telephone number: | +84 (73)3953358 Fax: +84 (73)3953198 |
| e-mail: | phuongnguyen@vinhquangtg.com |

1.2 Audit information

| | |
|--------------------------------|-------------------------------------------------------------------------------------|
| Date of last external audit: | N/A |
| Audit date: | 05-06/06/2014 |
| Full name of the lead auditor: | Ms. LE TRAN TRUONG THUY |
| Audit team: | Lead Auditor: LE TRAN TRUONG THUY Auditor: LE ANH NGOC Trainee: LE XUAN QUYNH |
| Type audit: | Announced / Unannounced Initial / Surveillance / Recertification |

1.3 Scope of ASC

Scope: **Aquaculture** Standard Version: v1.0 Jan 2012 Specie: TILAPIA – *Oreochromis niloticus*; *Oreochromis spp.*

Production units

| | Company name | Address and GPS coordinates | Receiving water body | City | Country | Products |
|------|------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|---------|---------|----------|
| F-01 | VINH QUANG FARM | * Address: Can Tho city, Vietnam *Geographical positions: RWRP: 10 ⁰ 11'.41.57"N – 105 ⁰ 36'44.36"E RWFO: 10 ⁰ 11'.39.48"N – 105 ⁰ 36'46.36"E RWFA: 10 ⁰ 11'.37.49"N – 105 ⁰ 36'49.13"E | Hau river | Can Tho | Vietnam | |

Changes since last audit

N/A

1.4 Other information

Brand name of the company:

Mention other existing certification schemes of licensee:

Lead Auditor : LE TRAN TRUONG THUY

signature

Company representative:

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 | * The landownership no AL501166 * The cage rent contract no 10/2013/HDTA_VO/CTon 01/07/2013. * The registration no. 033/2013/ĐKTC on 30/09/2013 approved by the the branch of Aquaculture Department of Can Tho * The business licence no. 1200543012 * The information ref. "acceptance of Environment protection assurance for fish farming project" Fish farming in cages - Duc Thanh - area 2" on 30/05/2014 no. 27/TB-UBND |
| 1.1.2 | Presence of documents proving compliance with all tax laws Requirement: Yes Applicability: All Farms, Farm-Wide | - Tax paid are: Added valuate; Business tax, natural resource - Laws have been applied: * The surface renting tax law * Land tax * Business tax * Natural resource no. 45/2009/QH12 on 25/11/2009 |
| 1.1.3 | Presence of documents proving compliance with all labor laws and regulations Requirement: Yes Applicability: All Farms, Farm-Wide | - Labor law of Vietnam 10/2012 |
| 1.1.4 | Presence of documents proving compliance with regulations or permits concerning water quality impacts. Requirement: Yes Applicability: All Farms, Farm-Wide | - National technical regulation on surface qater quality for protection of aquatic life QCVB 38:2011/BTMT – Ha Noi 2011 * The cage anchorage confirmation approved by deputy chairman of Tan Loc ward * The water regulation for fish farming in cage * The water analysis |
| 2 MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY | | |
| 2.1 | <i>Site information</i> | |

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| 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 Audit Reference 2 was submitted to CB on 15-04-2014 - The Receiving Water Information Checklist in Audit Reference 2 (Table 1 in Appendix 1 of the Standard) is completed and complied with this point - Checked the analysis results by ISO 17025 accredited Laboratory – VILAS 278 |
| 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 | Oreochromis niloticus was introduced in Vietnam 1973 with the links for reference + http://www.fao.org/docrep/007/y5728e/y5728e04.htm + http://ns1.mrcmekong.org/Catch-Culture/vol15_3Dec09/selective-tilapia-breeding.htm |
| <p>^[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)</p> | | | |
| <p>^[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).</p> | | | |
| <p>^[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.</p> | | | |
| 2.2.2 | In Africa, demonstration that the tilapia species and strain cultured is established and naturally reproducing in the receiving waters of the operation on or before 1 January 2008 Requirement: Yes Applicability: Farms located in Africa only (see 2.2.1), Farm-Wide | N/A | - The farm is located in the receiving water of Hau river in Vietnam - Asia |
| 2.3 | <i>The effects of eutrophication</i> | | |
| 2.3.1 | The percent change in diurnal dissolved oxygen of receiving waters relative to dissolved oxygen at saturation for the water’s specific salinity and temperature Requirement: ≤ 65% Applicability: All Farms, Farm-Wide | Yes | The DDDO data collected from 10/07/2013 đến 31/05/2014 which is in the range of 6.0-22.4% <65% - Equipment calibration is made for each time of measurement. - Measurement is + 5:00a.m: To=27oC; DO=5.4mg/L; So/oo=0; 3pm: To: 31oC; DO: 7.5mg/L; So/oo: 0 DDD0 is 6.47% which is in the range |
| 2.4 | <i>Water quality in oligotrophic receiving waters</i> | | |

