

Aquaculture Stewardship Council Audit Report for Farms Pangasius

C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM

Date:	29, 30-SEP-2014	By:	BUREAU VERITAS CERTIFICATION VIET NAM
CLIENT :	C.P. VIETNAM CORPORATION - BEN TRE BRANCH SA DEC 1 FARM	ASSESSORS TEAM :	Mr. NGUYEN HUY (Team Member)
MAIN CONTACT (Audited person):	Mr. LE MINH KHA - QA Manager		
REPORT REFERENCE :	ASC- PANGASIUS STANDARD V 1.0	REPORT WRITING DATE :	30th Sep 2014
LEAD ASSESSOR :	Mr. LY VI CUONG	REPORT REVIEWING DATE :	05th Oct 2014
ASSESSMENT / MISSION	INITIAL	IA	
	SURVEILLANCE		
	COMPLEMENTARY /SUPPLEMENTARY		
<u>Summary:</u>			
<p>Farms located in a good positions for Aquaculture developing area and has a good investment in management system and facility. Farm technical team had very good aware of ASC standard and received a strong support from C.P. VIETNAM CORPORATION - BEN TRE BRANCH 's steering committee in applying ASC Pangasius standards. Farm has a strong management systems & ready to get certify with ASC Pangasius standards.</p>			
<u>Background on the Applicant Farm:</u>			
<p>C.P. VIETNAM CORPORATION - BEN TRE BRANCH is a well-known frozen Pangasius producer, certified HACCP, BRC, IFS food standrad, was established in 2013 in Ben Tre Province. C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM is located at Binh Tan Hamlet, Binh Thanh Ward, Cao Lanh district, Dong Thap Province, Viet Nam. C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM is divided into eight (08) grow-out ponds and two sedimentatio pond, re-built on 2012. Farm have farm offices, fish feed stores, chemical and antibiotic warehouses and worker accommodations in the farm. The farms share water from Tien river with local communities.</p> <p>There are 22 employees working in the farm . Most of workers can stay in the farm and get enough accommodation and food. C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM uses Savefeed CFM who has Global GAP certified to supply fish feed, use Son Company Hatchery</p>			
<u>Scope:</u>			
STANDARD	ASC Pangasius Standard Version 1.0 - Jan 2012.		
Activity & scope of the audit:	Farming of Pangasius species		
Species :	Pangasianodon hypophthalmus / Pangasius hypoththalmus		
Description of receiving water body :	Mekong river - Tien River Branch.		
<u>Audit Plan:</u>			
Desk reviews and other activities undertaken before or after any site visits.		Preview of Quality Manual, Fish Health Plan & all calculations of Harvested Ponds.	

Stakeholder submissions, including written or other documented information and CAB written responses to each submission.		Bureau Veritas will notify potential stakeholders of the planned and invite their participation in writing prior to the audit or in person during the on-site visit. All stakeholders, even if not directly addressed by Bureau Veritas are Invited to become involved
Sites of the Company concerned by the ASC. For each site show:	Name :	C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM
	Address :	Binh Tan VHamlet, Binh Thanh Village, Cao Lanh district, Dong Thap Province, Viet Nam
	Contact :	Mr. Le Minh Kha
	Other certifications held :	N/A
	Names and affiliations of individuals consulted or otherwise involved in the audit (representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit):	* Mr. JADET PAHENOTHAI - AVP * Mr. HO HUU DANH - Farm manager * Mr. Vo Minh Phung - Farm Technician * Ms. ORAWAN AMORNVIROTKON - AVP * Mr. DUONG DINH KHANG - Staff * Mr. NGO VAN DUONG - Staff * Mr. MAI TAN TE EM - Admin
	Date & Duration of the visit :	29, 30th Sep 2014
<u>Previous Audits (if applicable):</u>		
NA. This is initial audit		

Findings						
	PREVIOUS ASSESSMENTS REVIEW			CURRENT ASSESSMENT CONCLUSION		
	Number	NON-CONFORMANCES REFERENCES	Open/closed	Number	N-CONFORMANCES REFERENC	Status
Observations	NA	NA	NA	NA	NA	NA
Minor NC	NA	NA	NA	11	NC-EV1-7, NC-SC1-4	Closed
Major NC	NA	NA	NA	NA	NA	NA
Summary of Conditions :	There was 11 Minor NCs raised during the audit on 29,30-Sep-2014. Corrective action evidences for NC closure of all NCs had been submitted to BVC, and all NCs were closed.					
Certification status of the applicant:	This is the IA audit, farm has not been certified against ASC Pangasius Standard					
<u>Evaluation Results:</u>						
Please see Audit Grid attached						
<u>Determination of the start of the CoC</u>						
Evaluation of the system of tracking, tracing and segregation in the aquaculture operation is sufficient to make sure all aquaculture products identified and sold as certified by the operation originate from the unit of certification certified						
<u>Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter</u>						
Item	Risk Level			comments of the auditor and evidences		
	Low risk	Medium risk	high risk			
1. The tracking, tracing and segregation systems in use	X			Harm had clear system for tracking, tracing and segregation.		
2. The opportunity of substitution of certified with non-certified product prior to and at harvesting	X			Farm only product one kind of product, all will be certify		
3. The possibility of introducing product from outside the unit of certification	X			Farm have good traceability & recording system, it is not easy for introducing product from outside the unit of certification.		
4. The robustness of the applicant or certificate holders' management system	X			Management system were good.		
5. Any transshipment activities taking place	X			When harvesting fish, use boat to transport fish alive from farm to processing plan.		
6. Any subcontracted post-harvest handling or processing	X			Only use subcontracted when harvesting.		

Advice of the auditor	YES	NO	JUSTIFICATION
the systems are sufficient, aquaculture products from the operation may enter into further certified chains of custody and be eligible to carry the ASC label.	X		Traceability systems are sufficient
<p>Determination of the eligibility of aquaculture products to enter further Chains of Custody and the points at which they can enter</p>	<p>Products included in the scope of certification detailed in this report may enter further certified chains of custody and are eligible to apply to carry the ASC label.</p> <p>Considerations for the decision:</p> <ul style="list-style-type: none"> - Tracking, tracing and segregation systems within the aquaculture operation: Farmer keeps all records related to tracking, tracing and segregation of harvested fish such as stocking information of each unit and fingerling supplier to proof compliance with ASC standard. The SA DEC 1 FARM is owned by C.P. VIETNAM CORPORATION - BEN TRE BRANCH, and all products harvested at SA DEC 1 FARM is processed at C.P. VIETNAM CORPORATION - BEN TRE BRANCH processing plant. This factory has already certified against MSC/ASC CoC Standard by Bureau Veritas Certification in year 2013. The information related to the origin of the fish are sent to the C.P. VIETNAM CORPORATION - BEN TRE BRANCH processing Factory with the transportation documents. - Use of transshipment: In order to control the harvest activity, QC staffs from processing plant and farmer together witness the harvest. The harvested product is contained in wellboat container with identification of boat number, and QC staffs then monitor the transportation of product directly to the processing plant (also of C.P. VIETNAM CORPORATION - BEN TRE BRANCH). There is no transshipment and no chance of miss-identification and/or losing traceability during transportation. - Eligible operators and point(s) of landing: After delivery from farm, the eligible operator for handling harvested raw material from C.P. VIETNAM CORPORATION - BEN TRE BRANCH processing plant. There is a unique point of landing at the C.P. VIETNAM CORPORATION - BEN TRE BRANCH processing plant - The opportunity of substitution of certified with non-certified product within the unit of certification: SA DEC 1 FARM has only one management system to control aquaculture activity, so that the all harvested products are all under the same condition. There is no opportunity for substitution between ASC and non-ASC product within the certification unit of aquaculture operation. - Point from which Chain of Custody certification is required: Accordingly, the transportation activity is controlled by farmer and QC staff until the point of landing. The Chain of custody certification is required at from the point of receiving fish at C.P. VIETNAM CORPORATION - BEN TRE BRANCH processing factory. The factory which had certified against MSC/ASC CoC Standard by Bureau Veritas Certification in year 2014. <p>This determination will remain in force until revised by the CAB in a subsequent audit.</p>		
<p><i>Describe points of change of ownership after which chain of custody certification is needed</i></p>	<p>The scope of the certification includes the growing, harvesting. Coc certification is required from the point of first sale to the processing plan. Only products harvested after the date of certification are approved to carry the ASC label.</p>		

CERTIFICATION DECISION

**BUREAU VERITAS CERTIFICATION determines that all the requirements of the standard are sufficiently met and has certified C.P. VIETNAM CORPORATION - BEN TRE BRANCH SA DEC 1 FARM A certificate has been issued for the scope specified in the section "scope" above in the report .
Any outstanding non-conformities and their status are listed in the section "Findings" above in the report.**

Date of issuing:	24 November 2014
Date of expiring:	23 November 2017
Scope of the certificate:	Aquaculture opération for Pangasius
List of all outstanding non-conformities:	<i>There was 11 Minor NCs raised during the audit on 29,30-Sep-2014. Corrective action evidences for NC closure of all NCs had been submitted to BVC, and all NCs were closed.</i>
Signature of the client	Mr. Le Minh Kha (signed)
Signature of the auditor	Mr. Ly Vi Cuong (Signed) / Mr. Nguyen Huy (Signed)

Non-conformity Report(s)

Please see non-conformity reports attached

Confidential data for commercially sensitive information

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

AUDIT MANUAL - ASC Pangasius Standard Created by the Pangasius Aquaculture Dialogue									
Scope: <i>Pangasianodon hypophthalmus, Pangasius bocourti</i>									
PRINCIPLE 1. LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS				C	Major NC	Minor NC	NA	COMMENTS -RATIONALE	
1.1 Criteria: Local and national regulations									
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):						
1.1.1	Indicator: Presence of all pertinent permits and registrations required by local and national authorities Requirement: Yes Applicability: All	a. Maintain records to show the farm has all registrations as required by local and national authorities.	A. Verify farm has all registrations as required by local and national authorities.	C					Farm has "Land owner Certificates" of Nghia Phuong Company issued by Dong Thap Province on 11 Jul 2011, for land no. 628 with total land area 107,946m2, land use permission for Aquaculture farming is 107,946m2 land using allow until year 2027. Total farming area about 54,200m2 including 07 pangasius ponds, and 02 discharge pond with area of 10,600m2 "Contract of corporation" on 12-06-2013, between CP and Ngia Phuong about using the land for pangasius farming
		b. Obtain an aquaculture farming licence (as applicable).	B. Verify farm has aquaculture farming licence (as applicable).	C					Commercial License number 55112000096 by Ben Tre Business Department, first issued on 28-02-2005, 02nd revised 02 11 Jul 2012 - Investment License no 472933000352 on 22-Jul-1996 of CP, revised on 12-Jul-2012, including farming license for farms. "Farming licence" on 15-09-2014 issued by UBND Binh Thanh Village for the farm Sa Dec 1 Decision no 529/QD-UBND.HC on 31-05-2013, of UBND Dong Thap about Master plan of Dong Thap province for Aquaculture, and "Master plan for land use" of Binh Thanh Village until 2020, covering the Binh Tan hamlet, Binh Thanh Village - showing that the farm is located within the Aquaculture plan.
		c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).	C					Commercial License number 55112000096 by Ben Tre Business Department, first issued on 28-02-2005, 02nd revised 02 11 Jul 2012
		d. Obtain any other contracts, licences, or permits as required by local and national authorities (also see 1.1.3. and 1.1.4).	D. Verify compliance.					NC- EV1	- Report of water use for the farm on 14-01-2014, approved by Natural Resource Department of Dong Thap - "Environment declaration" in Sep-2014, of the farm, submitted to UBND Cao Lanh Dsistrict. "Letter of approval for Ebrvironment protect declaration" no 161/TB-UBND on 24-09-2014, by UBND Cao Lanh Dsistrict - "Declaration of operating pangasius Farming" on 15-09-2014, approved by UBND Binh Thanh - Surface water using license" no. 94/GP-UBND on 24-01-2014, issued by BND Dong Thap for the farm, limitation = 18.090m3/day Lack of Certification of Hygiene Condition following the Circular no 41/2010/BNN-PTNT
1.1.2	Indicator: Presence of documents proving compliance with pertinent tax laws Requirement: Yes	a. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax) for the last 12 months. For first audits, farm records must cover ≥ 6 months	A. Verify client has records of tax payments to appropriate authorities. [Note: For integrated systems, tax may only apply at the processing level. Nonetheless clients must show evidence of tax payment]	C					- Bussiness lisenace tax payment slip on 10-01-2014 for year 2014 - Land tax: "Letter of tax payment notification" no. 19/TB on 04-03-2014 for the farm; Tax paymet slip on 01-07-2014 - Document no. 819/TCT-CS follows the document no. 1226/CT-TTHT on 24-10-2012 of Tax department of Dong Thap - states that farm does not need to pay water tax

	Applicability: All	b. Keep updated information on applicable tax laws for the jurisdiction in which the farm is operating.	B. Verify client has current tax law information and a basic understanding of tax requirements.	C				Interview Mr. Le Minh Kha - QA department: good aware of tax law applying for aquaculture farming.
1.1.3	Indicator: Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations Requirement: Yes Applicability: Ponds	Instruction to Clients for Indicator 1.1.3 - Showing Compliance with Water Discharge Regulations Indicator 1.1.3 requires the farm to show compliance with all water discharge regulations at the local and national level. If the authoritative regulatory agency has imposed limits on farm water discharge (i.e. by issuing a discharge permit or other comparable mechanism) the obligation shall rest with the client to demonstrate compliance. Four types of evidence are acceptable: a. Statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge; b. Results of water testing from a fully independent ISO 17025 accredited laboratory; c. Relevant legal documents showing compliance; or d. Statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance. Where regulations require monitoring of farm water discharge, that monitoring shall be conducted annually (at a minimum) or more frequently if required under local or national regulations. If there is insufficient evidence to show that the farm complies with water discharge regulations then the auditor will raise a non-conformity. Note 1: The ASC Pangasius Standard also specifies criteria for some water quality parameters. These are considered separately under Principle 3 below.						
		a. Submit a statement by a fully independent ISO 17025 accredited laboratory showing that their staff collected samples at discharge	A. Verify compliance. If (b), (c) or (d), then enter 'not applicable' for (a).			NC-EV2		There are statements by a fully independent ISO 17025, accredited laboratory "Intertek Lab" with VILAS 278, tested for discharged water following the Circular no. 45/2010/TT-BNNPTNT, for 5 parameters: Phosphate, H2S, BOD5, TSS, CO2. However, the other parameters: NH3, DO, pH, Leakage oil, Flavour have not tested by ISO17025
		b. Submit results of water testing from a fully independent ISO 17025 accredited laboratory.	B. Verify compliance. If (a), (c) or (d), then enter 'not applicable' for (b).	C				Water testing was done by ISO 17025 accredited laboratory INTERTEK Lab with VILAS 278
		c. Submit relevant legal documents showing compliance.	C. Verify compliance. If (a), (b) or (d), then enter 'not applicable' for (c).	C				According to TT45/2010-BNNPTNT issued 22.07.2012, testing had been done yearly, check results of testing done on 09/Sep/2014 with result OK.
		d. Obtain a statement from local authorities with competence on water quality and capacity to test water quality parameters stating compliance.	D. Verify compliance. If (a), (b) or (c), then enter 'not applicable' for (d).			NA	NA	
1.1.4	Indicator: Presence of documents proving compliance with local and national legal regulations on land and water use Requirement: Yes Applicability: All	a. For ponds, maintain copies of land ownership or contract of lease. For pens or cages, maintain permits showing allowance to farm in the designated location.	A. Verify client has documents to show legal access to and use of land and water.	C				See 1.1.1
		b. Obtain required permits to use and discharge water for the purposes of operating a farm. Comply with any and all permit restrictions stated therein (e.g. maximum capacity of production, water allocation volumes, etc).	B. Verify farm has obtained permits and complies with the terms.	C				- Company have lisenca about surface water mining permit according to circular 02/2005/BTNMT issued on 24June 2012 issued by Dong Thap province on 22 Feb 2009. - Circular 105/2010/TT-BTC issued on 23Jul2010 confirmed that fish farming activities not subject to pay fees for industrial waste water environment, so the company do not have to pay a fee for this farming environment.

		c. If the farm operates in a country and region with no permitting system for land and water use, provide documentary evidence (e.g. letter from authorities) attesting to this fact.	C. As applicable, review evidence to confirm that the farm does not need permits for land and water use in the country and region of operation.				NA	NA, see 2.4.1.b
PRINCIPLE 2. FARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NEGATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT								
2.1 Criteria: Meeting official development plans								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
2.1.1	Indicator: Farms [4] located in approved aquaculture development areas Requirement: Yes Applicability: All	a. Provide a detailed map of the farm with at least 4 GPS coordinates.	A. Review map to confirm farm location and accuracy of GPS coordinates. If possible, verify spatial information using Google Map, satellite images or similar means.	C				* Farm GPS: A 10°18'9.03" N ; 105°48'6.69" E B 10°18'7.76" N ; 105°48'19.30" E C 10°18'0.88" N ; 105°48'20.23" E D 10°18'59.29" N ; 105°48'6.00" E
		b. Provide official plans that identify approved aquaculture development areas. If there are none, obtain a statement from the authorities as confirmation.	B. Review plans. If farm states there is no plan, confirm that the country and region of operation does not have approved aquaculture development areas.	C				Decision no 529/QĐ-UBND.HC on 31-05-2013, of UBND Dong Thap about Master plan of Dong Thap province for Aquaculture, and "Master plan for land use" of Binh Thanh Village until 2020, covering the Binh Tan hamlet, Binh Thanh Village - showing that the farm is located within the Aquaculture plan.
		c. Show that the farm is located in an area approved for aquaculture using evidence from maps or list of officially designated locations.	C. Verify farm is located in an approved aquaculture area. If there are no such areas, auditor response is 'not applicable'.	C				See 2.2.1.b
Footnote	[4] Pond, cage and pen-based facilities							
2.2 Criteria: Conversion of natural ecosystems								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
2.2.1	Indicator: For ponds [5], evidence [6] that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion Requirement: Yes Applicability: Ponds established after August 31, 2010	a. Provide a declaration that identifies the month and year of farm construction, and specify dates of any subsequent farm expansions.	A. Verify the declaration gives date of farm construction and any subsequent expansions. Identify any ponds established after August 31, 2010.	C				- In the Farm history statement no. CP-GAP-01 on 02-01-2014
		b. If the farm (or any of its expansions) was constructed after August 31, 2010, obtain a statement/historical land use map from a government organization indicating that the land was agriculture or aquaculture land for 10 years prior to their construction.	B. Review evidence from government organizations. Where land-use maps or spatial information is provided, cross-check against map of farm (see 2.1.1).	C				The month and year of farm construction since >10 years, and farm received this farm from previous farmer and operates the farm since 01-07-2014.
		-	C. Verify accuracy of (a) and (b) above during interviews with local community members to confirm there is no evidence for conversion of wetlands or any other ecosystem (other than agriculture or aquaculture land) as applicable under Indicator 2.2.1.	C				Community interview: farms had been construction >10 years ago.
Footnote	[5] For Ponds established after the publication of the PAD standards.							
Footnote	[6] From government organizations.							
2.2.2	Indicator: Evidence that a contribution of at least USD \$0.50 per ton of fish produced has been paid to the environmental and social restoration fund [7] annually Requirement: Yes Applicability: All	a. Submit a signed letter to the ASC committing to pay a contribution to the fund for all certified fish harvested from the day of first certification.	A. Verify the farm has signed a letter stating commitment to contribute to the fund.	C				Had Commitment letter for contribute 0.5\$/ton of fish after farm get certified, sign by Mr Jadet Phaengthai - General Director.
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.	C				Email received confirmation E-mail from ASC about this commitment letter on 22-Sep-2014 from Michiel

