

IMO II 33.5 CH-e ASC Audit Report

Farm name: [Tan Thuan Tay](#)

Company name: [Vinh Hoan](#)

Location: [Tan Hau Hamlet – Tan Thuan Tay Commune – Cao Lanh city Dong Thap Province - Vietnam](#)

Final Audit Report *



CAB: IMOsuisse AG (IMO)

Author: J.Unger

Date: 12.05.14

**This report is for public release and does not contain any confidential information.*

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Glossary

ASI	Accreditation Services International
ABU	Bussarin Kosin (Ann)
CC	Certification Committee IMO
d	day(s)
IMO	IMOsuisse AG
KIB	Kim Bedford
Lead	Lead Auditor
JU	Julia Unger
MC	Mai Truc Chi
NY	Nina Yang
TXS	Tran Xuan Sang
UOC	Unit of certification

1. Executive Summary

Any version of this report in any other language than English is an unverified translation, and in case of differences the English version shall take precedence.

Tan Thuan Tay farm is under assessment for ASC certification. This report only covers the assessment of Tan Thuan Tay farm.

Tan Thuan Tay farm site was audited against principle one to seven in two days. The audit was carried out by three auditors in Vietnamese and partly in English with translation.

During the environmental assessment, 0 major, 3 minor (3 closed prior to publication of this report) and 0 recommendations were raised. During the social assessment, 0 major, 2 minor (2 closed prior to publication of this report) and 0 recommendation was raised.

Besides the grow-out, the scope of the assessment includes the harvest, landing and subcontracted transport in boats to processing. COC certification is required from the point of unloading from the transport boats.

IMO determines that all the requirements of the standard are sufficiently met and has certified Tan Thuan Tay farm.

2. CAB contact information

IMOsuisse AG (IMO)
Fisheries & Aquaculture
Weststr. 51
8570 Weinfelden, Switzerland

Tel: 0041-71-626 0 626 (general)

Email: aqua@imo.ch

Website: www.imo.ch

3. Background on the applicant farm

The farm Tan Thuan Tay farm is located in the Tan Hau hamlet, Tan Thuan Tay Commune, Cao Lanh city, Dong Thap Province. It is one of the farms operated under Vinh Hoan Corporation that applied for ASC Pangasius standard. It is operated in 2008 with 11 grow out ponds. The farm latitude & longitude are N 10°26'31.0, E 105°35'57.8"; N 10°26'35.3, E 105°35'29.2; N 10°26'37.1, E 105°35'29.9" and N 10°26'34.9, E 105°35'58.3. Total area is 17 ha. Farm can be accessed by either harvesting boat at the canal site or by motorbike at the commune site. The receiving water body of the farm and discharge water are Tien River which is the main northern branch of the Mekong river. The farm is located in the land sourced from Agriculture with the construction showing that all earth has not been discharged into common water bodies and no negative impacts on endangered species. One neighbour side is local houses while the others are Tien River and Ca Kich natural canal. There are six feed storages, one medicine storage, one fuel storage, one empty tanks storage, one lime storage. There are 25 workers at the farm.

The water supply is pumped from Tien River or is depending on the tide level that allow water to flow into the farm via the drains system installed at the nine inlet places. There are two sludge ponds with volume of 17300 m³ and one sedimentation pond where waste is kept and eventually discharged to Tien River. Water residence time before discharge is 2-3 days and water will be

discharged approximately twice a week. Waste management is implemented according to the farm procedure and the dead fish was either buried or sold with contract for agriculture fertilizer according to the health plan control.

Farm has held the Global GAP certificate only.
Production capacity of the farm: 4700 tons per year

4. Scope

The assessment was carried out against the ASC Pangasius Standard v1.0.

The species produced at the farm is *Pangasius Hypothalmus*.

Audit scope: Tan Thuan Tay farm (single site), *Pangasius Hypothalmus*.

Receiving water bodies delineations: Tien River. This is distinct from the receiving water body of the hatchery, therefore, the hatchery has been excluded from the scope.