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|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.4.1 | Secchi disk visibility ^[4] limit above which production is not certifiable Requirement: 10 meters Applicability: All Farms, Farm-Wide | N/A | - SD data is collected from 10/07/2013 đến 31/05/2014 - The depth of RWFA is more than 5 m. SD is min 50 cm and max 65cm. - At the audit: SD= 60cm <10m |
| 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 | - SD data is collected from 10/07/2013 đến 31/05/2014 - The depth of RWFA is more than 5 m. SD is min 50 cm and max 65cm. - At the audit: SD= 60cm <10m |
| 2.4.3 | Total phosphorus concentration limit in receiving waters ^[4] Requirement: ≤ 20 µg/L Applicability: All Farms, Farm-Wide | N/A | - SD data is collected from 10/07/2013 đến 31/05/2014 - The depth of RWFA is more than 5 m. SD is min 50 cm and max 65cm. - At the audit: SD= 60cm <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 data is collected from 10/07/2013 đến 31/05/2014 - The depth of RWFA is more than 5 m. SD is min 50 cm and max 65cm. - At the audit: SD= 60cm <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 | - The appendix II is in place from 10/07/2013 đến 31/05/2014- Verified the equipment calibration for Ms. Nguyen Thi Hang. - The auditor took the samples and sent to the laboratory. The results are on 03-04-2014 for RWRP1-2; RWFA1-2, RWFO1-2. The lab. Name is VILAS 728 ohlorophyl-a, Tubidity, Conductivity, Phosphat and Ammonia Nitrogen |
| 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 | Please see 1.1.1 |
| ^[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> | | |

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|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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 of Certification Only | Yes | <ul style="list-style-type: none"> - All invoice are in place from 10/07/2013 đến 31/05/2014 - The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system) - The letter of the feed manufacturer states phosphorus and protein of feed manufacturer. - Nutrient budget worksheet (audit reference 8): TP input = 12.5kg<27kg |
| 3.1.2 | 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 | Yes | <ul style="list-style-type: none"> - All invoice are in place from 10/07/2013 đến 31/05/2014 - The record of weight of fish purchase, invoices, weight of fish produced, invoices for all fish sold are in place (paper and computer system). The letter of the feed manufacturer states phosphorus and protein of feed manufacturer. Nutrient budget worksheet (audit reference 8): TP input = 5.0kg<20kg |
| 3.1.3 | 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 | 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 = 300kg |
| 3.1.4 | 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 | 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 = 279kg |
| 3.2 | <i>Groundwater salinization</i> | | |
| 3.2.1 | 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 | N/A | <ul style="list-style-type: none"> - Not applicable because of no have salinization. |
| 4 | CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS | | |
| 4.1 | <i>Escapes from aquaculture facilities</i> | | |