		c. Retain evidence of all payments made into the fund.	C. Verify farm has made payment(s) into the fund. As soon as ASC has set-up the fund, this information will be posted on the ASC website.	C				NA. Fund is not yet established.
Footnote	[7] To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by ASC at the time of auditing, then requirement 2.2.2 will not be considered.							
2.2.3	Indicator: Evidence [8] that no earth has been discharged into common [9] water bodies Requirement: Yes Applicability: Ponds established after August 31, 2010	a. Provide a declaration stating that the farm has not discharged earth into common water bodies after August 31, 2010.	A. Verify the farm has made a declaration.				NA	NA, Ponds were established before August 31, 2010
		b. For construction activities listed in 2.2.1a that involved earth moving and that occurred after August 31, 2010, provide a statement indicating where the earth was moved to or how it was disposed of.	B. Review list of construction activities and means for disposing of earth.				NA	NA, Ponds were established before August 31, 2010
		-	C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.				NA	NA, Ponds were established before August 31, 2010
Footnote	[8] For ponds established after the publication of the PAD standards.							
Footnote	[9] Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users.							
2.2.4	Indicator: Evidence [10] of no negative impacts on endangered species [11] Requirement: Yes Applicability: All	a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.	A. Review search results for adequacy and completeness.	C				There is a Scientific Report done by technical expert from WWF and Can Tho University on Mar-2013 about the "Identification of endangered and IUCN red listed species occur at "Mekong Delta - covering Sa Dec district, Dong Thap Province" with content including: - Identification of endangered species occur at Mekong delta area. - Identification of endangered species occur in the area of "C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM" - Risk assessment for all farming practice that can be danger to these species. - Apply new farming practice in order to have no negative impact on these endangered species.
		b. Determine whether any species occurring in the area are listed as endangered by relevant national authorities.	B. Review the source and accuracy of the list.	C				Source & accuracy confirmed.
		c. Prepare a list of all endangered species occurring in the area by combining results from 2.2.4(a) and 2.2.4(b) with results from the IUCN database search (see 6.6.2).	C. Review list for completeness. Compare with results from search of IUCN database for red list species (see 6.6.2).	C				There is a list of all endangered species occurring in the area & compare with results from the IUCN database search: it is correct & only a few species may appear at the area of farm location.
		d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm.	D. Review procedures for adequacy.	C				"Endangered species" no. CP-HD-06 on 02-01-2014, to control endangered species.
		-	E. During local community interviews, verify there is no evidence that: - the farm is presently having a negative impact on endangered species - the farm has recently had a negative impact (since August 2010).	C				Community interview: - Farm is presently having no negative impact on endangered species - Farm has recently had no negative impact (since Jan 2014).
Footnote	[10] Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced.							
Footnote	[11] As set by IUCN and national authorities.							
2.3 Criteria: Site connectivity								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
	Indicator: Farm does not impede navigation, aquatic animals or water movement	a. Obtain community testimonials or similar evidence to show the farm does not impede navigation, aquatic animals or water movement.	A. Inspect site to verify that pens, cages and/or associated farm structures do not impede navigation, aquatic animals or water movement.				NA	N/A. Pond

2.3.1	Requirement: Yes Applicability: Pens and Cages	-	B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.				NA	N/A. Pond	
2.3.2	Indicator: Minimum width of the water body [15] without cages (see Diagram 1, Annex C) Requirement: ≥ 50% Applicability: Cages	a. Provide a map or diagram showing measurements of cages and width of the water body.	A. Cross-check the current farm map or diagram using Google Map, satellite images or similar means (if detailed information is available). If current farm layout differs from the most recent available image, verify that the map or diagram reflects the actual farm layout.				NA	N/A. Pond	
		b. Provide measurements and calculations sufficient to show compliance (see Diagram 1 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are accurate and confirm compliance.				NA	N/A. Pond	
Footnote	[15] Water body: Any pond, lake, canal, river, stream or any other distinct mass of water, whether publicly or privately owned, including the banks and shores thereof.								
2.3.3	Indicator: Maximum width a farm can occupy calculated when the water body level/width is at its minimum (see Diagram 2, Annex C) Requirement: ≤ 20% percent of the width of the water body Applicability: Pens	a. Provide a map or diagram showing measurements of pens and width of the water body.	A. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available).				NA	N/A. Pond	
		b. Provide measurements and calculations sufficient to show compliance (see Diagram 2 from Annex C of the ASC Pangasius Standard)	B. Verify that calculations are accurate and confirm compliance.				NA	N/A. Pond	
		-	C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.				NA	N/A. Pond	
2.3.4	Indicator: Maximum number of contiguous pens allowed (see Diagram 3, Annex C) Requirement: Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens Applicability: Pens	a. Provide a map or diagram showing the size and number of pens, and showing the shoreline distance between pens.	A. Inspect site to verify the farm's diagrams accurately show the size and position of pens, and the shoreline distance between pens.				NA	N/A. Pond	
		b. On the map, show how the arrangement of pens complies with the requirement for number and separation distance (see Diagram 3, Annex C)	B. Verify the farm's arrangement of pens is in compliance.				NA	N/A. Pond	
2.4 Criteria: Water use									
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):					
2.4.1	Indicator: Farm complies with water allocation [16] limits as set by local authorities or a reputable independent institution [17] Requirement: Yes Applicability: Ponds	a. Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Verify the farm keeps complete records of water intake.	C				Farm had record of water intake daily for individual pond & calculated for 03 harvested pond. Check record of pond B3, B5, B6 found OK.	
		b. Obtain a statement from local authorities indicating the water allocation limits (units given) for the farm. If local authorities do not set water allocation limits for farms operating in the region, obtain a statement from local authorities attesting to this fact.	B. Review the water allocation limits set for the farm by local authorities. If local authorities do not set water allocation limits, confirm the farm has an attestation.	C				See 1.1.4.b	
		c. If water allocation limits are not set by local authorities (see 2.4.1b), obtain a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given)	C. Review evidence that water allocation limits have been set for the farm by a reputable independent institution (as applicable).	C				See 1.1.4.b	
		d. Demonstrate the reputation of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable).	D. Review evidence for reputation of the authority/institution responsible for water allocation (as applicable).	C				See 1.1.4.b	
		e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits.	E. Check the farm's water intake against the water allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).				NC-EV3	Cross-check against reported values for total water abstracted (2.4.2): Conformity However, the outlet canal of pond B9 had been damaged, could not ensure discharging water appropriately	
Footnote	[16] Valid for both surface water and groundwater. Surface water is defined as "water collecting on the ground or in a stream, river, lake, wetland or ocean." Groundwater is defined as "water beneath the earth's surface that supplies wells and springs." Note the term "surface water" is used here in place of the original term "surficial water" that appeared in the								
Footnote	[17] A reputable independent institution can be a government organization, an academic institution or an organization that is not linked specifically to the aquaculture sector, but has generated water use parameters for the region, or is responsible for water allocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed articles								

2.4.2	Indicator: For ponds. Maximum ratio of total water abstracted [18] (not consumed) per ton of fish produced (calculate abstracted water using formula in Annex D) Requirement: 5,000 m3/metric ton of fish produced Applicability: Ponds	Instruction to Clients for Indicator 2.4.2 - Calculating the Ratio of Total Water Abstracted per Ton of Fish Produced Annex D of the ASC Pangasius Standard provides a formula for calculating "Q" which is the ratio of total water abstracted per ton of fish produced. Farms must perform these calculations using harvest data from individual ponds (i.e. it is done on a crop-by-crop basis) and then using those results to determine a farm-wide average across all ponds. Calculations can be done as described here. For the first pond: - compute the total volume of water abstracted ("TEV") in cubic meters (m ³) during the production cycle; - compute the total weight of fish produced ("A") in metric tons at harvest time; and - calculate Q for the first pond using the equation: Q = TEV / A Repeat the calculations for the second pond, third pond... etc. until Q has been determined for each pond that was harvested. Use the Q values from each pond (Q ₁ , Q ₂ , Q ₃ ...Q _n) to compute the farm-wide average, or Q _{avg} .						
		a. Using records of water intake (see 2.4.1a), calculate total water abstracted (m3) for each pond harvested by the farm. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review calculations against intake records to confirm accuracy.	C				There are water intake record for all ponds. Check record of 3 harvested ponds in total 7 ponds: pond B3, B5, B6, all records are available.
		b. Maintain records showing amount of fish harvested from each pond.	B. Verify the farm keeps records showing the amount of fish harvested.	C				Available harvesting receipt for 3 harvested ponds, checking harvesting record of pond B3, B5, B6, record detail with number of harvest days, harvesting quantity for each day, quantity of each transportation boat per day.
		c. Calculate the total weight of fish produced (in metric tons) from each pond.	C. Review calculations against sales records and estimates of current stock biomass to confirm accuracy. If needed, reconcile the totals with the weight of any fish that were harvested but not sold (i.e. crops lost after a disease outbreak).	C				Farm have calculated harvesting quantity for 03 harvested pond, check data pond B3, B5, B6: calculation were accuracy.
		d. For each pond, calculate the ratio of total water abstracted per ton of fish produced (see above Instructions and Annex D of the ASC Pangasius Standard as an example).	D. Review farm's calculations for accuracy. Cross-check that water volumes (2.4.2a) and harvest weights (2.4.2b) from individual ponds can be reconciled with total annual production (2.4.2c) and total annual water intake (2.4.1e).	C				Cross check calculation of pond B3, B5, B6 with water volumes (2.4.2a) and harvest weights (2.4.2b): showing conformity.
		e. Using results from all harvested ponds, calculate the farm-wide average ratio of total water abstracted per ton of fish produced (see Instructions above).	E. Confirm the farm-wide average Q is ≤ 5,000 m3/metric ton of fish produced.	C				Check farm-wide average calculation of 3 harvesting ponds, result was conformity < 5,000 m3 / ton of fish produced.
Footnote	[18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater.							
PRINCIPLE 3. MINIMIZE THE NEGATIVE IMPACT OF PANGASIOUS FARMING ON WATER AND LAND RESOURCES				Major NC	Minor NC	NA		
3.1 Criteria: Nutrient utilization efficiency								
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
3.1.1	Indicator: Maximum amount of total phosphorus (TP) [19] added as feed per metric ton of fish produced. Requirement: 20 kg/t Applicability: Pens and Cages	Instruction to Clients for Indicators 3.1.1 and 3.1.2 - Laboratory Analysis of TP and TN in Feed a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used.			NA	N/A. Pond	
		b. Obtain relevant declarations of TP content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm has obtained declarations for TP content in feed.				NA	N/A. Pond
		c. Provide evidence that the farm tested TP from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TP content is reported accurately by feed suppliers (if applicable).				NA	N/A. Pond
		d. Use results of 3.1.1a and 3.1.1b to calculate the amount of TP in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.				NA	N/A. Pond
		e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).	E. Review farm's calculations to confirm the farm complies with the Requirement.				NA	N/A. Pond
Footnote	[19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).							
Note: see instructions for Indicator 3.1.1								

3.1.2	<p>Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced.</p> <p>Requirement: 70 kg/t</p> <p>Applicability: Pens and Cages</p>	<p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Confirm the farm has complete and accurate records for feed used.</p>				NA	N/A. Pond	
		<p>b. Obtain relevant declarations of TN content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>B. Verify the farm has obtained declarations for TN content in feed.</p>				NA	N/A. Pond	
		<p>c. Provide evidence that the farm tested TN from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).</p>	<p>C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).</p>				NA	N/A. Pond	
		<p>d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.</p>				NA	N/A. Pond	
		<p>e. Using total weight of fish produced (answer from 2.4.2c), calculate the amount of TP added as feed per metric ton of fish produced. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>E. Review farm's calculations to confirm the farm complies with the Requirement.</p>				NA	N/A. Pond	
Footnote	<p>[20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of nitrogen (Australian Government, Department of Meteorology).</p>								
Footnote	<p>[21] Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification. Farms that meet the requirements should be able to demonstrate compliance, regardless of whether their feed is made by a commercial feed mill or on site. See Principle 5 for further details.</p>								
3.1.3	<p>Indicator: Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D)</p> <p>Requirement: 7.2 kg/t</p> <p>Applicability: Ponds</p>	<p>Instruction to Clients for Indicator 3.1.3 and 3.1.4 - Sampling and Laboratory Analysis of TP and TN Discharged Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Farms will measure the amount of TP and TN discharged from a minimum of 1 pond in production; at least one of these ponds shall be randomly selected. The farm must record the number and identity of selected ponds before sampling. Required procedures for collecting water samples are as follows: - two water samples are taken: one from the pond (=pond water) and one from the intake (=intake water). The two samples are taken on the same day. - all water sample collections are done following the methodology provided by a fully independent ISO 17025 accredited laboratory and will be available to the certifier at the day of the audit. The accredited laboratory will be required to verify that sampling was conducted in accordance with this methodology. - all water samples are collected in second half of crop production (i.e. ≥ 90 days after stocking) - pond water samples are collected at 50% of pond depth - all water samples are collected before 11:00am - pond water samples are collected > 6 hours after the intake of water into the pond</p> <p>For first audits farm records for monitoring TP and TN discharged must cover ≥ 6 months. To prepare for first audit: - farm invites accredited laboratory to the farm to have the water sampled - if samples are out of compliance, farm takes corrective actions prior to ASC audit</p>							
		<p>a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring and a copy of the contract specifying that water sampling and analyses are to be conducted in line with instructions for 3.1.3</p>	<p>A. Confirm the laboratory is suitably qualified and briefed to conduct water sampling and analyses.</p>				NC-EV4	There are statements by a fully independent ISO 17025 accredited laboratory Intertek Lab with VILAS278 showing that their staff collected pond water, intake & discharge water samples. There was no records of pond intake water time to ensure that the time of taking sample is correct following standard instruction	
		<p>b. Obtain laboratory results for TP concentration in pond water samples and intake water samples.</p>	<p>B. Review laboratory results for TP concentration.</p>	C				Lab result preview: conformity	
		<p>c. For each pond, identify the total weight of fish produced (result from 2.4.2b), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.</p>	<p>C. Review accuracy of farm's data.</p>	C				Data review: accuracy	
		<p>d. Enter the values from b and c (above) into the Total TP Discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TP discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.</p>	<p>D. Review farm's calculations to confirm accuracy.</p>	C				Available of TP calculation for harvested ponds, check calculation of pond B3, B5, B6, calculation were accuracy.	
		<p>e. Use the TP values (answer d) from different ponds to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.</p>	<p>E. Review farm's calculations of average TP to confirm compliance with the Requirement.</p>	C				Farm's calculations of average TP discharge was <7.2 kg / ton of fish produced.	
	<p>Note: see instructions for Indicator 3.1.3</p>								

3.1.4	<p>Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D)</p> <p>Requirement: 27.5 kg/t</p> <p>Applicability: Ponds</p>	<p>a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.</p>	<p>A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.</p>			NC-EV4	<p>There are statements by a fully independent ISO 17025 accredited laboratory Intertek Lab with VILAS278 showing that their staff collected pond water, intake & discharge water samples. There was no records of pond intake water time to ensure that the time of taking sample is correct following standard instruction</p>
		<p>b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.</p>	<p>B. Review laboratory results for TP concentration.</p>	C			Lab result preview: conformity
		<p>c. For each pond, identify the total weight of fish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.</p>	<p>C. Review accuracy of farm's data.</p>	C			Data review: accuracy
		<p>d. Enter the values from b and c (above) into the Total TN discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TN discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.</p>	<p>D. Review farm's calculations to confirm accuracy.</p>	C			Available of TN calculation for harvested ponds, check calculation of pond B3, B5, B6, calculation were accuracy.
		<p>e. Use the TN values (answer d) from different ponds and to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.</p>	<p>E. Review farm's calculations of average TN to confirm compliance with the Requirement.</p>	C			Farm's calculations of average TN discharge was <7.2 kg / ton of fish produced.
3.2 Criteria: Measuring water quality in receiving water body							
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):				
3.2.1	<p>Indicator: Percentage change in diurnal dissolved oxygen [22] (DO) of receiving waters [23] relative to DO at saturation for the water's specific salinity and temperature. An exception is made for ponds that discharge water with TN and TP lower than the TN and TP of the intake water respectively (see DO measurement methodology in Annex D)</p> <p>Requirement: <=65%</p> <p>Applicability: All</p>	<p>Instruction to Clients for Indicator 3.2.1 - Measuring Percent Change in Diurnal Dissolved Oxygen Farms shall monitor the percent change in diurnal dissolved oxygen in receiving waters. Dissolved oxygen (DO) concentration is reported relative to DO at saturation for the water's specific salinity, temperature and altitude. DO is measured using a hand-held oxygen meter or a more accurate (chemical) method, with accuracy established in peer-reviewed documents. The location of measurements should be the first natural receiving water body and as close as practical to the point of discharge but at a distance not exceeding 200m from the point of discharge. In addition, the following procedures are followed: - DO monitoring is conducted fortnightly (i.e. once every two weeks) - On each sampling day, two DO measurements are taken: at 1 hour before sunrise and at 2 hours before sunset (+/- 30 min). - DO measurements are taken at 0.3 meters below the water surface. - Temperature and salinity is recorded at the same time that DO is measured.</p> <p>Note 1: An exemption to Indicator 3.2.1 is made for farms that have "cleaner" water (i.e. where the value of the farm TP and TN is lower than that of the intake water. This applies regardless of whether the receiving water is eutrophic. See Indicators 3.3.1 and 3.3.2 for more information about measuring differences in TN and TP between pond inlet and outlet.</p>					
		<p>a. Provide DO measurements .</p>	<p>A. Review dataset to confirm that monitoring covers the required timeframe.</p>	C			Available of DO measure one per two week, during year 2014
		<p>b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.</p>	<p>B. Verify the farm technicians calibrate equipment as required.</p>	C			Test Kit used measure DO, devices measure temperature & salinity. Technician was calibrated device manually prior to each use.
		<p>c. Calculate percent change in DDO for each monitoring date using the equation in Annex D.</p>	<p>C. Review calculations to confirm accuracy.</p>	C			Checking data & formula for individual calculations, results were accuracy.
		<p>d. Use results of 3.2.1c to calculate the average percent change in DDO over the entire 12-month monitoring period. For first audits, farm records must cover ≥ 6 months.</p>	<p>D. Confirm the average percent change in DDO is ≤ 65%.</p>	C			Check the average percent change in DDO during 10 month, of pond 04 and 06, result is < 65%.