5. Audit plan

Action	Locations	Persons	Dates*
Desk review: pre-audit data	IMO Head office	TXS	28.2.2014
Audit (principle 1-6)	Tan Thuan Tay farm	TXS (Lead) ABU (Audit team) MC (Audit team)	27&28.3.2014
Audit (principle 7)	Tan Thuan Tay farm	NY MC (Translator)	2.4.2014
Stakeholder & community meetings/interviews	Tan Thuan Tay People Committee	NY	2.4.2014
Writing of the report	IMO Head office	TXS	2.4.2014
Reviewing the report	IMO Head office	ABU	18.4.2014
Client report to client	IMO Head office	ABU	-
Updating report	IMO Head office	ABU	23.4.2014
Draft public report to ASC	IMO Head office	JU/ABU	25.4.2014
Stakeholder comments			10 days
Updating report	IMO Head office	ABU	06.5.2014
Certification decision	IMO Head office	CC	12.5.2014
Final public report to ASC	IMO Head office	JU/ABU	13.5.2014

* The previous versions of the report are not public.

The audit was carried out with Ms. Thuong – ASC coordinator, Mr. Hai – Farm manager. Other staff/workers such as Ms. Phuong, Ms Yen, Ms. Loi – technical staffs joined parts of the audit, depending on their responsibility and the criteria being assessed.

Stakeholder and community interviews were carried out with the following persons:

Name	Affiliation
Phan Van Bo	Feed uploading worker
Phan Van Ro	Feed uploading worker
Nguyen Thanh Tung	Farmer
Vo Van Loi	Farmer
Vo Van Phuoc	Farmer
Nguyen Ngoc Ba	Fisherman
Nguyen Thi Yen	Housewife
Nguyen Van Chinh	Farmer
Vo Tran Vu	Farmer
Le Quang Hien	Vice Chairman of Tan Thuan Tay Commune People Committee
Ngo Thanh Ha	Head of commune Fatherland Front of People's Committee of Tan Thuan tay

6. Findings

Details of the evidence of compliance found during the audit for each individual criteria of the standard can be found in Annex 1.

Any outstanding non-conformities and their respective action plans are listed under section 10. of this report. Any recommendations or closed non-conformities are not listed here and are part of Annex 1.

This farm had established a whole set of social compliance procedures and policies according to ASC standard, and the result of this assessment indicated that they could meet most of ASC standard requirements, for both documentation maintenance and on-site practice. And according to the local community interview with stakeholders, there's one comment received about this farm, which details are referred to the checklist. Auditor had interviewed 3 workers in this farm and about 10 to 15 minutes for each interview, the workers all claimed they were satisfied to work in the farm and satisfied with payment, working conditions and also the working hours. Mr. Ngo Minh Hai now was assigned to be responsible for the farm's social compliance system establishment and maintenance, and he has rich experiences in social compliance area and was familiar with all ASC standards.

Community interviews further confirmed the audit findings and interviewed persons emphasized their support for this project.

For details of stakeholder submissions received throughout the certification process, please see Annex 5.

For technical findings, the documentations and all water measurements and analysis were found to be sufficiently compliant. The location of the water monitoring points (discharge/outfall) situated in the location intention of the ASC monitoring points. Sedimentation pond is located along the ponds and connected to discharge point to the natural water body (Tien River). DO measurement at outfall under ASC timeframe was conducted and witnessed and found compliance.

During on-site visit, the auditors could witness the harvest process. The contracted net well-boat of Vinh Hoan was the harvesting transporation. Net inspection was also conducted.

However, pond's abstraction water gates were found to have leakages through plastic cover and water flowed back to the natural river canal. Discharge points needed to be clarified further through the leakage/flow through incident.

In general, the farm under assessment was well prepared for the audit with all pre-audit data available prior to the audit. The auditors had open access to all documentation, the farm and staff/workers as required. The farm is well managed and documented and staff trained to implement the internal procedures.

A description of the certification status can be found under section 8. of this report.

7. Evaluation results

Details of the evidence of compliance for each criteria in the standard can be found in Annex 1.

8. Decision

Tan Thuan Tay farm has submitted action plans and corrective measures and all minor NCs have been closed (refer to section 10). IMO determines that Tan Thuan Tay farm meets all the requirements of the standard and has issued a certificate for the scope defined under section 4. of this report.