| | | | |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----------------------------------------------------------------------------------------------------------------------------------------------------|
| 4.1.1 | <p>Presence of net mesh or grills/screens, barriers on inlets and outlets of culture vessels (e.g., tanks, ponds and raceways), and mesh on all netted confinement units (e.g., cages and impoundments), appropriately sized to retain the stocked fish</p> <p>Requirement: Yes Applicability: All Farms, Farm-Wide</p> | Yes | - Inspected the net mesh, screen and barrier: the size is appropriate |
| 4.1.2 | <p>Presence of net mesh, or grills/screens and permanent barrier inspection register recording dates, findings and actions taken, including mitigation or fish containment structure repairs</p> <p>Requirement: Yes Applicability: All Farms, Farm-Wide</p> | Yes | - Net inspection form recorded and kept from 10/07/2013 đến 31/05/2014 |
| 4.1.3 | <p>Presence of trapping devices placed in effluent/drainage canals or in between cages to sample for escapees, and a record of findings and actions taken</p> <p>Requirement: Yes Applicability: All Farms, Farm-Wide</p> | No | <ul style="list-style-type: none"> - Escapee procedure is not in place - The record is available |
| 4.1.4 | <p>In cage culture systems, the minimum distance between the bottom of the cage and the bottom of the receiving waters where the cage is placed</p> <p>Requirement: ≥ 3.0 m Applicability: Cage systems only, Farm-Wide</p> | Yes | - The depth of river at cages is from 5.3 m to 7.5 m |
| 4.1.5 | <p>The minimum percentage of males or sterile fish in a culture unit</p> <p>Requirement: 95 % Applicability: Land-based systems only, Farm-Wide</p> | N/A | - Cage farming |
| 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</p> <p>Requirement: Yes Applicability: All Farms, Farm-Wide</p> | 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 | <p>Allowance for the culture of transgenic tilapia</p> <p>Requirement: No (None allowed) Applicability: All Farms, Farm-Wide</p> | Yes | Aquaculture quarantine certificate for Tilapia seedling collection certificate Tilapia seedlings purchasing contract Non-GMO quarantine commitment |

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|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|--------------------------------------------------------------------------------------------------------|
| 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 controls. |
| ^[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 | The IUCN red list of Can Tho is available. No have Mortality of IUCN red is listed species in the farm |
| 5 | USE RESOURCES RESPONSIBLY | | |
| 5.1 | <i>Use of wild fish for feed (fishmeal and oil)</i> | | |
| 5.1.1 | Feed Fish Equivalence Ratio (FFER).See Appendix IV for feed calculations. Requirement: ≤ 0.8 Applicability: All Farms, Unit of Certification Only | Yes | The letter of feedmill. No need to calculate FFER because of using by-products |
| 5.1.2 | 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 | Yes | - The letter of feedmills - Checked CITES and IUCN: no species in the list |
| 5.1.3 | 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 | N/A | Not applicable in this time The letter of feed suppliers |
| 5.1.4 | 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 | Yes | Not applicable because of use by-products from panagsius The letter of feedmills |

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|------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5.2 | <i>Preference for better feed manufacturers</i> | | |
| 5.2.1 | 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 | Yes | - The list of feed suppliers in the audit reference 1 - Checked the letter of feedmill and the feedback of VINH QUANG. |
| 5.3 | <i>Energy use</i> | | |
| 5.3.1 | Identification of the energy sources and calculation and verification of total energy used at the culture facility Requirement: Measured in kilojoules/mt fish/year Applicability: All Farms, Farm-Wide | Yes | Energy budget worksheet completed (Audit Reference 10) is completed (the attachment). The total energy used is 64800 kilojoules/mt fish) |
| 6 | MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER | | |
| 6.1 | <i>Stocked tilapia recovery</i> | | |
| 6.1.1 | Percent recovery ^[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 | No | -The data from 10/07/2013 đến 31/05/2014 -Checked the calculation, the percent recovery of fish stocked in production stages is not calculated |
| ^[8] Recovery does not include recruitment of tilapia resulting from reproduction within the culture system. | | | |
| 6.2 | <i>Chemicals</i> | | |
| 6.2.1 | Allowance for the use of chemicals and therapeutants for disease and pest control that are banned in the importing or producing country Requirement: None Applicability: All Farms, Farm-Wide | Yes | - The list is updated on 31/05/2014 with contact information - List of all countries where product has been exported: 1471/QĐ-BNN-QLCL on 20/06/2012 List of banned substances for producing and exporting country and authoritative or regulating body in producing country (contact information required): 1471/QĐ-BNN- QLCL on 20/06/2012. Only use chemical (nutrition and probiotic) |
| 6.2.2 | Allowance for the prophylactic use of antibiotics, prior to any evidence of a disease problem Requirement: None Applicability: All Farms, Farm-Wide | Yes | - No use antibiotic |
| 6.2.3 | Minimum hold time required before any water in which fish have been fed with feed containing methyl or ethyl testosterone can be released Requirement: ≥ 48 hours Applicability: All Farms, Farm-Wide | N/A | N/A |