		e. Arrange to take DO measurements while the auditor is at the farm.	E. Witness the farm measuring DO to confirm compliance with procedures. On-site values should fall within range of farm data for DDO. If an out of range measurement is observed, raise a non-conformity.	C			Auditor has witness farm staff to measure DO at 5:10 am & 4:15 pm: measure method was apply following standard guideline & DDO results were within range of value of previous 6 months.
Footnote	[22] DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be						
Footnote	[23] "Receiving water" is the first natural water body that receives the water from the farm and does not belong to the farm.						
3.3 Criteria: Measuring quality of pond effluents Water quality of pond effluents [24]							
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
Footnote	[24] This criteria is not pertinent to either cage or pen cultures.						
3.3.1	<p>Indicator: Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D).</p> <p>Requirement: 100%</p> <p>Applicability: Ponds</p>	<p>Instruction to Clients on Indicators 3.3.1 and 3.3.2 - Measuring Change in TP and TN Between Inlet and Outlet Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Laboratory results will be accompanied by a statement that indicates compliance to the methodology set in the ASC Pangasius Standard and this Audit Manual. Farms will measure the change in TP and TN from only a subset of the total number of ponds in production: 15% of all ponds (value rounded up to the nearest whole number). At least one of these ponds shall be randomly selected. The farm must record the number and selection of ponds before sampling. Required procedures for collecting water samples are as follows: - samples are collected by staff from the fully independent accredited laboratory; - samples are taken from the 'inlet' and the 'outlet' (inlet = the water in the intake canal, as close as possible to the farm being certified. Outlet = the actual water being discharged, not the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged); - samples are collected from pond inlets and outlets during the second half of crop production (i.e. ≥ 90 days after stocking); - on each sampling day, at least two samples are collected from the outlet and these are taken at least 1 hour apart (use the average value in calculations below); and - at a minimum the farm must sample from one pond per year. Percent Change in TP = (Outlet TP Conc.) - (Inlet TP Conc.) / (Inlet TP Conc.) x 100</p>					
	a. Provide laboratory results for TP in water samples from inlet and outlet.	A. Review laboratory results for TP.			NC-EV5		Two ponds were sampling for testing of TP. Check results for TP testing on 04/Jun/2014, result were accuracy. For the outlet water sample for TP,TN change calculation, there was only one sample collected in stead of two samples as standard instruction
	b. For each pond, calculate the percent change of TP between inlet and outlet on each sampling day using the equation shown above.	B. Review calculations to verify accuracy.	C				Check TP calculations for 2 pond, data were accurate
	c. Use results of 3.3.1(b) to calculate the average percent change in TP over the entire monitoring period.	C. Confirm the average percent change in TP is ≤ 100%. If any single value falls outside limits, raise a non-conformity.	C				Check TP calculations for 2 ponds, all value were <100%.
	d. Provide evidence of the on-site visit for the sampling of pond effluents for TP and TN by staff from the accredited laboratory.	D. Review visit evidence for sampling for TP and TN to confirm compliance with procedures.	C				Witness Lab staff sampling inlet & outlet water samples for TN testing: sampling method was compliance with standards guideline.
3.3.2	<p>Indicator: Maximum average percentage change of TN between inlet [25] and outlet [26] (See TN measurement methodology and TN discharge formula in Annex D).</p> <p>Requirement: 70%</p> <p>Applicability: Ponds</p>	<p>Note: see instructions for Indicator 3.3.1</p>					
	a. Provide laboratory results for TN in water samples from inlet and outlets.	A. Review laboratory results for TN.			NC-EV5		Two ponds were sampling for testing of TP. Check results for TP testing on 04/Jun/2014, result were accuracy. For the outlet water sample for TP,TN change calculation, there was only one sample collected in stead of two samples as standard instruction
	b. For each pond, calculate the percent change of TN between inlet and outlet on each sampling day using the equation shown above.	B. Review calculations to verify accuracy.	C				Check TP calculations for 2 pond, data were accurate
	c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period.	C. Confirm the average percent change in TN is ≤ 70%. If any single value falls outside limits, raise a non-conformity.	C				Check TP calculations for 2 ponds, all value were <100%.

		d. During the on-site visit, arrange for the auditor to observe sampling of pond effluents for TP and TN.	D. Witness sampling for TP and TN to confirm compliance with procedures.	C			Witness Lab staff sampling inlet & outlet water samples for TN testing: sampling method was compliance with standards guideline.
Footnote	[25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified.						
Footnote	[26] Outlet: The actual water being discharged, not the receiving water.						
		Instruction to Clients for Indicator 3.3.3 - Measuring DO in Water Discharged See Indicator 3.2.1 for a general description of the equipment and method used to measure dissolved oxygen (DO). Take DO measurements at the outlet where water is discharged (i.e. measure DO in the actual water being discharged, not in the receiving water. For farms using a water treatment system this could be the water in the final part of the treatment system before being discharged). Test DO at least once per week.					
3.3.3	Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D) Requirement: 3 mg/l Applicability: Ponds	a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months	A. Review dataset to confirm that monitoring covers the required timeframe.	C			Measure DO of waste water channel near discharge point 1/week. Measure was done during 10 months for year 2014
		b. Use data from all weekly measurements to calculate the average DO in water discharged over the entire monitoring period. For first audits, farm records must cover ≥ 3 months.	B. Confirm DO in water discharged by farm is ≥ 3 mg/l. If any single value falls outside limits, raise a non-conformity.	C			There is no single value fall under 3 mg/l.
		c. During the on-site visit, make arrangements for the auditor to observe calibration of equipment and measurements.	C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.	C			On-site visit: observe farm technician calibrates equipment and takes DO measurements, all was compliance.
3.4 Criteria: Sludge disposal for ponds and pens, not cages [27]							
Compliance Criteria (Required Client Actions):				Auditor Evaluation (Required CB Actions):			
Footnote	[27] For cage culture, there are no requirements for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly.						
3.4.1	Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28] Requirement: Yes Applicability: All	a. Provide a detailed sludge management plan (also see 3.5.1). The plan will ensure that no sludge in any form is discharged directly into receiving waters or natural ecosystems.	A. Review the farm's sludge management plan.	C			- Farm had Sludge discharge procedure no. CP-HD-02 on 02-01-2014, sludge will be storage at farm . Sludge in ponds were schedule for emptying one having 80% of containing capacity.
		b. Maintain records of sludge disposal to show volume or weight and condition (i.e. fresh or dried) when disposed. For first audits, farm records must cover ≥ 3 months.	B. Review records to confirm appropriate disposal according to plan.	C			These are sludge disposal records for all pond, check record of harvested pond: pond B1, B5, B6 have record of date, volume of sludge disposal & storing destination.
		c. If sludge is transferred (e.g. for agricultural use), obtain a declaration from the receiving party that specifies the sludge volume, delivery date, and expected use. The party shall declare that the sludge will not be discharged directly into receiving waters or natural ecosystems.	C. If yes to (c), confirm farm has appropriate documentary evidence.	C			- There are contracts with five household next to farm that sludge will be disposed into fruit garden, sludge will use to made fertilizer.
		d. If a sludge repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership or a statement from the owner of right of use).	D. If yes to (d), inspect sludge repository during on-site visit.	C			On-site visit: there are fruit gardens nearby with some area already have sludge on.

			E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems	C			Community interview: no evidence of farm discharge sludge directly into receiving waters on natural ecosystems.	
Footnote	[28] "The complex of a community and its environment functioning as an ecological unit in nature." More simply, it's both living and non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems are considered.							
		Instruction to Clients for Indicator 3.4.2 - Size of Sludge Repository						
		A Sludge Repository Formula is given in Annex D of the ASC Pangasius Standard. Farms shall document how this formula was used to calculate the appropriate size (minimum volume) of a sludge repository. Farms may, for example, document their calculations in the sludge management plan (see 3.4.1a). All sludge areas and volumes must be considered in the calculation. For 'Area of Pond', consider only the area of the pond from which sludge has to be removed over the following 2 months.						
3.4.2	Indicator: Evidence of a sludge repository of appropriate size (See Sludge Repository formula in Annex D) Requirement: Yes Applicability: Farms managing the sludge using a repository	a. Provide calculations showing the sludge repository is of appropriate size.	A. Review farm's calculations to verify accuracy. Confirm compliance.	C			Sludge discharge procedure no. CP-HD-02 on 02-01-2014, calculated the minimum volume of repository = 9,352m3 The actual volume of sludge pond = 17,360m3	
		b. Provide evidence of legal access to the sludge repository (see 3.4.1c).	B. During on-site visit, inspect the farm's sludge repository.	C			On-site visit: the sludge repository already have sludge on.	
3.5 Criteria: Waste management								
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
3.5.1	Indicator: Evidence of farm solid wastes being discharged into the natural environment Requirement: None Applicability: All	a. Prepare a plan for farm solid waste management. The plan may encompass other forms of farm-generated wastes (see 3.4.1, 3.5.2, 3.5.3, and 3.5.4). b. During the on-site visit, arrange for the auditor to inspect the farm's solid waste management system.	A. Review the farm's solid waste management plan. B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.			NC-EV6	There is a Solid wastes management plan CP-GAP-08 version 1 issued on 01 March 2014, include management plan for all kind of wastes (see 3.4.1, 3.5.2, 3.5.3, 3.5.4). Solid wastes management plan CP-GAP-08 had not mentioned clearly about how to treat organic waste and non-organic waste.	
			C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.			NC-EV6	There was no evidence of that farm contracted to waste disposal service to dispose farm's rubbish.	
3.5.2	Indicator: Evidence of human and animal solid wastes being discharged into the natural environment Requirement: None Applicability: All	a. During the on-site visit, give the auditor a general description of the farm's system for removal of human and animal solid waste. Allow the auditor to inspect. b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c). c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance. d. Provide evidence for burial of animal feces (as applicable). e. Identify septic toilets in construction contracts if possible.	A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment. B. Verify that emptying and maintenance follow the schedule. C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that emptying and maintenance follow the schedule. D. Inspect site to verify that the farm buries any animal feces (if applicable). E. Review construction contracts (if applicable).	C			Septic toilets were using. No evidence of human & animal solid waste discharge into the environment. The waste control procedure CP-GAP-08 detail about frequency empty the toilet and hygiene frequency. Onsite check all toilet were kept in good condition. Septic toilet inspect: Toilet are clean, no evidence of leakage or direct discharge into the natural environment. - OK, No animal at farm. The contract to build the camp office and store food, including the toilet available.	

3.5.3	Indicator: Evidence of chemical and medicine wastes being discharged into the natural environment Requirement: None Applicability: All	a. Prepare a plan for farm management of chemical and medicine wastes.	A. Review farm's plan for management of chemical and medicinal wastes.	C			There is a Solid wastes management plan CP-GAP-08 version 1 issued on 01 March 2014 : all chemical & medicine wastes are collect & treatment by subcontractor. Contact no. 15/2014/HDKT-TTN on 11/03/2014, with Tan Thien Nhien Company about hazardous waste treatment Certificate od Tan Thien Nhien no. QLCTNH:7-8.084.V on 14-07-2011, valid to 31-Dec-2015, approved for waste treatment by TNMT Department.
		b. During the on-site visit, allow the auditor to inspect the farm's management of chemical and medicinal wastes.	B. Inspect the farm for any evidence of chemical or medicinal waste being discharged into the natural environment surrounding the farm.	C			On-site inspect: no evidence of chemical & medicine wastes discharge into the natural environment.
		-	C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	C			Farm has storing room for chemical & medicine wastes. Available receipts of chemical & medicine wastes collect by suppliers.
3.5.4	Indicator: Evidence of proper disposal [30] of dead/moribund fish Requirement:: Yes Applicability: All	Instruction to Clients for Indicator 3.5.4 - Preparing a Plan for Disposal of Dead/Moribund Fish Prepare a plan for the proper disposal of dead/moribund fish that specifies the means of disposal using one or more of the following categories: incineration (excluding regular burning, as not allowed); burial; fermentation and use as fertilizer; septic tank; production of fish meal or fish oil; feed for animals other than pangasius (requires statement from aquatic animal health specialist, see Principle 6); sold. Dead fish should never be used for human consumption unless specifically slaughtered and processed for that purpose in an appropriate facility.					
		a. Provide auditor with the farm's plan for disposal of dead/moribund fish.	A. Review the farm's plan for compliance with Indicator 3.5.4.	C			There are plan for disposal of dead/moribund fish in Solid wastes management plan CP-GAP-08 version 1 issued on 01 March 2014: - Dead fish Typically: be sold as fertilizer - Fish die from the disease: burry and treat with lime
		b. <u>burial, incineration, fermentation</u> : plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).	C			There are some areas for dead/moribund fish burial with lime cover above and no evidence of pollution.
		c. <u>septic tank</u> : plan gives procedures for disposal of fish in septic tanks, specifies the schedule for emptying tanks, and identifies personnel involved (e.g. contracts with external parties).	C. Verify by review of documentary evidence (as applicable).			NA	N/A, no use of septic tank.
		d. <u>production of fish meal or fish oil</u> : specified in plan (if done by farm). Note that this option is allowed only if aquatic animal health specialist rules out pesticides.	D. Verify by inspection (as applicable).			NA	NA, no use dead/moribund fish for production of fishmeal or fish oil
		e. <u>feed for animals other than pangasius (excluding fish meal and fish oil as covered in "d")</u> : Option is allowed only if an aquatic animal health specialist concludes that mortality was not caused by an infectious agent or a pesticide/chemical pollutant.	E. Verify that farm obtains written statement(s) from aquatic health specialist (as applicable).			NA	NA, no use dead/moribund fish to made feed for other animals.
		f. <u>sold</u> : Plan identifies the option of sales. For all sales, the farm must prepare a contract that states how the buyer will use the dead fish. If intended as animal feed (either directly or as fish meal/oil) the contract and the statement of the specialist confirm compliance with requirements.	F. Verify by review of documentary evidence (as applicable).	C			Check records pond No. B3, B5, B6: fish disease, treatment with antibiotics, recommended by health professionals: all fish dead are buried/filled with records.

			G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.	C				On-site inspect & worker interview: confirm disposals plan was followed.
Footnote	[30] Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production of fish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality was not caused by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for animals other than pangasius. Evidence on the cause of mortality shall be provided by the aquatic animal health specialist (see Principle 6).							
3.6 Criteria: Energy consumption								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
3.6.1	<p>Indicator: Information available on the following variables (per year per farm in the certification unit): - Fuel used - Quantity of electricity - Amount of dead fish for each disposal method.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Provide records of mortality quantities (see Indicator 6.4.4) and their disposal method (see Indicator 3.5.4). For first audits, farm records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review calculations. Verify the farm keeps records of energy consumption.</p> <p>B. Verify the farm maintains accurate records of mortalities and disposals.</p>	C				<p>There are electric payment receipt monthly for 10 months.</p> <p>There are records of dead fish quantity daily for all ponds & full crop.</p>
PRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS					Major NC	Minor NC	NA	
4.1 Criteria: Presence of pangasius in the water drainage system								
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):					
Note: If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established,								
4.1.1	<p>Indicator: Farm located in a river basin where the farmed species is indigenous or has a self-recruiting [32] stock established before 1st January 2005</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p>a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases.</p> <p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p> <p>c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization).</p> <p>d. If the species is not indigenous and has a self-recruiting stock established in the river basin, provide documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references on multiple incidences of different age classes at different times and location) indicating that the stock was self recruiting before 1st January 2005.</p>	<p>A. Review declarations. Confirm that the farmed species is accurately identified in purchase records.</p> <p>B. Review map to confirm farm location within river basin.</p> <p>C. Confirm that documentation shows the farmed species is indigenous to the river basin.</p> <p>D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005.</p>	C				<p>- For each lot of fingerling importing to growth-out pond, There are declarations from seed supplier, confirm that fingerling species is "Pangasius hypophthalmus". - Check fingerling import record for pond B3, B5, B6: result are conformity</p> <p>GPS checking on map, showing farm located in Mekong river basin.</p> <p>Farmed species is indigenous to Mekong river basin There are copies of FAO report (Sauvage, 1878) and Scientific Magazine of Can Tho University issued 2008 "Tổng quan dẫn liệu về định loại cá Tra Pangasianodon hypophthalmus Phân bố ở vùng hạ lưu sông Mekong".</p> <p>NA, Farmed species is indigenous to river basin</p>
			E. Verify the identity of the farmed species by direct observation during on-site visit.	C				Check Species at each pond: species was Pangasius hypophthalmus.
4.1.2	<p>Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is not indigenous and a self-recruiting stock is established</p>	<p>a. Provide documentary evidence: peer-reviewed papers, official government (competent authority) statements or other comparable references indicating no negative impacts.</p> <p>Negative impact by a self-recruiting stock includes but is not restricted to: - changing the genetic diversity of wild pangasius through interbreeding - competition (e.g. displacement of local species) - habitat destruction</p>	<p>A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.</p>				NA	NA, Farmed species is indigenous to river basin

Footnote	[32] Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times and location are necessary as evidence.						
Footnote	[33] Peer-reviewed papers, official government (competent authority) statements or other comparable references are necessary as evidence.						
4.1.3	<p>Indicator: If the species is not indigenous and does not have a self-recruiting stock established, evidence that the species cannot establish in the river basin [34]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is not indigenous and does not have a self-recruiting stock established</p>	a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.	A. Review evidence provided by the farm to confirm that the farmed species cannot establish in the river basin.			NA	NA, Farmed species is indigenous to river basin
Footnote	[34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.						
4.2 Criteria: Genetic diversity							
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
4.2.1	<p>Indicator: Demonstration [35] that the seed [36] has been generated from the pangasius population naturally reproducing in the river basin [37]</p> <p>Requirement: Yes</p> <p>Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established</p>	<p>a. Obtain evidence for either of the following: - the species is indigenous to the river basin (result from 4.1.1); or - a self recruiting stock has established in the river basin (result from 4.1.2).</p> <p>b. Provide a map of the river basin showing the location of the farm (see 2.1.1).</p> <p>c. Obtain a declaration from seed supplier(s) stating that the seed was generated from broodstock deriving (even if through several generations of spawning in captivity) from the pangasius population naturally reproducing in the river basin.</p> <p>d. For all seed purchases, maintain sufficient records (e.g. receipts) to identify the river-basin source of broodstock. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review evidence to confirm pangasius is indigenous to the river basin or else has a self-recruiting stock established there.</p> <p>B. Review map to confirm the farm's location coincides with an indigenous pangasius population or a self-recruiting stock that has established in the river basin.</p> <p>C. Review declarations. Confirm that the source of the seed is accurately identified in purchase records.</p> <p>D. Verify that sourcing of seed is in compliance with the Requirement.</p>	C			<p>Farmed species is indigenous to Mekong river basin There are copies of FAO report (Sauvage, 1878) and Scientific Magazine of Can Tho University issued 2008 "Tổng quan dẫn liệu về định loại cá Tra Pangasianodon hypophthalmus Phân bố ở vùng hạ lưu sông Mekong".</p> <p>GPS checking on map, showing farm located in Mekong river basin.</p> <p>- For each lot of fingerling importing to growth-out pond, There are declarations from seed supplier, confirm that fingerling species is "Pangasius hypophthalmus". - Check fingerling import record for pond B3, B5, B6: result are conformity</p> <p>Checking fingerling source of pond B3, B5, B6: showing compliance.</p>
Footnote	[35] A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary.						
Footnote	[36] Throughout these standards, the word "seed" is used for pangasius seed only.						
Footnote	[37] This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005.						
4.3 Criteria: Source of seed							
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
4.3.1	<p>Indicator: Allowance for use of wild-caught seed for grow out</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Provide a declaration that the farm does not use wild-caught seed for grow out.</p> <p>b. Obtain statement from seed supplier(s) that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity).</p> <p>c. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Verify declaration of no wild-caught seed for grow out.</p> <p>B. Verify that farm has statements from seed suppliers.</p> <p>C. Verify the farm maintains accurate records for sourcing of seed.</p>	C			<p>There is a declaration signed by farm manager on 06 Feb 2014 confirm that farm does not use wild-caught seed for grow out.</p> <p>- For each lot of fingerling importing to growth-out pond, There are declarations from seed supplier, confirm that fingerling source came from artificial breeding.</p> <p>- There are records of seed source stock at individual pond. - Check fingerling import record for pond B3, B5, B6: result are conformity</p>
4.4 Criteria: Genetically engineered and hybridized strains							
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
	<p>Indicator: No use of genetically engineered (transgenic) or hybrid seed</p>	a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.	A. Verify declaration of no use of genetically engineered or hybrid strains.	C			There is a declaration signed by farm manager on 06 Feb 2014 confirm that farm does not use of genetically engineered or hybrid strains.