9. Determination of the start of the COC

Risk assessment - COC within the farm

L – low risk: no such activities or a controlled system in place (e.g. license)

M – medium risk: such activities occur within the farm but there is a good system in place

H – high risk: such activities occur, there is a risk of mixing and the system in place is not sufficient

Ref to CR	Integrity of certified products	Associated risk	Rationale
17.5.1	System in use	L	Control system is in placed accrodg to Global GAP standards
17.5.1.2	The opportunity of substitution prior to or at harvesting	L	No other Pangasius farms around.
17.5.1.3	The possibility of introducing product from outside the unit of certification	L	No other Pangasius farms around.
17.5.1.4	Robustness of the management system	L	Strong management system. Vinh Hoan has two other farms that are ASC certified.
17.5.1.5	Any transshipment activities taking place	L	Using the boat of subcontractors under Vinh Hoan staffs control
17.5.1.6	The number and/or location of points of harvest	L	Harvest taken at every pond point.

	Overall risk estimation	L	L
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If the CAB determines the system is sufficient, products can enter into further certified chains of custody and be eligible to carry the ASC Label.

Scope of aquaculture certificate, including the points of change of ownership after which COC certification is needed:
Besides the grow-out, the scope of the assessment includes the harvest, landing and subcontracted transport boats to processing. ASC COC certification is required from the point of unloading from the boats.
No retrospective approval has been applied for. Only products harvested as of the date of certification are approved to carry the ASC logo.

If the CAB determines the system is not sufficient, products may not enter into further certified chains of custody and are not eligible to carry the ASC Label.

The following products may not enter into further certified chains of custody and are not eligible to carry the ASC Label:
No

This determination will remain in force until revised by the CAB in a subsequent audit.

10. Non-conformity report(s)

Producer: Tan Thuan Tay farm					
N° of CC	Year	Cat.	Non-conformity (summary)	Action plan	Deadline
			(All minor NCs raised have been closed)		

<i>N° of CC</i>	<i>Number of not fulfilled compliance criteria (e.g. 1.1.1). In case of doubts indicate at least chapter of report.</i>
<i>Year</i>	<i>First year when the non-conformity has been observed.</i>
<i>Cat.</i>	<i>Sanction Category: rate using rec, min or Maj</i>
<i>Non-conformity</i>	<i>Discrepancy to standard.</i>
<i>Action plan</i>	<i>Measure to correct non-conformity stated by company and to be approved by IMO. Implementation of corrective measure to be completed by deadline.</i>
<i>Deadline</i>	<i>Date when IMO will assess the implementation of the corrective measure.</i>
<i>Status</i>	<i>Status of implementation of corrective measure: done, partly done, not done</i>
<i>rec</i>	<i>Recommendation (no action plan required)</i>
<i>min</i>	<i>Minor non-conformity: see Annex 2</i>
<i>Maj</i>	<i>Major non-conformity: see Annex 2</i>

11. Next scheduled audit

Next planned surveillance audit; (year, month):	March 2015
Complete re-certification every three years; at the latest (year):	2017

IMO has the right to carry out additional unannounced audits according to the IMO standard operation procedures (SOPs). Likewise, an additional audit can be carried out within the framework of a document review.

Operator's comments (optional):
No

The operator has confirmed their agreement with this report and has committed to implementing the action plan/corrective measures. The final certification decision is made by the responsible certification officer at IMO.

Confirmation of operator

_____ 28.3.2014, Tan Thuan Tay,
name & signature date, location

Confirmation of auditor

Tran Xuan Sang _____ 28.3.2014, Tan Thuan Tay
name & signature date, location

Annexes

Annex 1a. Evaluation results Pangasius P1 - 6

Please see separate document. The following information is confidential and has been removed from the public report:

- Water monitoring data and analysis

Annex 2a. Evaluation results Pangasius P 7

Please see separate document.

Annex 3. Classification of minor / major non-conformities

Minor non-conformities

a) For initial certification, the CAB may recommend the applicant for certification once an action plan to address non-conformity has been agreed to by both the client and the CAB.

i. The action plan shall include a brief description of:

A. The root cause(s) of the non-conformity

B. The corrective action(s) to be taken is intended to satisfactorily address the non-conformity

C. The timeframe for implementation of corrective action(s)

ii. Minor non-conformities may be extended once for a maximum period of one (1) year if full implementation of corrective action was not possible due to circumstances beyond the control of the client.

b) The CAB should raise a major non-conformity where minor non-conformities are repeatedly raised against a particular requirement.

c) The CAB shall require that minor non-conformities raised during surveillance audits are satisfactorily addressed in one (1) year.