| | | | |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----------------------------------------------------------------------------------------------------|
| 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 | - Record of the use of chemical - Input and output volume of chemical (nutrition and probiotic) |
| 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 | - No use antibiotic |
| 6.3 | <i>Mortalities</i> | | |
| 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 | The farm diary records The dead fish records |
| 6.3.2 | Evidence proving acceptable disposal of dead fish, (i.e., landfill receiving receipts, sales receipts, permits or approvals for onsite burial, and assurance if converted to animal meals not destined for the culture of tilapia) Requirement: Yes Applicability: All Farms, Farm-Wide | Yes | Disposal procedure of dead and burying fish |
| 6.4 | <i>Fish health management</i> | | |
| 6.4.1 | Presence and evidence of implementation of a fish health plan that is site-specific and contains effective methods for 1) Protecting the farm from introduction of pathogens, 2) Preventing the spread of pathogens within the farm and to the receiving waters and 3) Reducing the potential for development of disease resistance by ensuring responsible therapeutant use Requirement: Yes Applicability: All Farms, Farm-Wide | Yes | Fish health management Plan as this requirement |

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 | Yes | <i>Letter of Commitment for not using the child labour dated 04/01/2014 signed by Top Management.</i> <i>Policy of child labour and Pregnant women dated 04/01/2014</i> <i>Verified the working regulation dated 04/01/2014</i> <i>Verified the employee record and found no children or young labor.</i> N/A |
| <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 | Yes | <i>Verified labor contract No 465/2014/HDL D of worker and found that it is compliance.</i> <i>Time is regulated 08 hour /day</i> <i>Interview workers that no withhold employee's original identity papers</i> <i>Interview wokers that no withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer</i> None |
| <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 | Yes | <i>Anti-discrimination policy ASC-CSKPBDX dated 01/04/2014 is available. Through interview and found that no evidence of interfering with the rights of personnel Policy of child labour and Pregnant women dated 04/01/2014 Anti-discrimination policy ASC-CSKPBDX dated 01/04/2014 is available.</i> |
| ^[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. | | | |
| 7.3.2 | Evidence of proactive anti-discrimination practice Requirement: Yes Applicability: All Farms, Farm-Wide | No | <i>Anti-discrimination policy ASC-CSKPBDX dated 01/04/2014 is available. No evidence that the training on diversity and non-discrimination has been given the list of employees dated 02.01.2014 maintained-06 People</i> |
| 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 | No | <i>Verified list of Hazard identification and risk assessment ASC-PTMN dated 01/04/2014 and found that some of risks have been not identified such as working on boat; chemical use, etc.. Emergency response procedures ASC-SCC dated 01/04/2014 No evidence that Health and safety training for all employees has been conducted on a regular basis for 2014 (Minor Potentially dangerous chemicals are stored properly and as prescribed chemicals are stored properly</i> |
| 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 | Yes | <i>Accident monitoring logbook -2014 No serious accident occurs; 01 minor Accident (Beaten by fish) The interview worker and found that he understood the cause of accident</i> |
| 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 | Yes | <i>List of receiving insurance dated 30/05/2014; Payment order to Tien Giang Social Insurance service</i> |
| 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 | No | <i>Anti-discrimination policy ASC-CSKPBDX dated 01/04/2014 is available. Circular 182/2013/ND-CP for minimum wage dated 14/11/2013. This area- Tan My commune, Thot Not District, Can Tho Province belong to Area 02-2.400.000 VND Labor conflict resolution policy ASC-CSGQXD dated 01/04/2014 The minimum salary regulated by company is 2.400.000 VND/month No evidence that the Basic need calculation of 2014 has been established</i> |
| 7.5.2 | Incidences of abuse of working hours and/or overtime laws Requirement: 0 (zero) Applicability: All Farms, Farm-Wide | Yes | <i>The working regulation dated 04/01/2014 Verified pay slip of workers –April 2014 and found that Wage and benefits are clearly articulated and pay in cash. No training contract is applied Salary scheme register No 01/02/2014 BBTT dated 20/01/2014 48 hours/week as regulated by Vietnam Labour law 01 alternative day off per week Premium is 1.5 for overtime; 2.0 for Sunday and 3.0 for holiday All are voluntary</i> |
| <i>[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</i> | | | |
| <i>[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</i> | | | |
| 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 | Yes | <i>a. Labor collective bargain dated 16.01.2014. b. Workers confirm that no outstanding cases against the employer for violations c. Regulated in collective bargain dated 16.01.2014 d. Quarterly meeting conducted.Recent meeting dated 16.01.2014 e. Quarterly meeting conducted</i> |
| <i>[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.</i> | | | |
| 7.7 | <i>Disciplinary Actions</i> | | |
| 7.7.1 | Incidences of abusive disciplinary actions Requirement: 0 (zero) Applicability: All Farms, Farm-Wide | Yes | <i>Forced labor policy CSBLD dated 01/04/2014 Discipline procedure No 01/02/2014 SLLD dated 16/01/2014</i> |