4.4.1	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Obtain statement from seed supplier that the seed is not genetically engineered (transgenic) or hybrid. For first audits, farm records must cover ≥ 6 months.</p>	<p>B. Verify that farm maintains statements from seed suppliers.</p>	C				<p>- For each lot of fingerling importing to growth-out pond, There are declarations from seed supplier, confirm that no production & sale of engineered or hybrid seed.</p> <p>- Check fingerling import record for pond B3, B5, B6: result are conformity</p>
Footnote	<p>[31] A genetically modified organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC).</p>							
<p>4.5 Criteria: Escapes.</p>								
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):				
4.5.1	<p>Indicator: Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide farm records indicating fish sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Maintain records indicating the size of net mesh or grills for the entire farm. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review records for fish size in different holding units.</p> <p>B. Review records for mesh or grill size.</p>	C				<p>- Check the size of fish farms 2 week / time, full record size for all pond fish.</p> <p>- Check records pond B3, B5, B6: sufficient information for whole crops.</p> <p>Farm diary have record of fish size & mesh size apply for all ponds: 1.0 cm, checking daily ok.</p>
		-	C. During the on-site visit, inspect the size of net mesh or grills to confirm compliance.	C				Practical check at pond B6: ask farm staff to remove the protective net and checking: results showing compliance.
4.5.2	<p>Indicator: Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection)</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide farm records for daily inspection of net mesh or grills used in production (e.g. grow-out) units.</p> <p>b. Keep records of mitigation and repairs in a permanent register. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review records to verify inspections are regular and timely.</p> <p>B. Review the register to verify repairs are performed and recorded.</p>	C				<p>- There are record of mesh size checking & maintenances for all ponds. - Check record of pond B3, B5, B6: mesh checking maintenance had been done daily for full crop.</p> <p>- There are record of mesh size checking & maintenances for all ponds. - Check record of pond B3, B5, B6: mesh checking maintenance had been done daily for full crop.</p>
		c. Arrange for the auditor to observe an inspection during the on-site visit.	c. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective.	C				Practical check at pond B6 : ask farm staff to remove the protective net and checking: results showing compliance.
4.5.3	<p>Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs</p> <p>Requirement: Yes</p> <p>Applicability: Ponds</p>	<p>a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 10 years.</p> <p>b. Obtain a statement from local authorities or reputable organisation reporting the altitude (m above sealevel) of the bund in its lowest point. Show location of bund low-point on a map of the farm (see 2.1.1).</p> <p>c. Provide a written statement that there were no incidents of significant spillage or escapement due to flooding in the last 12 months.</p>	<p>A. Review records covering ≥ 10 years or statement to establish the maximum height of high water when flooding occurs.</p> <p>B. Review statement and map. During the on-site visit, inspect farm to verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.</p> <p>C. During local community and employee interviews, verify there is no evidence for significant spillage or escapement from the farm in the last 12 months.</p>	C				<p>Report of Center for Hydrometeorology Dong Thap province signed on 12/11/2012 with information on the maximum height of the water when the flood occurred during 10 years in the position of regional river farm</p> <p>- There is a statement of Đồng Tháp's Hydrography Agency reporting the altitude (m above sea level) of the bund in its lowest point & it is higher maximum height of high water when flooding occurs during last 10 years. - On-site inspect: there is a precast concrete point done by Đồng Tháp's Hydrography Agency. Check & compare with the statement: showing conformity.</p> <p>Local community interview: no incident of fish escape.</p>
Footnote	<p>[38] Bund: berm containing the water in the pond.</p>							
Footnote	<p>[39] Consider 10 years maximum water level (including cases of storms).</p>							
		<p>a. Identify the quantity and location of all trapping devices. The term 'trapping device' does not include mesh or grid barriers (see 4.5.1).</p>	<p>A. Review how the farm uses trapping devices to monitor escapees. Verify that trapping devices do not injure/compromise fish (e.g. gill nets).</p>	C				Clear defined in the farm map

4.5.4	Indicator: Presence of trapping devices [40] placed in effluent/drainage canals or on water outlets to capture escapees, a record of findings and actions taken (available for inspection) Requirement: Yes Applicability: All	b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.	B. Review records of inspection and observed escapees.	C			Daily check, record are available for full crop.
		c. When escapees are detected, record any actions taken to reduce or eliminate escapement. For first audits, these records must cover at least 1 full crop per site (see preamble).	C. Review the suitability of any actions taken by the farm to reduce escapement.	C			No escape found but procedure have guideline for action when escape fish had been found.
		-	D. During the on-site visit, inspect to verify that traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees.	C			On-site inspect: - Trap was placed in wastes water pond. - Witness farm staff to check the trap: it is working properly.
Footnote	[40] These devices should not injure or compromise fish health (e.g., gill nets).						
4.6 Criteria: Pond Maintenance							
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
4.6.1	Indicator: Evidence that the bund has remained intact [41] throughout the culture cycle Requirement: Yes Applicability: All	a. Prepare a procedure for the monitoring and repair of damaged bunds.	A. Review farm's procedure for bund monitoring and repair.	C			There is a procedure for bund monitoring and repair. Bund had been checking daily.
		b. Maintain a record of bund monitoring and repair that identifies date of damage detection and when the farm initiated and completed repairs.	B. Review records for evidence that the bund has remained intact in the last 12 months. If a bund was found to be compromised, there shall be evidence that repairs were completed as soon as practical.	C			There are bund checking & maintenance records daily for full crop.
		c. During the on-site visit, arrange for auditor to inspect farm's bunds.	C. Inspect bunds to confirm compliance. Examine for any signs of collapse and note evidence of repairs.	C			Onsite checking; there no sign of collapse
		-	D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.	C			Community interview: no evidence of bun collapsed.
Footnote	[41] Has not been affected in such a way to allow the escape in part or all of the farmed stock.						
4.6.2	Indicator: Evidence assuring there has been no intentional release [42] Requirement: Yes Applicability: All	a. Prepare a declaration that the farm has made no intentional releases in the last 12 months.	A. Review declaration to confirm compliance.	C			There is a declaration signed by Farm Manager on 06/02/2014 confirm that Farm does not made intentional releases in the last 12 months.
		b. Maintain records and receipts to show that all crops stocked have been harvested and sold (see 2.4.2 and 5.2.1) or properly disposed (see 3.5.4). For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records to confirm that all stockings can be accounted for by harvest or disposal.	C			Check record of pond B3, B5, B6: seed import record, daily dead fish record, harvesting receipt, results were conformity.
		c. Prepare a written justification for any periods of inactivity lasting longer than 3 months. For first audits, records must cover at least 1 full crop per site (see preamble).	C. Review annual production records to determine if there are significant discrepancies that could indicate the possibility of intentional release.	C			Review annual production summary showing conformity.
Footnote	[42] The original intent of footnote 42 from the Pangasius Aquaculture Dialogue Standards has been clarified here for auditing purposes. It now reads: "Significant discrepancies between the number (or biomass) of fish stocked and the number (or biomass) of fish sold in the absence of disease outbreaks, major theft or escapes would indicate the possibility of intentional release."						
PRINCIPLE 5. USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED							
5.1 Criteria: Sustainability of feed ingredients							
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):				
5.1.1	Indicator: Use of uncooked or unprocessed fish and/or fish products [43] (including trash fish) as feed Requirement: No Applicability: All	a. Maintain records (e.g. receipts) for all purchases of commercial feed in the last 12 months. For first audits, farm records must cover > 6 months.	A. Review farm records for commercially sourced feeds.	C			There are feed received receipt for feed use of the whole cycle. Feed use is "Save Feed".
		b. If any farm-made feed was used, provide a description of ingredients and preparations. Maintain evidence of purchase (e.g. receipts) or ownership of all ingredients. For first audits, farm records must cover > 6 months.	B. Review ingredients to verify that farm-made feed had no uncooked or unprocessed fish and/or fish products (including trash fish).			NA	N/A, no use of farm-made feed.
		-	C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.	C			Only "Savefeed" compound feed is used, GlobalG.A.P certified.
Footnote	[43] Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen, minced, dried, meals, oils, and processing by-products).						
	Indicator: Use of pangasius fish processing by-	a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at any time during the last 12 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish processing were used as feed for pangasius.	C			Farm use only "Savefeed" compound feed which is declaration are available.

Major NC Minor NC NA

5.1.2	products [44] as feed or feed ingredients Requirement: No Applicability: All	b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site. c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used as feed ingredients. If fish meal or fish oil was used, obtain a statement from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months.	B. Review manufacturer's declaration to confirm no pangasius by-products were in feed. C. Review farm documentation to confirm that no pangasius by-products were used in feed preparation (if applicable).	C				There is a statement from SaveFeed on 10 May 2014: No use of pangasius by-product as ingredient for feed.
Footnote	[44] Trimmings, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these are not counted as part of the "fish product" amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in							
5.1.3	Instructions to Clients for Indicator 5.1.3 - Confirm there are no IUCN Red List Species in Feed For the purposes of this Indicator, the ASC definition of 'fish products' shall encompass all wild-capture marine resources, including finfish and invertebrate species (e.g. shrimp, crab, squid). Farms must be aware that feeds which contain any IUCN Red Listed species do not comply with the Standard. This restriction extends to feeds that use by-products (e.g. trimming) or aquacultured products of IUCN Red Listed species. For each fish product used as a feed ingredient, determine whether the species is on the IUCN Red List as follows: - go to http://www.iucnredlist.org/ - in the primary search field enter the genus and species - click on "run search" and record the status of the species. Note: The IUCN Red List uses nine categories for ranking species according to threat, and search results may include species that are not currently threatened. For the purposes of determining whether the feed complies with Indicator 5.1.3, consider only species identified as "Vulnerable", "Endangered", or "Critically Endangered". Species that are listed in other IUCN categories (e.g. "Not evaluated", "Data Deficient", and "Least Concern") may be excluded from further analyses. Indicator: Fish products used in feed are not in the "threatened categories" [45] on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species [46] Requirement: Yes Applicability: All							
	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.		A. Confirm that farm has records of ingredients from all commercially sourced feeds.	C				There is a statement from Savefeed on 10 May 2014: No use of fish meal content species in IUCN as ingredient for feed.
	b. Verify that none of the species identified in 5.1.3(a) are in "threatened categories" on the IUCN Red List of Threatened Species.		B. Repeat search of IUCN database to verify that farm obtained an accurate result.	C				Search of IUCN database and verify fish species which were use as fish meal ingredient provide by Savefeed producer, result showing compliance.
	c. If farm-made feed was used, verify that no species are in "threatened categories" on the IUCN Red List. If fish meal or fish oil were used, obtain a statement from the respective supplier confirming compliance.		C. Confirm that farm has provided sufficient evidence of compliance.				NA	NA, no use of farm-made feed
Footnote	[45] Vulnerable, Endangered and Critically Endangered.							
Footnote	[46] www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards.							
5.1.4	Indicator: Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II and III [47] Requirement: Yes Applicability: All							
	a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). [See Indicator 5.1.5 about sourcing of trimmings and aquacultured products as feed ingredients]. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site		A. Confirm that farm has a statement from the feed manufacturer verifying the origin of all fish products used as ingredients in all commercial feeds.	C				There is a statement from Savefeed on 10 May 2014: No use of fish meal content species in CITES appendix I, II, III as ingredient for feed.
	b. Determine if any species identified in 5.1.4(a) is listed in CITES appendix I, II, or III by doing the following: - go to http://www.cites.org/eng/resources/species.html - select option "Species", enter genus and species, and click "find it"		B. Repeat search of CITES database to verify that farm obtained an accurate result.	C				Search of CITES database and verify fish species which were use as fish meal ingredient provide by Savefeed producer, result showing compliance.
	c. If farm-made feed was used, verify that no species are listed in CITES Appendix I, II or III. If fish meal or fish oil were used, obtain a statement from the respective supplier confirming compliance.		C. Confirm that farm has provided sufficient evidence of compliance.				NA	NA, no use of farm-made feed
Footnote	[47] http://www.cites.org/eng/app/appendices.shtml							

5.1.5	<p>Indicator: ISEAL-certified fishmeal and fish oil products must be used in feed</p> <p>Requirement: Within 3 years of becoming available in a region</p> <p>Applicability: All, after 3 years of ISEAL-certified fishmeal and fish oil becoming available in the region of production. Not applicable if only trimming and aquaculture products are used</p>	<p>Note 1: "becoming available in a region" means being commercially available in the region (UN regions) by at least two independent suppliers and indicated in grey literature (the date of appearing in grey literature is to be used).</p> <p>Note 2: "products" does not apply to trimmings and aquacultured products used as feed ingredients (see Indicator 5.1.3).</p>							
	<p>a. Obtain a statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.</p>	<p>A. Confirm that farm has statement from feed manufacturer identifying the origin of all fish products used as feed ingredients (to specify genus, species and region of harvest).</p> <p>B. Review evidence and confirm compliance.</p>	C					NA, ISEAL-certified fish meal & fish oil are not available in the region.	
5.1.6	<p>Indicator: ISEAL certified fishmeal and fish oil products must be used in feed</p> <p>Requirement: Within 5 years from the publication date of the PAD standards</p> <p>Applicability: All, after August 2015. Not applicable if only trimming and aquaculture products are used</p>	<p>a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5.</p>	<p>A. Confirm that farm obtains information about feed ingredients.</p> <p>B. Review evidence and confirm compliance.</p>	C				See 5.1.5.a	
				C				NA, ISEAL-certified fish meal & fish oil are not available in the region.	
5.1.7	<p>Indicator: Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score</p> <p>Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation's (IFFO) "Responsible Sourcing Program for Certification of Responsible Practice for Fishmeal and Fish Oil Production"</p> <p>Requirement: ≥ 6.0 with no individual score < 6.0 or an N/A in the stock assessment category</p> <p>Yes</p> <p>Applicability: Up to when standard 5.1.5 or 5.1.6 can be met. Not applicable if only trimming and aquaculture products are used</p>	<p>Instruction to Clients for Indicator 5.1.7 - FishSource Score of Products Used in Feed To determine FishSource scores of fish species used as feed ingredients, do the following: - go to http://www.fishsource.org/ - select "Species" drop down tab to the left - select the species that is utilized by the farm as a source of fish meal or oil - confirm that the search identifies the correct species, then select the top tab that reads "Scores" - Review scores to verify average FS scores ≥ 6.0; no individual score < 6.0, and no "N/A" for "Stock Assessment" category (category 4 in FishSource scoring).</p> <p>If results show the species does not meet all three of the above criteria, then the feed does not meet requirements of the ASC Pangasius Standard. If the species has not been assessed (i.e. it is not listed on the FishSource website), then the feed does not meet requirements of the Standard. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment.</p>							
	<p>a. Obtain statement from feed manufacturer as for Indicator 5.1.5. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>b. Provide an FS score or verification of IFFO certification for each species used as a feed ingredient in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p>	<p>A. Verify that farm obtains information about feed ingredients.</p> <p>B. Review FS scores and IFFO certification for species used in feed. Cross check against species listed in feed supplier declarations (see 5.1.3a).</p>	C					See 5.1.5.a	
				C				NA, ISEAL-certified fish meal & fish oil are not available in the region.	
5.2 Criteria: Efficient management of feed use on the farm									
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):						
	Indicator: Maximum weighted [50] average of	<p>a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review records to confirm that farm has records for all seed.</p>	C				There are seed record for all ponds. Check pond B3, B5, B6: records were accuracy.	
		<p>b. Maintain records showing the type of feed and the total amount used (see 3.1.1a).</p>	<p>B. Confirm that farm has complete and accurate records for feed.</p>	C			There are seed record for all ponds in farm diary. Check pond B3, B5, B6: have records for full crop.		