Major non-conformities

a) The CAB shall require that major non-conformities shall be satisfactorily addressed by an applicant:

i. Prior to certification being granted.

ii. Within three months of the date of the audit or a full re-audit shall be required.

iii. That the root cause of the non-conformity is identified.

b) In the case of a major non-conformity raised during the period of validity of a certificate, the CAB shall require:

i. That the certificate holder satisfactorily addresses the non-conformity within a maximum of three (3) months

ii. Major non-conformities may be extended once for a maximum period of another three months if full implementation of corrective action was not possible due to circumstances beyond the control of the client

iii. That the root cause of the non-conformity is identified

Annex 4. Form 1 – Request for Interpretation or Variance

This form is for the submission of requests by CABs to ASC to request interpretations of ASC normative requirements and/or requests for variance from specific normative requirements.

I CAB Request

1.1 Name of CAB	1.2 Date of Submission	1.3 CAB Contact Person	1.4 Email Address of CAB Contact Person
none			
1.5 ASC Document Reference			
1.6 Background (Provide full explanation of the issue)			
1.7 Recommended Action/Decision			

II ASC Determination

2.1 Status	2.2 Date of ASC Determination
<input type="checkbox"/> Closed	
2.3 ASC Determination on Variance	
2.3 ASC Interpretation	

Annex 5. Stakeholder submissions

Including written or other documented information and CAB written responses to each submission.

Public consultation period	Stakeholder submission	IMO Response
Audit announcement (30 days prior to audit)	No submissions received	n/a
Draft public report (10 days from report publication)	No submissions received	n/a

Table 1

Vinh Hoan - Tan Thuan Tay farm

criteria	Date of finding	recomen-dation	minor NC	major NC	NC	action plan	deadline	action plan approved by IMO	Status of implementation of action plan		
						Root Cause: xxx Corrective Action: xxx Timeframe: xxx			initial/recertification	surveillance I	surveillance II
									2014	2015	2016
3.1.3&3.1.4c	28.3.2014		1		<u>Water management/ Water allocation and water discharge data</u> Data of the total weight of fish produced and the total volume of water discharged during the crop production cycle were reviewed. However, regarding to the accuracy of farm's data and the impact on water resources, during on-site visit, leakage at water supply gate was found at pond no.1&2 where water flow through the covering plastic sheet on wooden gate. In addition, the leakage was also found at the discharge gate located between sediment ponds and natural water body adjacent to the farm. Required discharge volume record revised. This leakage found also results in low TP/TN value which refer to 3.13c and 3.1.4c	<u>Root Cause:</u> We use these wooden gates for a long time, when workers open or close the gate, wooden gates are eroded. therefore, the leakage at these points occurred. <u>Corrective Action:</u> We use one kind of plastics (curcoa) to fill gaps to ensure that no water can be leak to the environment. Timeframe: 06.04.14 (Action plan has been submitted on 18.4.2014)	06.04.14	approved.	done (Repair inlet&outlet water gate photoes were submitted on 21.4.2014)		
3.5.1b	28.3.2014		1		<u>Farm solid wastes being discharged into the natural environment</u> During on-site visit, there were some burning sites on the farm dykes located along the natural canal where organic waste are burned. However, some plastic debris was observed at the same area.	<u>Root Cause:</u> There are some workers do not follow our regulations on waste management at the farm. <u>Corrective Action:</u> Farm Manager has a meeting after audit with all workers, pointed out the NC points during audit. The technician trained for all workers about the waste management. Timeframe: 06.04.14 (Action plan has been submitted on 18.4.2014)	06.04.14	approved.	done (Waste management training and farm site photoes were submitted on 21.4.2014)		
6.5.2d	28.3.2014		1		<u>Fish density</u> Fish density was estimated monthly. However, during the audit, there was one pond randomly checked found to have higher density (42 kg/m ²) than the standard required.	<u>Root Cause:</u> Regarding to this pond, the stocking size is very small. Everyday, workers collect only visual dead fish, there are a lot of unseeable deadfish in pond that we can not count. So the remaining fish in pond are not correct if we only base on the visual dead fish. And the density mentioned in the diary is not correct and higher than the final density at harvest. In fact that at the harvest the density is lower than 38kg/m ² . <u>Corrective Action:</u> the veterinary are working the unseeable dead fish rates for each stage of fish based on the farming data. We will add these rates in our animal health control (QT09). And the technician not only base on the visual dead fish but also the unseeable dead fish so that we can know exactly the reamaning fish in the pond. Timeframe: 15.04.14 (Action plan has been submitted on 18.4.2014)	15.04.14	approved.	done (Unseeable dead fish rates at different fish life stage included in animal health plan was submitted on 21.4.2014)		
Total		0	3	0		examples: see report (for minors) corrective measure implemented (for majors)	see report	ok na	open done		