| | | | |
|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7.7.2 | Evidence of non-abusive disciplinary policies and procedures Requirement: Yes Applicability: All Farms, Farm-Wide | Yes | <i>Discipline procedure No 01/02/2014 SLLD dated 16/01/2014</i> |
| 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 | <i>Not applicable</i> |
| 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 | Yes | <i>Emergency response procedures ASC-SCC dated 01/04/2014 Training record dated 22/10/2013</i> |
| 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 | Yes | <i>Labor conflict resolution policy ASC-CSGQXD dated 01/04/2014 and not any conflict occurs. Not applicable Meeting for employees dated 10/04/2014</i> |
| 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 | <i>No evidence that the drinking water has been tested as required by QCVN02-2009/BYT The waste is controlled by dustbin Not applicable A brick house is built</i> |
| 7.10 | <i>Community relations and interaction</i> | | |

| | | | |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7.10.1 | <p>Evidence that farms are not inhibiting or restricting local community access to public land, freshwater resources or public fishing grounds</p> <p>Requirement: Yes</p> <p>Applicability: All Farms, Farm-Wide</p> | Yes | <p><i>Interview the neighbor: Mr.Pham Huu Danh; Pham Van Bon; Pham Van Met and no blocked access to public property or public natural resources occur.</i></p> |
| 7.10.2 | <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</p> <p>Requirement: Yes</p> <p>Applicability: All Farms, Farm-Wide</p> | Yes | <p><i>Labor conflict resolution policy ASC-CSGQXD dated 01/04/2014 and not any conflict occurs.</i></p> <p><i>Not applicable</i></p> <p><i>List of receiving P-SIA dated 20/05/2014 (13 people)</i></p> |

Reportnumber: 830872.ASC.2014.05.LTTT

3. Summary and Conclusion

3.1 List of non-conformities

| ASC Tilapia standard Item | Description (major NC or Minor NC and findings) |
|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| .4.1.3 – Minor NC | Escapee procedure is not in place |
| .6.1.1– Minor NC | Checked the calculation, the percent recovery of fish stocked in production stages is not calculated |
| .7.3.2– <i>Minor NC</i> | No evidence that the training on diversity and non-discrimination has been given |
| .7.4.1– <i>Minor NC</i> | <i>Verified list of Hazard identification and risk assessment ASC-PTMN dated 01/04/2014 and found that some of risks have been not identified such as working on boat; chemical use,etc.. No evidence that Health and safety training for all employees has been conducted on a regular basis for 2014</i> |
| .7.5.1– <i>Minor NC</i> | <i>No evidence that the Basic need calculation of 2014 has been established</i> |
| .7.9.1– <i>Minor NC</i> | <i>No evidence that the drinking water has been tested as required by QCVN02-2009/BYT</i> |

3.2 Mention all other units, which have been visited including storage rooms

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

3.4 Comments

3.5 Attachments to this report

3.7 Summary and conclusion

Does the farm comply with ASC Tilapia standard?