5.2.1	economic Feed Conversion Ratio (eFCR) for the complete production cycle Requirement: 1.68 Applicability: All	c. Maintain records (e.g. receipts) showing amount of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify the farm keeps records showing amount of fish harvested.	C				There are harvesting record of 3 harvested pond. Check harvesting receipts of pond B3, B5, B6, results were conformity.	
		d. Calculate eFCR and yield for each crop harvested during the last 12 months using the formulas given in Annex D of the Pangasius Standard. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review calculations for accuracy and completeness.	C				There are eFCR calculations for 3 harvested ponds. Check all calculation were correctly	
		e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.	E. Review calculations for accuracy. Confirm compliance.	C				There is table of eFCR average calculation, show eFCR <1.68, show compliance	
Footnote	[50] Weighting to be conducted by the amount of fish produced in different farming units (e.g. ponds, pens and cages).								
5.2.2	Indicator: Maximum Fish Feed Equivalence Ratio (FFER) Requirement: 0.5 Applicability: All	a. Obtain statement(s) from feed manufacturer indicating the maximum inclusion percentage of fish meal and fish oil in each type of feed used. For first audits, farm records must cover ≥ 6 months.	A. Verify that farm obtains information about percent inclusion of fish meal and fish oil for all feed types.				NA	NA. Only used by-product	
		b. Calculate the FFER using the formula given in Annex D of the Pangasius Standard. By-products from fish processing of species other than pangasius but not on the IUCN Red List or CITES lists can be used and not be factored in as "fish meal or oil" for this calculation	B. Review calculations to verify accuracy. Confirm compliance.					NA	NA. Only used by-product
PRINCIPLE 6. Minimize ecosystem and human health impacts, while maximizing fish health, welfare and ensuring food safety									
6.1 Criteria: Mortalities									
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):						
6.1.1	Indicator: Maximum average real percentage mortality, from stocking to harvest, during the grow-out period (See Real Percent Mortality formula in Annex D). Requirement: 20 % Applicability: All	Instructions to Clients for Indicator 6.1.1 - Calculating Average Real Percentage Mortality (RPM) Calculate the weighted average of Real Percentage Mortality using the stocking & harvesting data from every enclosure used by the farm in the last 12 months. Do one calculation per enclosure as follows: 1) Determine the number of fish stocked. This number may be obtained from - direct counts of fingerlings, or - computed by taking the total weight of stocked fish and dividing by the average weight of the fish stocked 2) Determine the number of fish harvested. This number may be obtained from - direct counts of harvested fish, or - computed by taking the total weight of harvested fish and dividing by average weight of the fish harvested 3) Using the formula in Annex D, compute the Real Percentage Mortality for the enclosure (Note 1). 4) Repeat steps 1-3 for every other enclosure used by the farm. 5) Compute the weighted average RPM for all enclosures over the last 12 months as follows $\text{Weighted Average RPM} = [(\text{RPME1} \times \text{YieldE1}) + (\text{RPME2} \times \text{YieldE2}) \dots + (\text{RPME}_n \times \text{YieldEn})] / (\text{YieldE1} + \text{YieldE2} \dots + \text{YieldEn})$ Where E1, E2, En are the 1st enclosure, the 2nd enclosure and the nth enclosure For first audits, records must cover at least 1 full crop per site (see preamble). Note 1: Only use counts of live fish in these calculations. Do not include counts of dead fish when determining number of harvested fish or number of stocked fish. Note 2: Only use information from complete crops.							
		a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers (see 5.2.1a). Maintain records to show the total number of fish stocked into each enclosure during the last 12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).	A. Review receipts. Confirm that farm records are sufficient to determine number of seed stocked into each enclosure.	C					- There are fingerling purchase receipts for each pond. - Fingerling stocking for each pond had been record on the farm diary. - Check pond B3, B5, B6: compare record on farm diary & fingerling purchase receipt, data were accuracy.
		b. Maintain harvest records for each crop (e.g. selling receipts or processing plant receipts) that are sufficient to show the total number of fish harvested from each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records. Confirm that farm records are sufficient to determine number of fish harvested from each enclosure.	C					Available harvesting receipt for 3 harvested ponds. Checking harvesting record of pond B3, B5, B6 record detail with number of harvested days, harvesting quantity for each day, quantity of each transportation boat per day.

		c. Calculate the weighted average of the Real Percentage Mortality (see above) using the formula given in Annex D of the Pangasius Standard. Provide calculations to the auditor.	C. Review farm's calculations to verify accuracy. Confirm that average real percentage mortality is ≤ 20%.	C				* Preview RPM calculation: - Individual pond RPM and average farm's RPM ok.
6.2 Criteria: Veterinary medicines and chemicals								
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):				
6.2.1	Indicator: Use only veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country. Requirement: Yes Applicability: All	a. Prepare a list of all veterinary medicines, chemicals and biological products used on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review list of medicines, chemicals and biological products.	C				There is a list of medicines, chemicals and biological products for using at farm, and it is conformity compare with list of medicines, chemicals and biological products approved for use in aquaculture in Vietnam (available at farm TT 15/2009, TT25/20012).
		b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies).	C				- Use of any veterinary medicines, chemicals and biological products record on farm diary. Check record of pond B3, B5, B6: record available for full crop. - On-site check: showing compliance.
		c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.	C				Medicine supplier list with detail contact information issued on 2 Feb 2012.
		d. For the list provided in 6.2.1a, show that each item is approved for aquaculture by relevant national authorities.	D. Confirm that listed products used are approved for aquaculture.	C				See 6.2.1.a
		e. Provide a list of the farm's exports (i.e. sales to parties in foreign countries) over the last 12 months.	E. Review list and compare to farm's sales receipts.	C				Review list and compare to farm's sales receipts: showing compliance.
		f. If the farm cannot determine the country of export (6.2.1e), prepare a list of the top five countries importing pangasius from the country where the farm operates (regions operating within the same legislation on this matter, e.g. the EU, are considered as a single country).	F. Review list (as applicable).	C				List of countries export is available with the chemical & medicine substance banned and Regulation 1471 & 2864.
		g. For each country identified in 6.2.1e (or 6.2.1f as applicable), provide a list of veterinary medicines, chemicals and biological products that are banned from imports of pangasius for human consumption.	G. Review list.	C				There are list of export market no. 1471/QD-BNN-QLCL issued 20/06/2012 and 2864/QD-BNN-QLCL issued 14/11/2011 by Vietnam Department of Agriculture & Rural Development.
		h. Show that in the last 12 months, the farm did not use any veterinary medicines, chemicals or biological products that are banned or non-approved in the importing country.	H. Review evidence. Cross-check the farm's export markets (i.e. the importing countries) against the list of products that are banned (see 6.2.1e) in those countries.	C				Cross-check: conformity.
6.2.2	Indicator: Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist [55] based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose [56]. Requirement: Yes Applicability: All	a. Provide records of prescriptions, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medicines and chemicals used on the farm. For first audits, farm records must cover ≥ 6 months.	A. Review records of prescriptions or written advice for veterinary medicines and chemicals.	C				Check record of pond B3, B5, B6 found OK
		b. For each application of veterinary medicines and chemicals for therapeutic use, provide a description of condition and evidence showing endorsement (prescription) from an aquatic animal health specialist. For first audits, farm records must cover ≥ 6 months.	B. Review written descriptions. Confirm use approved by AAH Specialist.	C				For each treatment, prescriptions were approved by AAH Specialist. Check record of pond 3, all records info were compliance.
		c. If application differs from the label specification, obtain written justification from aquatic animal health specialist. For first audits, farm records must cover ≥ 6 months.	C. Review justifications from AAH Specialist as applicable.	C				Prescriptions were Issued & approved by AAH Specialist prior to the application.
		d. Provide copies of the title(s) of the aquatic animal health specialist showing how s/he is suitably qualified for the position.	D. Review evidence. Confirm that AAH Specialist is suitably qualified.	C				AAH specialist Mr Nguyen Tien Dung & Mr. Ho Huu Danh had achieve Bachelor degree & Master degree for "Fish health Doctor". Mr. Danh had Certificate of Achievement for AAH Specialist no. CA001-2012 AHMS, trained by WWF/VASEP/Nong Lam University/ICAFISH, on 23-25, April,2012
Footnote	[55] Aquatic animal health specialist defined following government's regulations, if such regulations exist in the producing country. If the government does not regulate on this, the following people can be considered as specialists:							

Footnote	[56] Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.							
6.2.3	<p>Indicator: Follow the aquatic animal health specialist recommendations on: 1- how to apply the veterinary medicine and chemicals prescribed 2 - how to handle & store the veterinary medicines and chemicals prescribed 3 - who needs to be informed about the disease and how 4 - how to limit the spread of the disease to neighboring wild or farmed populations</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. For veterinary medicines or chemicals applied and for all mortality events notified, provide statements of the specialist indicating his/her recommendation on: - how to apply the veterinary medicine and chemicals prescribed; - how to handle & store the veterinary medicine and chemicals prescribed; - who needs to be informed about the disease; and - how to limit the spread of the disease to neighboring wild or farmed populations. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.</p>	C				Health events issued on 01 March 2014 was check during the Audit: compliance
		<p>b. Provide a declaration that the farm followed the recommendations of the aquatic animal health specialist.</p>	<p>B. Review farm's declaration to confirm following recommendations of the AAH Specialist.</p>	C				There is declaration signed by farm manager, check declaration: complaint
		-	<p>C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.</p>	C				On-site visit, checking storage of Medicines & chemical: the storage was apply following AAH Specialist's recommendations.
		-	<p>D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not being followed.</p>	C				On-site check: showing conformity.
6.2.4	<p>Indicator: Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label</p> <p>Standard: None</p> <p>Applicability: All</p>	<p>a. For chemical/medicinal treatments in the last 12 months, provide daily records of product use and water temperature during withdrawal periods. For first audits, records must cover ≥ 6 months and at least 1 full crop per site (see preamble).</p>	<p>A. Review records from all withdrawals.</p>	C				Records from all withdrawals record on "Medicines use management" and in farm diary, check record of Pond B3, B5, B6: record available Ok.
		<p>b. Provide labels indicating duration of withdrawal periods. If labels do not specify a withdrawal period, provide evidence that withdrawal periods were > 750 degree days.</p>	<p>B. Review labels and completion dates of withdrawal periods.</p>	C				Check record of B3, B5, B6: Compare control of withdraw period time with product label guideline, results were conformity.
		<p>c. Provide evidence (e.g. receipts) to show no fish were harvested before completion of withdrawal period during the last 12 months. For first audits, farm records must cover ≥ 6 months.</p>	<p>C. Evaluate evidence to verify that no fish were harvested before completion of withdrawal period.</p>	C				Check harvesting record of B3, B5, B6, results were conformity.
6.2.5	<p>Indicator: Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization [57].</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review list of antibiotics used.</p>	C				There is a list of all antibiotics used at farms issued 10/02/2014.
		<p>b. Prepare declaration stating that farm did not use any antibiotics critically important for human medicine as categorized by the WHO in the last 12 months.</p>	<p>B. Review declaration. Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine.</p>	C				<p>* There is a copy of WHO list of antibiotics critical to human medicine at farm. * Available of Farm's Declaration signed by AAH specialist & Farm manager on 02 Jan 2014 . * Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine, result showing conformity.</p>
		<p>c. Provide the up-to-date list of the WHO [57]</p>	<p>C. Verify farm holds an up-to-date copy of the WHO list [57]</p>	C				Farm has holds an up-to-date copy of the WHO list
			<p>D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.</p>	C				On-site checking: compliance.
Footnote	[57] Refer to the second WHO Expert meeting on Critically Important Antimicrobials for Human Medicine: Categorization for the Development of Risk Management Strategies to Contain Antimicrobial Resistance due to Non-Human Antimicrobial use, 29–31 May 2007 http://www.who.int/entity/foodborne_disease/resistance/antimicrobials_human.pdf							
	<p>a. Provide declaration stating that farm does not use any unauthorized prophylactic veterinary medicines (prior to evidence of a specific disease problem)</p>	<p>A. Verify farm holds declaration</p>	C					There is a Farm declaration sign by Farm manager & AAH specialist on 10 Feb 2014.

6.2.6	Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem. Standard: None Applicability: All	b. Obtain a declaration from the aquatic animal health specialist indicating that s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months, the period covered by the declaration must be ≥ 6 months.	B. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.	C			Verify farm declaration on 10 Feb 2014: conformity.
		c. Maintain receipts for all purchases of veterinary medicines. For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify farm maintains records of all purchases of veterinary medicines.	C			Medicine purchase receipts were records. Check record: available records from Jan 2014 until now.
		-	D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.	C			On-site check: conformity
		-	E. Reconcile the quantities purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.	C			Check record of medicines used at B3, B5, B6 and compared with purchased quantity & inventory quantity held on-site: conformity
6.2.7	Indicator: Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters [58]. Requirement: None Applicability: All	a. Obtain a declaration from the applicant, endorsed by an aquatic animal health specialist indicating that there has been no use of veterinary medicines (excluding vaccines) as growth promoters by the farm in the last 12 months. For first audits, the period covered by the declaration must be ≥ 6 months.	A. Verify the AAH Specialist supports the declaration that there is no use of veterinary medicine as growth promoters.	C			Verify AAH specialist declaration on 02 Jan 2014: conformity
		-	B. Reconcile the quantities of veterinary medicines purchased against stocks held on-site and records for usage (e.g. 6.2.5a) based on reviewing a sample of medicines.	C			Check record of medicines used at B3, B5, B6 and compared with purchased quantity & inventory quantity held on-site: conformity
Footnote	[58] Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).						
6.3 Criteria: Pangasius health plan							
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):				
6.3.1	Indicator: Presence of a written pangasius health plan reviewed yearly, updated and approved by a specified aquatic animal health specialist [59] (See Annex E for Health Plan). Requirement: Yes Applicability: All	a. Prepare the farm's written pangasius health plan containing all required elements (Annex E).	A. Review health plan for compliance with Annex E.			NC-EV7	Health Plan is available & covering all points in annex E and it had been implemented at the farm. The VHP has not mentioned clearly about how to treat the pathogens for discharged water in the case of disease outbreak, in order to prevent cross-contamination from outlet to inlet water.
		b. Obtain review and written approval of the pangasius health plan by the farm's aquatic animal health specialist.	B. Confirm that the farm's aquatic animal health specialist has reviewed and approved the pangasius health plan.	C			Health Plan is reviewed & signed by AAH specialist Mr Sombat Siripanwaraporn - Technical Region Manager
		c. Review the health plan at least once every 12 months. Update as needed and obtain approval by the farm's aquatic animal health specialist.	C. Confirm that farm has health plan reviewed, updated, and approved every 12 months. For first audits, the response is 'not applicable'.	C			NA
		-	D. During on-site visit, verify that the plan is implemented and effective.	C			Onsite checking, OK
Footnote	[59] Global G.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders.						
6.4 Criteria: Holding-unit specific record-keeping							
Compliance Criteria (Required Client Actions):			Auditor Evaluation (Required CB Actions):				
6.4.1	Indicator: Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities Requirement: Yes Applicability: All	a. Maintain records that identify all the veterinary medicines and chemicals used at the grow-out facility. For first audits, farm records must cover ≥ 6 months.	A. Verify the farm maintains purchase records.	C			See 6.2.6.c
		b. Maintain copies of labels showing withdrawal times at the grow-out facility. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm maintains records showing withdrawal times at the grow-out facility.	C			See 6.2.4.a
		c. Maintain signed declarations by the farm's aquatic animal health specialist stating the date, diagnosis, treatment and withdrawal times (if different from the label) of all veterinary medicines and chemical used at the grow-out facility. For first audits, farm records must cover ≥ 6 months.	C. Verify the farm maintains relevant declarations from the AAHS at the grow-out facility.	C			Check AAH prescriptions: conformity
		d. Obtain a signed declaration from seed suppliers identifying any chemicals or veterinary medicines that were used in production of seed. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Verify the farm obtains declarations from all seed suppliers.	C			There are declarations from seed supplier for chemicals or veterinary medicines that were used in production of seed. Check record of 3 harvested pond seed, available of declaration signed by seed supplier.

6.4.2	<p>Indicator: Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include:</p> <ol style="list-style-type: none"> 1- Description of gross signs and any abnormalities 2- List of veterinary medicines, chemicals and biological products used in earlier life stages 3- Results of pathogen testing as legislated <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. For all stocking events in the last 12 months, obtain a signed letter from the seed supplier reporting:</p> <ul style="list-style-type: none"> - the source, size and quality of seed supplied; - the date supplied; - a description of any external signs of abnormalities at the time of sale; - list of veterinary medicines, chemicals and biological products used in earlier life stages (i.e. used at any time from spawning onwards); and - results of pathogen testing following legislation (as applicable). <p>For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Verify the farm maintains records for seed quality as required.</p>	C				<p>* There are records for seed import to individual pond. * Check record of pond B3, B5, B6: available record of seed import checking for quantity & quality as requirement. * There are declarations from seed supplier for chemicals or veterinary medicines that were used in production of seed.</p>
6.4.3	<p>Indicator: Daily records showing regular monitoring of fish for signs of stress [60] or disease are kept</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain daily records (e.g. diary) of monitoring for stress or disease. Records shall identify:</p> <ul style="list-style-type: none"> - date; - presence of behavioural and external signs of abnormalities (i.e. feeding behaviour, swimming behaviour, lesions, spots, large ecto-parasites, fin erosion, etc); and - number of dead fish. <p>For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review daily records to confirm that all reporting elements are included. Verify compliance.</p>	C				<p>Daily monitoring record on Farm diary. When fish have symptom of disease or increasing of mortality, AAH specialist will made diagnostic & record on AAH prescription.</p>
Footnote	<p>[60] Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion).</p>							
<p>Instructions to Clients for Indicator 6.4.4 - Establishing a Threshold for the Reporting of Mortality Events Indicator 6.4.4 requires that farms report all significant mortality events to the aquatic animal health specialist. The ASC Pangasius Standard does not prescribe a specific threshold value for all farms to apply across all circumstances. Instead, the Pangasius Standard requires farms to confer with their aquatic animal health specialist to develop a threshold for reporting mortality events that is appropriate for identifying significant or "above average" mortality events based on farm data. In establishing a threshold, the farm must consider the following:</p> <ul style="list-style-type: none"> - thresholds must be generated using farm data for mortality and this shall include farm information from at least 1 randomly selected pond; - thresholds must be stage-specific to account for differing mortality rates during the 1st week, the 1st month, and any month after that; 								
6.4.4	<p>Indicator: All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain a daily record of monitoring farm enclosures for mortality (see 6.4.3). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review daily mortality records.</p>	C				<p>Daily mortality records available on farm diary.</p>
		<p>b. Have the farm's aquatic animal health specialist review the farm's daily records for mortality. Ask the AAH Specialist to specify a threshold for the reporting of mortality events based on review of farm mortality rates (see instructions).</p>	<p>B. Verify the farm's AAH Specialist has reviewed daily mortality records before specifying a threshold for the reporting of mortality events.</p>	C				<p>AAH Specialist has reviewed daily mortality records & signed on farm diary.</p>
		<p>c. Describe how the threshold was established in the farm's Pangasius Health Plan (see 6.3.1).</p>	<p>C. Review the proposed mortality threshold in the farm's Pangasius Health Plan to confirm compliance with requirements.</p>	C				<p>Proposed mortality threshold was modify in the "Fish Health Plan Management" and have a surveying carry out to have basis for this threshold set up.</p>
		<p>d. Maintain records to show that the farm reports all mortality events exceeding threshold to the AAH Specialist. For first audits, farm records must cover ≥ 6 months.</p>	<p>D. Review reporting records and cross-check against daily mortality records to confirm compliance with requirements.</p>	C				<p>Review reporting records and cross-check against daily mortality records of ponds B3, B5, B6: result was compliance. The actual threshold is based on database of other farm, threshold should be specific to the intended farm</p>
<p>6.5 Criteria: Fish welfare.</p>								
<p>Compliance Criteria (Required Client Actions):</p>			<p>Auditor Evaluation (Required CB Actions):</p>					
<p>Instructions to Clients for Indicator 6.5.1 - Calculating Average Growth Rate</p>								