Scope: *Pangasianodon hypophthalmus*, *Pangasius bocourti*

Preamble:

In order to determine the level of compliance against the ASC Pangasius Standard it is essential to use information of completed crop cycle(s), or on a specific point in time in the crop (e.g. stocking) for several requirements. For this reason, for first audits, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment.

Therefore, at the time of the first audit:

- farmer must be able to show full records (e.g. feed-use, mortality rate, etc.) of at least 1 completed crop cycle per site (i.e. from stocking to harvest) and the relevant information for all the crops stocked after having stocked that crop
- certifier must use these records of each site to calculate the level of compliance of the relevant indicators

Applicable to all relevant requirements in this Audit Manual:

Client: At first audit: data of at least 1 full crop cycle per site must be made available to certifier.

Auditor: At first audit: data of at least 1 full crop cycle per site must be used to determine compliance.

add "1" per criteria in applicable column below: Initial/recertification

PRINCIPLE 1. LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS

1.1 Criteria: Local and national regulations

				Evaluation results			
		Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CB Actions):	Description	ok	minor	major
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.	Land is rent from Dong Thap People Committee government . The contract no. 01 HD/TD has been issued by Dong Thap People Committee and is valid from 21.1.2013 to 1.2.2018. Total area is 170934 m2.	1		
		b. Obtain an aquaculture farming licence (as applicable).	B. Verify farm has aquaculture farming licence (as applicable).	Dong Thap Decision No.2620D/UBND HC regulating Tan Thuan Tay Hamlet (local area authority) shows allowance for the aquaculture farming to Tan Thuan Tay farm. Also Dong Thap People Committee Decision No.897QD/UBND HC (Provincial authority) issued on 9.9.2013, shows allowance for the aquaculture farming to Tan Thuan Tay farm.	1		
		c. Obtain a commercial licence (as applicable).	C. Verify farm has a commercial licence (as applicable).	Commercial licence of Vinh Hoan company was first issued by Dong Thap Planning Department on 17.4.2007 and 6th issued on 4.7.2013.	1		
		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.	No other licences required.	1		
1.1.2	Indicator: Presence of documents proving compliance with pertinent tax laws Requirement: Yes Applicability: All	a. Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax) for the last 12 months. For first audits, farm records must cover ≥ 6 months	A. Verify client has records of tax payments to appropriate authorities. [Note: For integrated systems, tax may only apply at the processing level. Nonetheless clients must show evidence of tax payment]	Farm has paid for the land tax. Latest land tax was paid on 31 May 2013. Receipt of land tax in 2013 was reviewed. Business tax is paid once a year. Business tax receipts from July to Sep 2013 were reviewed.	1		
		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.	Client has current tax law information and a basic understanding of tax requirement.	1		
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).	Water at discharge point was sent once a six month to the external Lab named "Technology, Natural Resources and Environment Monitoring Centre - Dong Thap - ISO 17025 certified" and tested according to the National Regulation - Decision 44/2010/TT-BNNPTNT (Water quality in the pond) and QCVN 40:2011/BTNMT (Sedimentation ponds). The minutes of external lab showing the lab staff took water sample at discharged point on 15.11.2013 external lab were reviewed.	1		
		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).	Results of water testing on 20.11.2013 from a fully independent ISO 17025 accredited laboratory were within the standard range values according to the National Regulation - Decision 44/2010/TT-BNNPTNT and QCVN 40:2011/BTNMT. The water parameters tested are pH, BOD5, COD, Chlorine, TSS, Total Nitrogen, Total Phosphorus, Sulfur, Coliforms,	1		