YES NO

4. Approval of the assessment report by Client

Date:

Auditor :

signature

Date:

Company representative :

signature

5. Review of the assessment report by the certifier

Date:

Certifier :

signature

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|-------------------|
| Client number and name | CU 832468 |
| Production unit | PRD 049702 |
| Number of non-conformity | 01-4.1.3 |

| | |
|----------------------------------|---|
| Classification of non-conformity | |
| MAJOR Non-Conformity | |
| MINOR Non-Conformity | x |

| | |
|--------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Found non-conformity * Mention failing and audit finding and evidence | Escapee procedure is not in place |
| Section number of checklist/ Reference to standard | 4.1.3 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 |
| Deadline for corrective actions | 06/06/2015 |

ACTION PLAN (To be filled by client)

| | |
|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| Root Cause Are the events that caused the failing. How, who, when, where | The farm has the trapping map and know how to control as to see the escapee but not yet put it in the document |
| Correction Actions take to solve the punctual failing observed during audit. | require the person in charge of document supplement the procedure |
| Corrective action Actions taken to prevent that the causes that conducted to the failing happen again | Establish the procedure |
| Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation | The escapee procedure |

Re-assessment (To be filled by Certifier)

| | | | | | | | | |
|---------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------|------------|--|-----------|--|--------|--|
| Re-assessment done by: | Document review | | Site visit | | Interview | | Other: | |
| 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: | | Open | | | | | | |
| | x | Closed | | | | | | |
| | | Outstanding: fill in a new non-conformity form. | | | | | | |

| | |
|--------------------------|------------------|
| Client number and name | CU 832468 |
| Production unit | PRD049702 |
| Number of non-conformity | 02-6.1.1 |

| | |
|----------------------------------|---|
| Classification of non-conformity | |
| MAJOR Non-Conformity | |
| MINOR Non-Conformity | x |

| | |
|--------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
| Found non-conformity * Mention failing and audit finding and evidence | -Checked the calculation, the percent recovery of fish stocked in production stages is not calculated |
| Section number of checklist/ Reference to standard | .6.1.1 Percent recovery ^[8] of fish stocked in production stages after they have attained a size of 100 grams |
| Deadline for corrective actions | 06/06/2015 |

ACTION PLAN (To be filled by client)

| | |
|--------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| Root Cause Are the events that caused the failing. How, who, when, where | The farm has data of harvested full crop but not yet proceed the estimation of a 100g size |
| Correction Actions take to solve the punctual failing observed during audit. | based on data and proceed the calculation |
| Corrective action Actions taken to prevent that the causes that conducted to the failing happen again | make the calculation |
| Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation | The calculation file |

Re-assessment (To be filled by Certifier)

| | | | | |
|---------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------|-----------|--------|
| Re-assessment done by: | Document review | Site visit | Interview | Other: |
| 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: | | Open | | |
| | x | Closed | | |
| | | Outstanding: fill in a new non-conformity form. | | |

| | |
|--------------------------|------------------|
| Client number and name | CU 832468 |
| Production unit | PRD049702 |
| Number of non-conformity | 03-7.3.2 |

| | |
|----------------------------------|---|
| Classification of non-conformity | |
| MAJOR Non-Conformity | |
| MINOR Non-Conformity | x |

| | |
|--------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| Found non-conformity * Mention failing and audit finding and evidence | No evidence that the training on diversity and non-discrimination has been given <i>the list of employees dated 02.01.2014 maintained-06 People</i> |
| Section number of checklist/ Reference to standard | 7.3.2 Evidence of proactive anti-discrimination practice |
| Deadline for corrective actions | 06/06/2015 |

ACTION PLAN (To be filled by client)

| | |
|--------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|
| Root Cause Are the events that caused the failing. How, who, when, where | There is no discrimination in the farm. However, policy had not yet established |
| Correction Actions take to solve the punctual failing observed during audit. | no encourage discrimination by write the policy |
| Corrective action Actions taken to prevent that the causes that conducted to the failing happen again | establish anti-discrimination policy |
| Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation | anti-discrimination policy |