	<p>Indicator: Minimum average growth rate</p> <p>Requirement: 3.85 g/day</p> <p>Applicability: All</p>	<p>Annex D of the ASC Pangasius Standard provides formulas for calculating yield and average growth rate (AGR). Farms must perform these calculations using harvest and stocking data from individual ponds (i.e. it is calculated on a crop-by-crop basis). It should be done as follows:</p> <p>Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1)</p> <p>AGR_{P1} = Yield_{P1} / duration of production cycle (Pond1)</p> <p>Where weights are given in grams (g), duration is given in number of days (d), AGR is computed in units of grams per day (g/d), and enclosures are identified by subscripts P1, P2, P3 etc.</p> <p>Repeat the AGR calculations for the second pond, third pond... etc. until an AGR has been determined for each pond that was harvested. For first audits, records must cover at least 1 full crop per site (see preamble). Next calculate the farm-wide weighted average AGR using the following formula:</p> <p>Weighted Average AGR = [(AGR_{P1} x Yield_{P1}) + (AGR_{P2} x Yield_{P2}) ... + (AGR_{Pn} x Yield_{Pn})] / (Yield_{P1} + Yield_{P2} ... + Yield_{Pn})</p> <p>Clarification note: Indicator 6.5.1 was developed under the assumption that: - fish are stocked at 80 grams, - harvested at 1,000 grams and - average production cycle is 8 months.</p> <p>Given that specific growth rates of Pangasius are variable with body size (i.e. size and age dependent), formulas will yield a reduced level of absolute growth if fish are harvested at a substantially smaller size than 1 kg. (e.g. farms that harvest fish at 600-700g average body weight).</p> <p>Auditors are instructed as to evaluate Indicator 6.5.1 as follows. Farms must provide auditors with sufficient information to</p>			
6.5.1		<p>a. Maintain records (e.g. receipts from seed suppliers) showing the weight of fish stocked into each enclosure (e.g. see 6.1.1). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Maintain records showing the weight of fish harvested from each enclosure (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).</p> <p>d. Using results of 6.5.1c, calculate the farm-wide weighted average AGR.</p>	<p>A. Verify farm maintains records of the weight of fish stocked in each enclosure.</p> <p>B. Verify farm maintains records of the weight of fish harvested from each enclosure.</p> <p>C. Review calculations to confirm accuracy and completeness.</p> <p>D. Verify that the farm-wide weighted average AGR complies with requirements.</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p>	<p>Weight of fish stocked were recorded on farm diary for each pond.</p> <p>Weight of harvested fish record on the harvesting receipt.</p> <p>AGR Calculations were available for 3 harvested pond. Check calculations, result Pond B3, B5, B6 ok.</p> <p>Farm Average AGR of farm OK,</p>
6.5.2	<p>Indicator: Maximum fish density at any time</p> <p>Requirement: 38 kg/m² for ponds and pen</p> <p>Applicability: Ponds and Pens</p>	<p>a. Provide a plan of the farm showing surface area (m²) of each enclosure.</p> <p>b. Maintain records of the total weight (kg) of fish harvested from each pond and/or pen (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. For each enclosure, divide the weight of fish harvested (result from 6.5.2b) by the surface area of the enclosure (results from 6.5.2a) to calculate fish density (kg/m²). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>d. In addition to calculating fish density at harvest (6.5.2.c), farms shall record monthly estimates of fish density for each enclosure using estimated biomass (e.g. from farm diaries) and surface area (see 6.5.2a). For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.</p> <p>B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.</p> <p>C. Review calculations for fish density at harvest to verify compliance.</p> <p>D. Review monthly estimates of fish density to verify compliance.</p>	<p>C</p> <p>C</p> <p>C</p> <p>C</p>	<p>Surface area for each Pond was record on farm map & farm diary.</p> <p>Available harvesting receipt for 3 harvested ponds. Checking harvesting record of pond B3, B5, B6 record detail with number of harvested days, harvesting quantity for each day, quantity of each transportation boat per day.</p> <p>There are Maximum fish density calculation for 3 harvested pond. Check all calculations, results were compline.</p> <p>There is calculation for fish density in each pond monthly, checked the calculation of pond B3, B5, B6; show compliance</p>
	<p>Indicator: Maximum fish density at any time</p>	<p>a. Provide a description of the system specifying the total number of cages and volume (m³) of each cage.</p> <p>b. Maintain records of the total weight (kg) of fish harvested from each cage. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.</p> <p>B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.</p>	<p>NA</p> <p>NA</p>	<p>NA, Pond</p> <p>NA, Pond</p>

6.5.3	Requirement: 80 kg/m3 for cages Applicability: Cages	c. For each cage, divide the weight of fish harvested (result from 6.5.3b) by the volume of the cage (results from 6.5.3a) to calculate fish density (kg/m3). For first audits, records must cover at least 1 full crop per site (see preamble).	C. Review calculations for fish density at harvest to verify compliance.				NA	NA, Pond
		d. In addition to calculating fish density at harvest (6.5.3.c), farms shall record monthly estimates of fish density for each cage using estimated biomass (e.g. from farm diaries) and cage volume (see 6.5.3a). For first audits, farm records must cover ≥ 6 months.	D. Review monthly estimates of fish density to verify compliance.				NA	NA, Pond
6.6 Criteria: Predator control								
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):					
6.6.1	Indicator: Use of lethal predator [61] control Requirement: No Applicability: All	a. Prepare a list of all predator control devices and their locations.	A. Review list.	C				Only rat traps are applied at farm, No use of other lethal devices.
		-	B. Inspect sites to verify no use of lethal predator controls.	C				Only rat traps are applied at farm, No use of other lethal devices.
Footnote	[61] Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all types of predators during the production period, but only birds, reptiles and mammals during the period of preparation of the holding units (e.g., ponds, cages and pens). Rats and mice are excluded from consideration as they are unlikely to harm							
Instruction to Clients for Indicator 6.6.2 - Presence of IUCN Red Listed Species:								
6.6.2	Indicator: Mortality of IUCN red listed species. Requirement: 0 (zero) Applicability: All	a. Perform analysis. Record all IUCN red listed species occurring in the area of the farm.	A. Repeat analysis to verify that client obtained an accurate result.	C				There is a Scientific Report done by technical expert from WWF and Can Tho University on Mar-2013 about the "Identification of endangered and IUCN red listed species occur at "Mekong Delta - covering Sa Dec district, Dong Thap Province" with content including: - Identification of endangered species occur at Mekong delta area. - Identification of endangered species occur in the area of "C.P. VIETNAM CORPORATION - BEN TRE BRANCH - SA DEC 1 FARM" - Risk assessment for all farming practice that can be danger to these species. - Apply new farming practice in order to have no negative impact on these endangered species.
		b. If any IUCN red listed species are identified in the area of the farm (including receiving and source waters), write a procedure which describes how the farm will avoid causing mortality.	B. Verify that farm procedures are appropriate and implemented (as applicable).	C				See 6.6.2.a
		-	C. During local community interviews, verify there is no evidence of the farm causing mortality of IUCN red listed species [also see Indicator 2.2.4(E)].	C				Community interview: no evidence of the farm causing mortality of IUCN red listed species
Social requirements in the standards shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1.								
PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO COMMUNITY DEVELOPMENT AND POVERTY ALLEVIATION.								
7.1 Criteria: Labor law								
		Compliance criteria (Required Client Actions):						
	Indicator: Compliance with labor laws in the country where pangasius is produced	a. Obtain all national and local labor regulations applicable to the farm. Regulations should cover at least the following issues: labor contracts, child labor, working time, working/living conditions, minimum wage and benefits/allowance, health and safety, presence of on-farm regulation.		C				- Company had issued CBA (Collective Bargaining Agreement) on 25/May/2014 - Company regulation issued 31Mar2014 with informed letter to local labour Dept. Worker representative is Mr. Nguyen Van Tuoi, born in 1967, of Sa Dec 1 Farm Register for salary table on 11-02-2014, updated for minimum salary for year 2014

7.1.1	<p>Requirement: Yes</p> <p>Applicability: All</p>	b. Ensure that the farm and all employees on the farm comply to the labor regulations.	C				All of 22 employees have labour contract on hand and full recieved benefit about health insurance card/ photocopy ID paper card. In this year no any case dismissal employees who are working at farm. Interview workers are good comments.
7.2 Criteria: Child labor [62] and young workers [63]							
Compliance criteria (Required Client Actions):							
Footnote	[62] Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO Convention 138, the lower age will apply. Child labor does not include children helping their parents on their own farm, provided that working does not jeopardize their schooling or health.						
Footnote	[63] Young worker: Any worker between the age of child as defined and under the age of 18.						
7.2.1	<p>Indicator: Minimum age of workers</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain a list of all employees employed in the farm indicating date of birth	C				Maintain a list of all 22 employees employed in the farm indicating date of birth ok.
		b. Maintain copies of the official ID of all the employees listed showing date of birth	C				All employees have official ID card meet with the list and labour contract.
		c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]	C				Hiring procedure and hiring posted are clear this issue.
		d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.	C				Showed on the hiring poster and company policy
7.2.2	<p>Indicator: For workers under 18 years olds</p> <p>1 - Work does not jeopardize schooling</p> <p>2 - Work, when added to the hours of schooling, does not exceed 10 hour/day</p> <p>3 - Work is restricted to light work [64]</p> <p>4 - Work is restricted to non-hazardous work [65]</p> <p>Requirement: Yes</p> <p>Applicability: Farms with employees younger than 18 years old</p>	a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job descriptions are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous	C				The farm have no any employees under 18 years old. The youngest employee is Mr. Bui Bao Toan was born in 1996, entered the farm on 19-05-2014, 18 years old
		b. Maintain records of schooling commitments of each employee younger than 18 years old	C				The farm have no any employees under 18 years old
		c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover ≥ 6 months.	C				The farm have no any employees under 18 years old
		d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm	C				Interview workers who are working at the farm and no found any signal young or child labour.
Footnote	[64] Light Work: (ILO convention 138, article 7.1) Light work is work that is 1) not likely to be harmful to a child's health or development and 2) not likely to prejudice their attendance at school, participation in vocational orientation or training programs, or diminish their capacity to benefit from instruction received.						
Footnote	[65] Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers.						
7.3 Criteria: Forced and compulsory labor [66]							
Compliance criteria (Required Client Actions):							
Footnote	[66] Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents).						

7.3.1	<p>Indicator: Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable [67] notice given to their employer [68]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment	C			Company had signed the labour contract for all employees	
		b. Ensure that workers' rights as indicated in this Requirement are duly respected.	C			All workers's rights was shown on the labour contract and company regulation	
		c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers	C			Interview workers feedback have received labour contract after signed labour contract with HR Dept. No hold ID paper of other paper of employees	
		d. Ensure that the farm does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for the employer	C			Checked payments and interview workers they satisfied all benefit of company. No any violation of hold money of employees.	
		e. Ensure that no employee is obligated to work at the farm to repay debt	C			Interview worker no any signal violation.	
Footnote	[67] As stated in the contract.						
Footnote	[68] Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees.						
7.4 Criteria: Health and safety							
Compliance criteria (Required Client Actions):							
7.4.1	<p>Indicator: The employer provides a non-hazardous working and living environment</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain a list of all the health and safety hazards in the working and living environment of employees	C			Have list of risk assessment issued on 02-10-2014 and safety instruction procedur. In this year, there is one accident in the farm	
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed	C			The farm have emergency procedure for (Water control, Health & safety employees, Preventive polluted products, Chemical control, animal control, waste control & Hygiene farm, hazard animal control ..ect)	
		c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards			NC-SC1		The farm has conducted training of all SOP on 14-03-2014, However the responsibility trainer had not relevant certificate of SOP. Mr. Ho Huu Danh - Farm Manager had no certificate of health and safety training.
		d. Ensure that employees have constant access to potable/safe drinking water	C			- There is one kitchen on the farm. - Drinking water is supplied by Fulowa subcontractor with provide full quality certificate of drinking water on CNTC 23/2013/DT. Contract of purchasing water with Huynh Tan Mun Supplier on 01-09-2014 Farm have health examination for sll staff and workers on 26-09-2014, result OK.	

		e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.	C			Have 10 dustbins for human waste and farm had contracted with CN&BVM-TSADEC subcontractor for human waste treatment and collection. There is contract with hazardous waste collection and treatment contractor no. 15/2014/HDKT-TNN on 11-03-2014
		f. Ensure that the employees' housing is constructed of materials able to withstand local conditions			NC-SC2	The farm 10 workers' rooms for worker, however, by visual observation found that rooms can not meet basic condition for living. Farm has been building 2 new dormitory for workers, but the construction has not been finished yet.
7.4.2	Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them Requirement: Yes Applicability: All, Farm-Wide	a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b	C			Interview worker are good aware and full provided free PPE Have list of distributed PPE and farm managers will periodic checked PPE status using
Footnote	[69] Hazard: The inherent potential to cause injury or damage to people's health—for instance unequipped to handle heavy machinery safely/unprotected exposure to harmful chemicals.					
7.4.3	Indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action for each Requirement: Yes Applicability: All	a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.	C			For year 2014, there was 01 accident of falling by uncarefull. Farm has recorded the case of accident, and root cause analysis and preventive method
		b. Ensure that corrective actions are in place as relevant	C			The farm have the corrective and preventive action procedure to maintain system. (CP-GM-10 ver 03 issued on 02/Jan/2014)
Footnote	[70] Accidents that could not be handled in-house, the person was taken to the closest clinic					
7.4.4	Indicator: Employer ensures that all permanent workers have health insurance [71] Requirement: Yes Applicability: All	a. Maintain a list of all permanent workers	C			All permanent workers and new workers are received the health & social insurance.
		b. Provide evidence showing health insurance coverage for all permanent workers	C			1. Company had provided original labour contract to workers 2. Company showed the health insurance card of all workers on the farm.
Footnote	[71] Health insurance is required for workers who are employed for >3months/year. If not covered under national law employers must provide insurance to cover 100% of any job-related accident/injury for permanent workers. The cost associated with permanent disabilities generated from a job related accident is, however, not included.					
7.5 Criteria: Freedom of association and collective bargaining [72]						
Compliance criteria (Required Client Actions):						
Footnote	[72] Collective bargaining: Voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.					
7.5.1	Indicator: Workers [73] have the right to form or join organizations to defend their rights (including their right to collective bargaining), without interference from the employer and without suffering negative consequences as a result of exercising this right [74]	a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.	C			The farm have CBA and Mr. Nguyen Quoc Khang is union chairman of company. Mr. Nguyen Van Tuoi is union leader at farm Labour contract was maintained at the farm.
		b. Ensure that workers have the freedom to form and join any trade union, are free of any form of interference from employers or competing organizations set up or backed by the employer. ILO specifically prohibits "acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control or employers or employers' organizations.	C			Interview worker good aware human rights and freedom.

	Requirement: Yes	c. Ensure that trade unions and/or civil society organizations involved in Labor rights, are able to access/inform all workers directly (posters, pamphlets, visits).	C			CBA was approved by local labor Dept. and Trade union meeting monthly.
	Applicability: All	d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.	C			Put the name of union chairman and his phone number at the complaint box
		e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.	C			CBA was approved by local labor Dept. and Trade union meeting monthly.
Footnote	[73] Worker: A person who enters an agreement of any duration with an enterprise to work for the enterprise in return for remuneration in cash or in kind. Immediate family members of the farm owner (i.e., children, spouse, parents, brothers and sisters) and exchange labor may not be considered as workers, unless they express their desire to be workers.					
Footnote	[74] Workers must not be prohibited from accessing such organizations when they exist. If they do not exist or are illegal, companies must make it clear that they are willing to engage in a collective dialogue through a representative structure freely elected by the workers.					
7.6 Criteria: Discrimination						
Compliance criteria (Required Client Actions):						
7.6.1	Indicator: Workers do not suffer any discrimination [75] from the employer or other workers	a. Provide and ensure the implementation of an anti-discrimination policy, stating that the company does not engage/support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.	C			Issued anti-discrimination policy and posted this policy in farm Interview workers, they said that aware about this policy.
	Requirement: Yes	b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.	C			All salary records are full maintained at farm. No found any signal violation.
	Applicability: All	c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.	C			At now, No found any pregnant woman on the farm. Have the policy for pregnant woman / Young workers/ older workers
Footnote	[75] Including but not limited to: race, caste, origin, color, gender, age, disability, religion, sexual orientation, resident or migrant, union and political affiliations.					
7.7 Criteria: Fair and progressive practices toward workers(including disciplinary practices)						
Compliance criteria (Required Client Actions):						
7.7.1	Indicator: Employers treat all workers with dignity and respect	a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).	C			Interview workers that no found any signal violation
	Requirement: Yes	b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)	C			Interview workers and no found any signal violation
	Applicability: All					
7.8 Criteria: Working hours						
Compliance criteria (Required Client Actions):						
7.8.1	Indicator: Maximum number of regular working hours	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.	C			Checked timesheet from Jan to 09/2014. It was clear about annual leave and day off per month. Have the book to control and monitoring the annual leave of workers. (Annual leave form/ Monitoring book)
	Requirement: 8h/day or 48h/week (although these do not have to be consecutive hours)	b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week	C			They have clear working plan for each farm team
	Applicability: All					
7.8.2	Indicator: Workers have the right to leave the farm after completing the standard work-day	a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).	C			Checking in interview workers so no found any signal violation.


	Requirement: Yes Applicability: All, Farm-Wide	b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave	C				Labour contract was clear shown and defined.
7.8.3	Indicator: Minimum time off Requirement: Two nights/week off if residing on the farm and a total of four days/month off for all workers Applicability: All, Farm-Wide	a. Ensure that all workers residing at the farm have the right to 2 nights off/week	C				Checking in interview workers so no found any signal violation.
		b. Ensure that all workers have at least 4 days/month off	C				On the timesheets, clear the 4 days off for each workers. (From Jan to Sep/2014) Interview workers are no comments.
		c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.	C				The time sheet of eight month are available.
7.8.4	Indicator: Overtime hours 1- Are voluntary 2- do not exceed a maximum of 12 hours per week 3- occur on an exceptional (not regular) basis 4- are paid at a premium rate [76], (i.e. an additional 20% is paid to the normal salary) Requirement: Yes Applicability: All, Farm-Wide	a. Ensure that for all employees, overtime hours: - are voluntary - do not exceed a maximum of 12h/week - occur on an exceptional basis - are paid at a premium rate (following the local/national regulation and at least 20% more than normal salary)			NC-SC3		There was no evidence that farm has tripple payment for workers who worked on national holiday such as (30/04/2014, 01/05 and 02/09).
		b. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover ≥ 6 months.	C				The time sheet of 08 months 2014 are available.
		c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights	C				Labour contract was clear shown and defined.
		d. Maintain records of payments for overtime hours	C				Payment records was full maintained from Jan to Aug 2014
Footnote	[76] Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/ regulations and / or industry standards. Must be 120% of normal rate or higher.						
7.9 Criteria: Fair and decent wages							
Compliance criteria (Required Client Actions):							
7.9.1	Indicator: The employer pays at least minimum wages as defined by law, or ensures that wages cover basic needs [77], plus some discretionary income [78], whichever is higher Requirement: Yes Applicability: All, Farm-Wide	a. Obtain legal documents showing minimum wages for the location where the farm operates.	C				Area Minimun Salary was defined 1T650 (Local Labour Dept Infoming Decree No. 103/2012/NDCP)
		b. If minimum wage has not been established by law, calculate basic needs wages, in consultation with workers and their representative organizations, and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times.	C				The minimun salary was not covered the BNW. However the company had caculated BNW is 1.991.000 VND for this area that is meet withBNW of BV caculation.
		c. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees	C				Labour contract was clear shown and defined. (2T570 monthly salary)
		d. Maintain receipts of salary payments. For first audit, receipts must cover ≥ 6 months.	C				The payment records was full maintained from Jan to Aug 2014. Interview worker, they feedback that all payments is on time and by cash hay ATM office's staffs
Footnote	[77] Basic needs are determined by calculating the cost of the basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, and the average size of a household in a given country. Recognized representative shopping basket surveys include those undertaken by national authorities and multi-lateral developmental agencies. A basic or living wage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax payments, health care and an additional 10% discretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs wage (without financial deductions) or national legal minimum wage; whichever is higher. The basic needs wage/living wage refers to "take home payment". Any obligatory expenses at the side of the employee/worker (e.g., uniform, tools and lunches) will not bring "take home" pay below a basic needs standard.						