Re-assessment (To be filled by Certifier)

| | | | | | | | | | |
|---------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------|------------|--|-----------|--|--------|--|--|
| Re-assessment done by: | Document review | | Site visit | | Interview | | Other: | | |
| 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: | | Open | | | | | | | |
| | x | Closed | | | | | | | |
| | | Outstanding: fill in a new non-conformity form. | | | | | | | |

| | |
|--------------------------|-------------------|
| Client number and name | CU 832468 |
| Production unit | PRD 049702 |
| Number of non-conformity | 04-7.4.1 |

| | |
|----------------------------------|---|
| Classification of non-conformity | |
| MAJOR Non-Conformity | |
| MINOR Non-Conformity | x |

| | |
|--------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|
| Found non-conformity * Mention failing and audit finding and evidence | <i>No evidence that Health and safety training for all employees has been conducted on a regular basis for 2014</i> |
| Section number of checklist/ Reference to standard | 7.4.1 Percentage of workers trained in health and safety practices/ procedures/ policies |
| Deadline for corrective actions | 06/06/2015 |

ACTION PLAN (To be filled by client)

| | |
|--------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| Root Cause Are the events that caused the failing. How, who, when, where | by interviewed the worker can answer auditor's question related to health and safety but no evidence to show it was trained in 2014 |
| Correction Actions take to solve the punctual failing observed during audit. | take the training and record |
| Corrective action Actions taken to prevent that the causes that conducted to the failing happen again | proceed the training |
| Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation | Health and safety training record |

Re-assessment (To be filled by Certifier)

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

| | |
|--------------------------|-------------------|
| Client number and name | CU 832468 |
| Production unit | PRD 049702 |
| Number of non-conformity | 05-7.5.1 |

| | |
|----------------------------------|-------------------------------------|
| 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 | <i>No evidence that the Basic need calculation of 2014 has been established</i> |
| Section number of checklist/ Reference to standard | 7.5.1 The percentage of employees who are paid fair and decent wages. |
| Deadline for corrective actions | 06/06/2015 |

ACTION PLAN (To be filled by client)

| | |
|--------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|
| Root Cause Are the events that caused the failing. How, who, when, where | The farm has minimum wage but had not yet found the basic need, especially of 2014 |
| Correction Actions take to solve the punctual failing observed during audit. | establish the basic need |
| Corrective action Actions taken to prevent that the causes that conducted to the failing happen again | Establish the basic need |
| Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation | the Basic need calculation of 2014 |

Re-assessment (To be filled by Certifier)

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

| | |
|--------------------------|-------------------|
| Client number and name | CU 832468 |
| Production unit | PRD 049702 |
| Number of non-conformity | 06-7.9.1 |

| | |
|----------------------------------|---|
| Classification of non-conformity | |
| MAJOR Non-Conformity | |
| MINOR Non-Conformity | x |

| | |
|--------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| Found non-conformity * Mention failing and audit finding and evidence | <i>No evidence that the drinking water has been tested as required by QCVN02-2009/BYT</i> |
| Section number of checklist/ Reference to standard | 7.9.1. Evidence that living conditions are clean, sanitary and safe for habitation |
| Deadline for corrective actions | 06/06/2015 |

ACTION PLAN (To be filled by client)

| | |
|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| Root Cause Are the events that caused the failing. How, who, when, where | the farm uses clean water but no have evidence to show it follow QCVN02-2009/BYT |
| Correction Actions take to solve the punctual failing observed during audit. | taking the drinking water sample for analyzing |
| Corrective action Actions taken to prevent that the causes that conducted to the failing happen again | taking the drinking water sample for analyzing |
| Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation | The analysis result |

Re-assessment (To be filled by Certifier)

| | | | | |
|---------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------------------|-----------|--------|
| Re-assessment done by: | Document review | Site visit | Interview | Other: |
| 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: | | Open | | |
| | x | Closed | | |
| | | Outstanding: fill in a new non-conformity form. | | |

A COPY OF EACH FORM STAYS WITH THE CLIENT!