Footnote	[78] For guidance and methods for basic needs wage calculation, see SA8000 Guidance Document.						
7.9.2	Indicator: Workers have the right to know the mechanism for setting the wages and benefits Requirement: Yes Applicability: All	a. Provide a declaration stating the mechanism used for setting wages	C				The company new salary scheme was registered in 02/2014.
		b. Ensure that employees are aware of the mechanism used for setting wages	C				Interview workers, all of workers are aware of the way to overtime calculation and the company regulation, Collective Bargaining Agreement.
7.9.3	Indicator: Wages shall be paid in cash or in a manner most convenient to workers Requirement: Yes Applicability: All	a. Maintain records of the preferred method of payment for each employee	C				The payment records was full maintained from Jan to Aug 2014.
		b. Maintain records of payments indicating the method of payment	C				The payment records was full maintained from Jan to Aug 2014. Interview worker, they feedback that all payments is on time and by cash or ATM
7.10 Criteria: Labor contracts							
Compliance criteria (Required Client Actions):							
7.10.1	Indicator: Workers have copies of, and can understand, their labor contract [79] Requirement: Yes Applicability: All	a. Ensure that employees have copies of their labor contracts					Interview workers, all feedback have received labour contract after signed labour contract with HR Dept.
		b. Ensure that employees understand their labor contracts	C				Interview workers are aware about that.
Footnote	[79] Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must take place to establish that the employer and the employee understand in the same way the terms of the verbal agreement.						
7.10.2	Indicator: Maximum length of probation period stated in the contract for workers, other than farm managers and workers with an university degree Requirement: 1 month Applicability: All	a. Maintain copies of contracts of employees (other than farm managers and workers with a university degree) and ensure that the probation time is clearly stated and does not exceed 1 month	C				All Labour contract are compliance with labour law and maintained one hardcopy labour contract at farm
		b. Ensure that probation times are understood by employees and respected			NC-SC4		Company has regulation about maximum probation period that does not exceed 30 days following the law, However there were 2 cases of new workers coming in 08/2014 with contracts of probation for 50 days.
7.10.3	Indicator: Maximum length of probation period stated in the contract for farm managers and workers with an university degree Requirement: 2 months Applicability: All	a. Maintain copies of contracts of farm managers and workers with a university degree) and ensure that the probation time is clearly stated and does not exceed 2 months	C				All Labour contract are compliance with labour law and maintained one hardcopy labour contract at farm. Interview workers are understand about contents of their labour contract
		b. Ensure that probation times are understood by employees and respected	C				Same above contents
7.11 Criteria: Management system							
Compliance criteria (Required Client Actions):							
7.11.1	Indicator: The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions Requirement: Yes	a. Maintain complaint boxes for employees throughout the farm.	C				Have one complaint box in farm. And maintained records to checking this Box monthly to meet with "Giai Quyet Khieu Nai"

	Applicability: All	b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management	C				Interview workers, all of them aware the complaint procedure
7.11.2	Indicator: Percentage of issues raised by workers which are registered, tracked and responded to by the employer Requirement: 100% Applicability: All	a. Maintain a register recording issues raised by workers (including complaint forms), date and response taken. For first audit, register must contain all records of the previous ≥ 6 months. b. Ensure that employees have access to the register at reasonable times	C				They have the book to record any issue of complaint box. The farm meeting was conducted monthly with full workers attendance. (The contents of meeting related to health & safety, management farm and workers' problem) Interview workers are aware about that.
7.11.3	Indicator: Percentage of complaints that are resolved [80] within one month after being received [81] Requirement: 90% Applicability: All	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives. b. Record the issues being resolved in the register as for 7.11.2a c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month	C				The from Jan upto now, there is no complaint via Box. All of workers are joined monthly meeting and discussion about their problem in working. All of this will be resolved in output meeting. Upto now, No complaint via box Upto now, No complaint via box
Footnote	[80] Resolution of a conflict is defined as when both parties agree to remove it from the list of conflicts.						
Footnote	[81] Complaints include the ones coming from other resource users, employees and buyers (e.g., middlemen or processors).						
7.11.4	Indicator: A plan for addressing the yet to be resolved conflicts is developed and complied with Requirement: Yes Applicability: All	a. Maintain a register recording issues raised by workers (as for 7.11.2a) and including the plan for addressing yet to be resolved conflicts b. Ensure that the plan is adhered to	C				Upto now, No complaint via box Upto now, No complaint via box
7.11.5	Indicator: Timeframe for the contracting [82] of suppliers and service providers that ensure suitable health and safety conditions for their workers [83] Requirement: Within 1 year from achieving certification Applicability: All	a. For first audit, prepare a declaration of commitment to contract only suppliers and service providers that ensure suitable health and safety condition within 1 year. b. For subsequent audits, ensure that all health and safety conditions as indicated in these Requirements (i.e. within Criteria 7.1, 7.2 and 7.4) are respected by all the employees of suppliers and service providers who are working in the farm	C				They was signed commitment and Health & safety instruction with subcontractor. Have contract to control safety of Subcontractor same above content.
Footnote	[82] Including either written or verbal contracts.						
Footnote	[83] As defined in these Requirements.						
7.12 Criteria: Record-keeping							
Compliance criteria (Required Client Actions):							
7.12.1	Indicator: Records of the hours worked by every worker employed in the farm are available Requirement: Yes Applicability: All, Farm-Wide	a. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months. b. Maintain a list of all employees employed in the farm	C				All of records was keep comply with standard requirements. Full maintained records and including the list of new workers In this year, there is no any dismissal workers or resigned workers
7.13 Criteria: Participatory social impact assessment for local communities.							
Compliance criteria (Required Client Actions):							
7.13.1	Indicator: A participatory Social Impact Assessment (p-SIA) [84] is conducted (See Annex F for more information)	a. Provide a p-SIA inclusive of all items reported in Annex F. For large scale farms (e.g. vertically integrated operations) the p-SIA must be commissioned to professional experts. A new p-SIA should be conducted at least every 3-years.	C				It was approved by local government and residents. This report to make by Kimdelta in 02-2014


7.13.1	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. For large scale farms, provide evidence of the experience of the professional experts commissioned. Evidence must indicate a track record of at least 3 years conducting participatory consultations with rural communities</p>	C				p-SIA contents are clear this point.
Footnote	<p>[84] p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project (e.g., a farm or farm development) undertaken in such a manner that all stakeholder groups have input in process, results and outcome of such an assessment, and that steps taken and information gathered is openly accessible to all.</p>						
7.13.2	<p>Indicator: Local communities [85], local government and at least one civil society organization chosen by community have a copy of the p-SIA in locally appropriate language</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records of all the people having received copy of the p-SIA</p> <p>b. Obtain signatures from at least 50% of the people having received the p-SIA. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).</p>	C				p-SIA contents are clear this point.
Footnote	<p>[85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and are joined by collective engagements within a geographically confined area. Four common indicators are 1.) a state of organized society in small form (town, village, hamlet) that recognizes a single representative (leader, formal or informal); 2.) the people inside a confined geographical area; small enough to allow face-to-face interaction as the main form of contact between the individuals within the group; 3.) having a common good or a common interest and recognizing that, and been recognized as having that; and 4.) A sense of common identity and characteristics (i.e., "we" versus "them" feeling) on either/or social, cultural, economic, ethnic grounds.</p>						
7.14 Criteria: Complaints by local communities							
Compliance criteria (Required Client Actions):							
7.14.1	<p>Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Prepare and ensure the application of a conflict resolution policy for local communities</p> <p>b. Maintain records of all the people having received copy of the policy</p> <p>c. Obtain signatures from at least 50% of the people having received copies of the policy. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a</p> <p>d. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least one meeting (this could be part of the p-SIA process if the p-SIA was conducted less than 6 months before the audit)</p>	C				appendix of p-SIA
Footnote	<p>[86] The policy shall state how conflicts and complaints will be tracked transparently and explain how to respond to all received complaints.</p>						
Footnote	<p>[87] The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local government and at least one civil society or customary organization chosen by the community shall have access to the conflict resolution process and the documentation thereof. A conflict is deemed resolved if both parties in the negotiation process have agreed to take it off the agenda.</p>						
7.14.2	<p>Indicator: Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain complaint boxes in public locations reachable by the local community.</p> <p>b. Retain complaint forms submitted by local communities. For first audits, records must include at least previous ≥ 6 months.</p> <p>c. Provide evidence that complaints have been acknowledged to the local community (e.g. through a statement from the local community stating having received acknowledgement or acknowledgement receipts)</p> <p>d. Maintain a register of the complaints received. Register should include date, complaint and action taken. For first audits, register must contain records from at least previous ≥ 6 months.</p>	C				There is a public complaint Box putted in the residence area. Interview the residents of local communities, no any complaints
			C				No found any signal violation, No any complaint of residence
			C				Interview residences are good comments
			C				Upto now, No complaint via box and company have one book to monitor local complaint box
7.14.3	<p>Indicator: Percentage of conflicts resolved within the date of being filed</p> <p>Requirement: Within 6 months 50% Within 1 year 75% Within 2 years 100%</p> <p>Applicability: All</p>	<p>a. Maintain a register of complaints as per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date</p> <p>b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved</p>	C				Refer to "Giai Quyét Khieu Nai" procedure 02-01-2014
			C				Appendix of p-SIA and upto now no any complaint from residence.
7.15 Criteria: Preferential employment for local communities							


		Compliance criteria (Required Client Actions):				
7.15.1	Indicator: Evidence of advertising positions within local communities before migrant workers are hired Requirement: Yes Applicability: All	a. Maintain a list of all employees employed in the farm indicating also place of origin	C			farm have 01/22 workers who are residence.
		b. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present copies of the dated advertisements posted around the farm to advertise. For first audit copies must cover more than previous ≥ 6 months	C			Interview residences are good comments about the hiring in local.
		c. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) present a list containing the name, address and contact number of all the people consulted to advertise the position in the local community. For first audit records must cover more than previous ≥ 6 months	C			Have the hiring poster in local area.
7.15.2	Indicator: An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities Requirement: Yes, if workers outside the local community are employed	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 17.15.1a	C			List of workers are available
		b. For farms where employees are coming from a location other than the location of the farm (based on 7.15.1a) provide a written explanation for employing workers outside the local community.	C			Most of employees had worked a long time at farm and some new employees are residence.


		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 01 Điểm không phù hợp số 01	
File Number: Hồ sơ số:	CLAUSE: 1.1.1 Điều khoản: 1.1.1	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
Farm has lacked of Certification of Hygiene Condition following the requirement in the Circular no 41/2010/BNN-PTNT <i>Trang trại chưa sẵn có Giấy chứng nhận điều kiện vệ sinh thú y dịch tễ theo quy định của Thông tư số 41/2010/TT-BNNPTNT</i>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
Farm has submitted to veterinary department to certify hygiene condition, however, at the time submitted, the government issue circular 36/2013/ND-CP on Pangasius management, so the register temporary hold <i>Trang trại có yêu cầu cơ quan thú y địa phương cấp chứng nhận, tuy nhiên tại thời điểm yêu cầu, chính phủ ban hành nghị định 36/2013/ND-CP có liên quan, do đó việc thực hiện thông tư 41 tạm thời bị gián đoạn.</i>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Contact again with veterinary department for register to certify hygiene condition for the farm as Decree 36/2013/ND-CP had implemented and circular 23/2014/TT-BNNPTNT also be implemented since Sep-14 <i>Liên hệ lại chi cục thú y Cao Lãnh cấp chứng nhận điều kiện vệ sinh cho farm do nghị định 36 đã được áp dụng, và thông tư 23 hướng dẫn thi hành nghị định cũng đã được áp dụng từ tháng 9/2014.</i>			
- Preventive action / hành động ngăn ngừa: N/A / Không áp dụng			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the Inspection Minute conducted by the Cao Lanh Veterinary Office checking the farm hygiene conditions following the circular no. 41/2010/BNN-PTNT, show compliance <i>Kiểm tra Biên Bản đánh giá điều kiện vệ sinh trang trại thực hiện bởi Phòng Thú Y Huyện Cao Lãnh theo Thông tư số 41/2010/TT-BNNPTNT, cho thấy phù hợp</i>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 24-Oct-2014 NGÀY: 24/10/2014
CLOSED / ĐÓNG		YES / CÓ	


		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 02 Điểm không phù hợp số 02	
File Number: Hồ sơ số:	CLAUSE: 1.1.3 Điều khoản: 1.1.3	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
Following the Circular no. 45/2010/TT-BNNPTNT, farm had the testing result for for 5 parameters: Phosphate, H2S, BOD5, TTS, CO2, done by a fully independent ISO 17025 accredited laboratory "Intertek Lab" with VILAS 278. However, the other parameters: NH3, DO, pH, Leakage oil, Flavour have not tested by ISO17025 Theo Thông tư số 45/2010/TT-BNNPTNT, trại có kết quả kiểm tra cho 5 chỉ tiêu: Phosphate, H2S, BOD5, TTS, CO2 thực hiện bởi phòng thí nghiệm được chứng nhận ISO17025 "Intertek" với VILAS278. Tuy nhiên, các chỉ tiêu khác: NH3, DO, pH, Dầu khoáng, Mùi chưa được kiểm tra bởi phòng thí nghiệm ISO17025			
Deadline for clearance: Hạn cuối khắc phục:	30-sept-15		
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA		
Root Cause Analysis / Phân tích nguyên nhân			
In ASC standard, there is not criteria that water have to test by accredited laboratory to show compliance with national regulation, only regulated in the audit checklist, the internal auditor have not fully assess this criteria Trong tiêu chuẩn ASC không đưa ra quy định mẫu nước phải được kiểm tra bởi phòng thí nghiệm đạt ISO 17025, chỉ quy định trong audit manual, trong quá trình đánh giá nội bộ, cán bộ đánh giá nội bộ soát xét thiếu tiêu chí này			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Revise the water testing plan, send sample to Intertek Lab to check all parameter follow circular 45/2010/TT-BNNPTNT every 6 months Sửa đổi kế hoạch phân tích nước, gửi mẫu nước phân tích tại phòng lab Intertek cho tất cả chỉ tiêu quy định trong thông tư 45/2010/TT-BNNPTNT - Preventive action / hành động ngăn ngừa: Tim lớp đào tạo lại nhân viên đánh giá nội bộ về các tiêu chí phù hợp theo tiêu chuẩn ASC Find the training course for re-training the internal audit staffs on compliance criteria for ASC standard			
CLEARANCE REPORT (to be completed by BVCertification) / KẾ THỨC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CO	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the testing plan, the additional testing result following Circular 45/2010/TT-BNNPTNT, and meeting minute of QA department and farm's staff, show compliance Kiểm tra kế hoạch lấy mẫu, kết quả kiểm tra bổ sung theo thông tư 45/2010/TT-BNNPTNT, và biên bản họp của phòng QA với nhân viên trại, cho thấy phù hợp			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:	SIGNED: KÝ TÊN:	DATE: 20/10/2014 NGÀY:	


CLOSED / ĐÓNG	YES / CÓ	
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		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 03 Điểm không phù hợp số 03	
File Number: Hồ sơ số:	CLAUSE: 2.4.1 Điều khoản: 2.4.1	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
By visual observation, the outlet canal of pond B9 had been damaged, could not ensure discharging water for this pond is conducted appropriately <i>Quan sát trang trại, kênh thoát của ao B9 bị hư hỏng, không đảm bảo việc xả nước của ao này được thực hiện thích hợp.</i>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
The drainage for pond 09 was damaged after big raining on the night of 27/09/2014. Farm manager contacted to the construction department for repairing the damaged drainage and also check the others <i>Cống thoát nước của ao 09 bị hư do mưa lớn đêm 27/09/2014. Quản lý trang trại đã liên hệ bộ phận xây dựng để sửa chữa cống ao này và gia cố các cống ao khác</i>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Repair the drainage for pond 09, finished by 02/10/2014 <i>Sửa chữa cống thoát ao 09, hoàn thành ngày 02/10/2014</i> - Preventive action / hành động ngăn ngừa: Plan to check and reinforce the drainage and bunds system on June-July to avoid damage for this system on raining season <i>Lên kế hoạch kiểm tra và gia cố tất cả hệ thống cống và bờ bao vào khoảng tháng 6-7 (trước khi có mưa lớn) để tránh tình trạng cống, bờ ao bị hư hỏng trong mùa mưa</i>			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the photos of the outlet canal of pond 09 after repairing, and the plan of checking and maintaining farm's canal, show compliance <i>Kiểm tra hình ảnh của cống ao 09 sau khi sửa xong, và kế hoạch kiểm tra và bảo trì cống của trại, cho thấy phù hợp</i>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 20/10/2014 NGÀY:
CLOSED / ĐÓNG		YES / CÓ	


		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 04 Điểm không phù hợp số 04	
File Number: Hồ sơ số:	CLAUSE: 3.1.3, 3.1.4 Điều khoản: 3.1.3, 3.1.4	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
Intake water records only has information of date, there was no details of timing. Could not ensure that the time for taking pond water sample is corrected to the standard's instruction. <i>Hồ sơ về cấp nước chỉ có thông tin về ngày, không có chi tiết về thời gian. Không đảm bảo rằng thời gian lấy mẫu nước ao là đúng với hướng dẫn của tiêu chuẩn.</i>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
Farm have water intake plan based on the tide prediction from hydrometeorology of My Thuan area, we can refer to this one for compliance with criteria 3.1.3 in ASC standard <i>Trang trại có kế hoạch thay nước dựa vào báo cáo thủy triều của trạm thủy văn Mỹ Thuận, dựa vào kế hoạch này có thể tham chiếu để chứng minh sự phù hợp với tiêu chí 3.1.3 trong tiêu chuẩn ASC</i>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Add time of intake to water intake record <i>Bổ sung thời gian lấy nước vào hồ sơ cấp nước của trang trại</i> - Preventive action / hành động ngăn ngừa: QA Dept. conduct meeting with farm's technician about recoding water abstracting time in the form. <i>Phòng QA họp với kỹ thuật viên của trại về việc ghi chép thời gian cấp nước vào hồ sơ</i>			
CLEARANCE REPORT (to be completed by BVCertification) / KẾ THỨC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the new form of water abstract monitoring with information of timing, and the meeting minute of QA with farm technician, show compliance <i>Kiểm tra biểu mẫu theo dõi nước cấp với thông tin về thời gian, và biên bản họp của QA với kỹ thuật viên của trại, cho thấy phù hợp</i>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 20/10/2014 NGÀY:
CLOSED / ĐÓNG		YES / CÓ	


		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 05 Điểm không phù hợp số 05	
File Number: Hồ sơ số:	CLAUSE: 3.3.1, 3.3.2 Điều khoản: 3.3.1, 3.3.2	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
For the outlet water sample for TP,TN change calculation, there was only one sample collected in stead of two samples as standard instruction. Đối với mẫu nước thải để tính toán TP, TN thay đổi, chỉ có một mẫu được lấy thay vì là 2 mẫu như yêu cầu của tiêu chuẩn			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
Staffs whose incharge calculation criteria for compliance with ASC do not fully assess the standard requirements Do nhân viên phụ trách tính toán tiêu chí phù hợp ASC không xem xét kỹ yêu cầu tiêu chuẩn			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Revise the water testing plan, sample for TP, TN change calculation will be taken 2 times as introduction in Audit manual of ASC Sửa đổi kế hoạch phân tích nước, mẫu nước cho tính toán thay đổi TP, TN được lấy 2 lần như trong hướng dẫn đánh giá của tiêu chuẩn ASC			
- Preventive action / hành động ngăn ngừa: Tổ chức đào tạo lại nhân viên đánh giá nội bộ về các tiêu chí phù hợp theo tiêu chuẩn ASC Conduct the training course for re-training the internal audit staffs on compliance criteria for ASC standard			
CLEARANCE REPORT (to be completed by BVCertification) / KẾ THỨC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CO	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the testing plan with requirement of taking 2 samples for outlet water, and ther meeting minute of QA department and farm's staff, show compliance Kiểm tra kế hoạch lấy mẫu phân tích có gồm yêu cầu lấy 2 mẫu để kiểm nước thải, và biên bản họp của phòng QA với nhân viên trại, cho thấy phù hợp			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	
CLOSED / ĐÓNG		YES / CO	
		DATE: 20/10/2014 NGÀY:	


		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 06 Điểm không phù hợp số 06	
File Number: Hồ sơ số:	CLAUSE: 3.5.1 Điều khoản: 3.5.1	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
<p>The Solid wastes management plan CP-GAP-08 had not mentioned clearly about how to treat organic waste and non-organic waste. There was no evidence of that farm has contracted to waste disposal service to dispose farm's rubbish.</p> <p><i>Quy trình xử lý chất thải rắn số CP-GAP-08 chưa đề cập rõ ràng về việc xử lý rác thải hữu cơ và vô cơ như thế nào. Chưa có bằng chứng cho thấy trang trại có hợp đồng với đơn vị dịch vụ xử lý rác thải cho trang trại</i></p>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
<p>The waste management procedure have stated: waste of normal activities have been segregate in to 2 kinds: self-degradable and non-degradable. The first one to be bury or burn (grass, extra food,...). The second one to be keep for further solution (farm designed place to keep in-organic waste also)</p> <p><i>Thủ tục quản lý rác thải quy định: rác thải sinh hoạt chia thành 2 loại: loại có thể phân hủy và loại không phân hủy. Đối với loại có thể phân hủy (cỏ, thức ăn thừa,...) công ty bố trí hố chôn hoặc nơi đốt. Loại thứ 2 đang được thu gom chờ xử lý (có nơi chứa rác vô cơ riêng trong trang trại)</i></p>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Contact to center of resource and environment of Cao Lanh district to have the contract of in-organic waste treatment, send waste to there place for treatment <i>Liên hệ trung tâm môi trường huyện Cao Lãnh ký hợp đồng xử lý rác thải vô cơ, định kỳ chuyển rác đến trung tâm để xử lý</i>			
- Preventive action / hành động ngăn ngừa: Not apply / không áp dụng			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the new updated waste management procedure of the farm, and contract signed by the Environment Center of Cao Lanh about waste collecting and disposal, show compliance <i>Kiểm tra bản cập nhật của thủ tục quản lý chất thải của trại, và hợp đồng được ký bởi Trung Tâm Môi Trường Huyện Cao Lãnh về việc thu gom và xử lý rác thải, cho thấy phù hợp</i>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 24-Oct-2014 NGÀY: 24/10/2014
CLOSED / ĐÓNG		YES / CÓ	

		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 07 Điểm không phù hợp số 07	
File Number: Hồ sơ số:	CLAUSE: 6.3.1 Điều khoản: 6.3.1	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
The VHP has not mentioned clearly about how to treat the pathogens for discharged water in the case of disease outbreak, in order to prevent cross-contamination from outlet to inlet water. <i>Kế hoạch chăm sóc sức khỏe chưa đề cập rõ ràng về làm như thế nào để xử lý các mầm bệnh của nước thải trong trường hợp có dịch bệnh bùng phát, nhằm ngăn ngừa việc nhiễm chéo từ nước thải vào nước cấp.</i>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
In biosecurity management procedure, it has stated: when epidemic diseases erupted, the pond with epidemic diseases will not change water and keep maintain water for treatment until pass over the diseases. However, there is not statement for normal disease (not epidemic diseases), how to isolate the water to avoid cross-infection <i>Trong thủ tục quản lý an ninh sinh học có ghi khi có dịch bệnh bùng phát, các ao có dịch bệnh sẽ không được thay nước, lưu giữ lượng nước cố định để xử lý đến khi hết bệnh. Tuy nhiên chưa nói rõ nước từ ao nuôi bị bệnh (không phải dịch bệnh bùng phát) được xử lý thế nào để tránh nhiễm khuẩn chéo từ nước thải vào nước cấp</i>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Revise the biosecurity management procedure, add the method of isolation and treatment the water from the ponds that have diseases before discharge to environment to avoid cross-infection <i>Sửa quy trình quản lý an ninh sinh học, bổ sung biện pháp cô lập và xử lý nước ở các ao có cá bệnh trước khi thải ra môi trường để tránh nhiễm chéo</i> - Preventive action / hành động ngăn ngừa: QA Dept. conduct meeting with farm's technician about new updated procedure <i>Phòng QA họp với kỹ thuật viên của trại về quy trình mới cập nhật</i>			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the new updated biosecurity procedure, and ther meeting minute of QA department and farm's staff, show compliance <i>Kiểm tra quy trình an ninh sinh học mới cập nhật, và biên bản họp của phòng QA với nhân viên trại, cho thấy phù hợp</i>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 20/10/2014 NGÀY:
CLOSED / ĐÓNG		YES / CÓ	

		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 08 Điểm không phù hợp số 08	
File Number: Hồ sơ số:	CLAUSE: 7.4.1c Điều khoản: 7.4.1c	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
<p>The farm has conducted training of all SOP on 14-03-2014, however the responsibility trainer had not relevant certificate of SOP. Mr. Ho Huu Danh - Farm Manager had no certificate of health and safety training.</p> <p><i>Trang trại đã thực hiện huấn luyện tất cả SOP vào ngày 14/03/2014, tuy nhiên nhân viên phụ trách đào tạo không có bằng cấp liên quan. Anh Hồ Hữu Danh - trưởng trại chưa có bằng chứng được đào tạo ATLD.</i></p>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHÁC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
<p>The said staffs had been trained by safety committee of C.P. Group, however, they just jointed 2/3 course so that still not have certificate of training</p> <p><i>Các nhân viên nói trên được đào tạo bởi hội đồng an toàn của tập đoàn C.P. Tuy nhiên, do chỉ tham gia 2/3 khóa học nên chưa được cấp chứng chỉ đào tạo.</i></p>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHÁC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Contact center of labor protection of Cao Lanh for training to relevant staffs of farm <i>Liên hệ trung tâm bảo hộ an toàn lao động đào tạo cho tất cả nhân viên có liên quan</i>			
- Preventive action / hành động ngăn ngừa: Not apply / Không áp dụng			
CLEARANCE REPORT (to be completed by BVCertification) / KẾ THỨC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
<p>Checked the photos of the training class, training records and training certificate of farm's employees about health and safety issued by the Working Safety Center, show compliance</p> <p><i>Kiểm tra hình ảnh của lớp học, hồ sơ đào tạo và giấy chứng nhận đào tạo an toàn sức khỏe cho nhân viên cấp bởi Trung Tâm Bảo Hộ An Toàn Lao Động, cho thấy phù hợp</i></p>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 24-Oct-2014 NGÀY: 24/10/2014
CLOSED / ĐÓNG		YES / CÓ	

		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 09 Điểm không phù hợp số 09	
File Number: Hồ sơ số:	CLAUSE: 7.4.1f Điều khoản: 7.4.1f	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VÍ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VÍ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂM GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
<p>The farm 10 workers' rooms for worker, however, by visual observation found that rooms can not meet basic condition for living. Farm has been building 2 new dormitory for workers, but the construction has not been finished yet.</p> <p><i>Trang trại có 10 phòng nghỉ cho công nhân nhưng thực tế quan sát nhận thấy các nhà ở này chưa đáp ứng điều kiện cư trú cơ bản. Trại đang xây dựng 02 khu nhà ở mới cho công nhân nhưng chưa xong.</i></p>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHẮC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
<p>Farm have 10 worker's room, these room built by last owner, they had degraded. Company is building 2 new dormitories, these dormitories intend to finish by early of September, however, because of raining, the progress is delay about 1.5 months</p> <p><i>Trang trại có 10 phòng nghỉ cho công nhân, các phòng này được xây dựng bởi chủ cũ của trang trại, các phòng đang xuống cấp. Công ty có xây dựng thêm 2 khu nhà tập thể, dự kiến ban đầu sẽ hoàn thành vào tháng 9, tuy nhiên do mưa nên việc xây dựng bị chậm trễ 1.5 tháng</i></p>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂM GIẢI HÀNH ĐỘNG KHẮC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Push up the constructor to finish the dormitories by 15/10/2014 <i>Thúc đẩy nhà thầu xây dựng nhanh chóng hoàn thành công trình xây dựng trước ngày 15/09/2014</i>			
- Preventive action / hành động ngăn ngừa: Not apply / không áp dụng			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
<p>Checked the photos of new dormitory of the farm with good living facilities for workers, show compliance</p> <p><i>Kiểm tra hình của ký túc xá mới xây với trang bị sống tốt cho công nhân, cho thấy phù hợp</i></p>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	DATE: 20/10/2014 NGÀY:
CLOSED / ĐÓNG		YES / CÓ	

 BUREAU VERITAS		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 10 Điểm không phù hợp số 10	
File Number: Hồ sơ số:	CLAUSE: 7.8.4 Điều khoản: 7.8.4	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VÍ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VÍ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / DIỄN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
There was no evidence that farm has tripple payment for workers who worked on national holiday such as (30/04/2014, 01/05 and 02/09). Công ty không có bằng chứng trả trả lương gấp 3 lần cho các công nhân có làm việc vào các ngày nghỉ quốc gia như là (30/04/2014, 01/05 và 02/09).			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BÁO CÁO HÀNH ĐỘNG KHÁC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
Wrong awareness on implement the law: Worker worked on national holidays have been assigned to off in the next or previous day without any extra payment according to the regulation Do nhận thức sai trong vấn đề tính lương, công nhân đi làm vào các ngày nghỉ lễ quốc gia được bố trí nghỉ bù vào ngày trước hoặc sau đó liền kề mà chưa được trả lương đặc biệt theo quy định ngày nghỉ lễ quốc gia			
CORRECTIVE ACTION REPORT (to be completed by the Company) / DIỄN GIẢI HÀNH ĐỘNG KHÁC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Make the additional payment for staffs whose worked on national holidays but assigned to off in the other day. Every 1 day working, do payment 2 day-salary extra Trả bù lương cho các nhân viên làm việc vào ngày nghỉ lễ quốc gia được bố trí cho nghỉ bù vào ngày thường. Mỗi ngày làm việc vào ngày nghỉ lễ được trả bù 2 ngày lương			
- Preventive action / hành động ngăn ngừa: HR staffs: Get consult from labour law specialist for clearly understand on salary payment Nhân viên nhân sự: nhờ tư vấn từ chuyên gia luật lao động của công ty để hiểu rõ hơn về cách tính lương			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the additional payment records for workers, and the meeting minute of QA department and HR department about salary calculation, show compliance Kiểm tra hồ sơ chi trả lương bổ sung cho công nhân, và biên bản họp của phòng QA với phòng nhân sự về tính toán lương, cho thấy phù hợp			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	
CLOSED / ĐÓNG		DATE: 20/10/2014 NGÀY:	
		YES / CÓ	

		ASC NON-CONFORMITY REPORT BÁO CÁO KHÔNG PHÙ HỢP ASC	
Company: C.P. VIETNAM CORPORATION - SA DEC 1 FARM Tên Công ty: C.P. VIETNAM CORPORATION - TRẠI SA ĐẾC 1		Non Conformity No. 11 Điểm không phù hợp số 11	
File Number: Hồ sơ số:	CLAUSE: 7.10.2 Điều khoản: 7.10.2	TEAM LEADER: Mr. LY VI CUONG TRƯỞNG ĐOÀN ĐÁNH GIÁ: Anh LÝ VĨ CƯỜNG	
Date: 23-Jul-2014 Ngày: 23-07-2014	OTHER TEAM MEMBERS: Mr. LY VI CUONG ĐÁNH GIÁ VIÊN TRONG ĐOÀN: Anh LÝ VĨ CƯỜNG		
Major non-conformity: Điểm không phù hợp nặng:	Minor non-conformity: X Điểm không phù hợp Nhẹ: X	Observation: Điểm khuyến cáo:	COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA
DESCRIPTION OF THE NON CONFORMITY: / ĐIỂN GIẢI ĐIỂM KHÔNG PHÙ HỢP:			
<p>Company has regulation about maximum probation period that does not exceed 30 days following the law, however there were 2 cases of new workers comming in 08/2014 with contracts of probation for 50 days.</p> <p><i>Công ty có quy định thời gian thử việc tối đa đối với lao động phổ thông không quá 30 ngày theo luật, tuy nhiên thực tế có 02 trường hợp lao động mới vào trong tháng 08/2014 được kí hợp đồng lao động thử việc tới 50 ngày.</i></p>			
Deadline for clearance: Hạn cuối khắc phục:		30-sept-15	
Audit Comments: Nhận xét của chuyên gia:			
CORRECTIVE ACTION REPORT (to be completed by the Company) / BẢO CÁO HÀNH ĐỘNG KHÁC PHỤC (Sẽ được hoàn thành bởi công ty)			
Actual Clearance Date: Ngày khắc phục thực tế:		COMPANY REPRESENTATIVE: Mr. LE MINH KHA ĐẠI DIỆN CÔNG TY: Anh LÊ MINH KHA	
Root Cause Analysis / Phân tích nguyên nhân			
<p>Due to C.P Group have many business, director of the farms have to travel between the farms in Mekong delta, for convenient, HR staff had arranged for staffs who join company before the date 10th, the probation will be until end of this month and sign official labor contract by end of the month, for staffs who join company after the date 10th, the probation will be until end of next month and sign official labor contract by end of the next month. However, the probation staffs and official staffs is the same on all policies and allowances of company</p> <p><i>Do tập đoàn C.P hoạt động trong phạm vi lớn, giám đốc phụ trách farm cũng phải di chuyển thường xuyên giữa các farm khắp đồng bằng sông Cửu Long, do đó để tiện việc ký hợp đồng lao động nhân viên nhân sự chia ra làm 2 đợt trong tháng: Nhận việc trước ngày 10 hàng tháng, ký hợp đồng thử việc trong tháng, và ký hợp đồng lao động chính thức vào ngày 30 trong tháng; nhận việc sau ngày 11 hàng tháng, hợp đồng thử việc ký đến hết tháng sau, và hợp đồng lao động chính thức ký ngày 30 tháng tiếp theo. Tuy nhiên, giữa nhân viên thử việc và nhân viên hợp đồng chính thức, các chế độ hoàn toàn giống nhau</i></p>			
CORRECTIVE ACTION REPORT (to be completed by the Company) / ĐIỂN GIẢI HÀNH ĐỘNG KHÁC PHỤC (được hoàn thành bởi Công ty)			
- Corrective action / hành động khắc phục: Stricly implementation probation period according to labor law <i>Áp dụng đúng quy định về thời gian thử việc theo luật lao động</i>			
- Preventive action / hành động ngăn ngừa: Remind the HR staffs on implementation the labour law <i>Nhắc nhở nhân viên nhân sự thi hành đúng luật lao động</i>			
CLEARANCE REPORT (to be completed by BVCertification) / KẾT THÚC BÁO CÁO (được hoàn thành bởi BVCertification)			
ACCEPTED / CHẤP NHẬN		YES / CÓ	
FOLLOW-UP COMMENTS / CÁC NHẬN XÉT			
Checked the additional payment records for workers, and the meeting minute of QA department and HR department about salary calculation, show compliance <i>Kiểm tra hồ sơ chi trả lương bổ sung cho công nhân, và biên bản họp của phòng QA với phòng nhân sự về tính toán lương, cho thấy phù hợp</i>			
AUDITOR: LY VI CUONG / NGUYEN HUY ĐÁNH GIÁ VIÊN:		SIGNED: KÝ TÊN:	
CLOSED / ĐÓNG		YES / CÓ	
		DATE: 20/10/2014 NGÀY:	

Confidential data for commercially sensitive information

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

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

If no submission, precise " no submissions received"

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

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e 2. A checklist of records that the farm must provide to the auditor to show evidence of compliance of full crops f

Description of Farm Record
Records for water intake / water abstraction
Records for type and quantity of feed used
Supplier declarations for TP and TN content in feeds
Records for amount of TP and TN added per ton of fish produced and supporting lab test results
Records for weekly DO measurements (to determine minimum DO in water discharged)
Records for mortality quantities and their disposal method
Records for fish size
Register of inspection, mitigation and repair of net mesh or grills
Record of actions taken upon detection of escapes
Records to show all crops were accounted for (harvested or properly disposed)
Written justification for periods of inactivity > 3 months
Records (receipts, supplier statement) showing average weight of seed and numbers
Records showing amount of fish harvested
Calculations for eFCR and yield for each crop
Records showing average weight and numbers of seed stocked into each enclosure
Records showing total number of fish harvested from each enclosure
List of all veterinary medicines, chemicals and biological product and records of their usage
Records of prescriptions/written advice for all veterinary medicines and chemicals used
Daily records of product use and water temp for all chemicals requiring withdrawal periods
List of all antibiotics used
Receipts for purchases of veterinary medicines
Detailed records of use of veterinary medicines and chemicals (including withdrawals) for hatchery and grow-out facilities
Records of daily monitoring for stress or disease
Records of daily monitoring for mortality
Records showing the total weight of fish harvested from each enclosure
Calculated fish density at harvest for each enclosure

from > 20% of enclosures.

Indicator(s)	Record Coverage	Yes / No / NA
2.4.1a, 2.4.2a	1 full crop (see pre-amble in AM)	YES
3.1.1a, 3.1.2a	1 full crop (see pre-amble in AM)	YES
3.1.1b, 3.1.2b	1 full crop (see pre-amble in AM)	YES
3.1.1d, 3.1.1e, 3.1.2d, 3.1.2e	1 full crop (see pre-amble in AM)	YES
3.3.3a	1 full crop (see pre-amble in AM)	YES
3.6.1b	1 full crop (see pre-amble in AM)	YES
4.5.1a	1 full crop (see pre-amble in AM)	YES
4.5.2b	1 full crop (see pre-amble in AM)	YES
4.5.4c	1 full crop (see pre-amble in AM)	YES
4.6.2b	1 full crop (see pre-amble in AM)	YES
4.6.2c	1 full crop (see pre-amble in AM)	YES
5.2.1a	1 full crop (see pre-amble in AM)	YES
5.2.1c	1 full crop (see pre-amble in AM)	YES
5.2.1d	1 full crop (see pre-amble in AM)	YES
6.1.1a, 6.5.1a	1 full crop (see pre-amble in AM)	YES
6.1.1b	1 full crop (see pre-amble in AM)	YES
6.2.1a, 6.2.1b	1 full crop (see pre-amble in AM)	YES
6.2.2a	1 full crop (see pre-amble in AM)	YES
6.2.4a	1 full crop (see pre-amble in AM)	YES
6.2.5a	1 full crop (see pre-amble in AM)	YES
6.2.6b	1 full crop (see pre-amble in AM)	YES
6.4.1b, 6.4.1d	1 full crop (see pre-amble in AM)	YES
6.4.3a	1 full crop (see pre-amble in AM)	YES
6.4.4a	1 full crop (see pre-amble in AM)	YES
6.5.1b, 6.5.2b, 6.5.3b	1 full crop (see pre-amble in AM)	YES
6.5.2c, 6.5.3c	1 full crop (see pre-amble in AM)	YES