		c. Submit relevant legal documents showing compliance.	C. Verify compliance. If (a), (b) or (d), then enter 'not applicable' for (c).	According to TT44/2010 - BNNPTNT issued on 22.07.2010 and QCVN 40:2011/BTNMT, the test results are done twice every year by external Lab named Technology, Natural Resources and Environment Monitoring Centre - Dong Thap - ISO 17025 certified and show compliance. Dong Thap People Committee will sign in the test report for approval.	1		
		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	1		
1.1.4	<p>Indicator: Presence of documents proving compliance with local and national legal regulations on land and water use</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	See 1.1.1 for land use. According to the Decree No.201/2013/ND-CP issued on 27.11.2013, no water using permit is applied to the aquaculture farm in case only 0.1m ³ water was abstracted per second. So, the farm audit did not require the water using permit. Evidence: select one day, 10.7.2014, total volume of water taken was 7150m ³ per day. It means that there was only 0.08 m ³ water abstracted per second.	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.	See 1.1.1 for land use See 1.1.4a for water use; See 1.1.3c for water discharge	1		
		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.	Refer 1.1.4a for water use	1		
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	<p>Indicator: Farms [4] located in approved aquaculture development areas</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	Detail map of the farm with 4 GPS coordinates was available.	1		
		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.	There are documents identify approved aquaculture area available (refer to 1.1.1b)	1		
		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'.	Map and legal document (refer 2.1.1b) show farm is located in an approved aquaculture area.	1		
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	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: Ponds established after August 31, 2010</p>	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.	Farm is rent from Dong Thap People Committee on 1.2.2008. There is the confirmation from Tan Thuan Tay Commune signed on 27.3.2014 indicating that the farm were constructed before 2008 and no more pond was built afterwards.	1		
		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).	NA. See 2.2.1a	1		
		-	C. Verify accuracy of (a) and (b) above during interviews with local community members to confirm there is no evidence for conversion of wetlands or any other ecosystem (other than agriculture or aquaculture land) as applicable under Indicator 2.2.1.	The farm was established before 2008 according to the Tan Thuan Tay Commune's official confirmation letter, so there's no evidence for conversion of wetlands or any other ecosystem (other than agriculture or aquaculture land). This criteria, also refer to aquaculture farming allowance from local authority (see 1.1.1b)	1		
Footnote	[5] For Ponds established after the publication of the PAD standards.						
Footnote	[6] From government organizations.						
2.2.2	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	The farm has shown the letter stating commitment to contribute to the fund, signed by Deputy General Director on 14.6.2012	1		
		b. Retain the receipt from ASC showing that farm's signed letter was received.	B. Verify evidence that ASC has received the letter.	ASC e-mail on 15.6.2012 was confirmed by Standard Director	1		
		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.	NA - ASC has not set up the fund yet	1		
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.						
	<p>Indicator: Evidence [8] that no earth has been discharged into common</p>	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. See 2.2.1a	1		

2.2.3	[9] water bodies	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. See 2.2.1a	1		
	Requirement: Yes Applicability: Ponds established after August 31, 2010	-	C. During local community interviews, verify there is no evidence that the farm has discharged earth into common water bodies.	Based on the interview with local communities, there's no discharge into common water. Local people can get the earth like fertilizers for agriculture for free	1		
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.	Search result to identify endangered species that occur in the area was available and completed. Record showed the survey on 19-20.1.2014. There are 15 fishes, 37 birds, 32 mammalia in Tan Thuan Tay area based on Viet Nam Regulation, IUCN and CITES.	1		
		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.	The source and accuracy of list were reviewed.	1		
		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).	Search result and list of all endangered species occurring in the area are available as well as a written procedure comparing with IUCN, CITES and Vietnam regulation. From comparison, there were 4 fish species (<i>Chitala ornata</i> , <i>Pangasianodon gigas</i> , <i>Pagasius sanitwasei</i> , <i>Cirrhinus microlepis</i>), 3 bird species (<i>Anhinga melanogaster</i> , <i>Charadrius peronii</i> , <i>Egretta eulophotes</i>), 3 mamalia (<i>Malayemys subtrijuga</i> , <i>Amyda cartilaginea</i> , <i>Python molurus</i>), 1 animal (<i>Felis viverrina</i>).	1		
		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.	Procedure No. QT28 issued on 24.03.2014 indicates how to deal with endangered species when seeing in the farm.	1		
		-	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).	Based on the interview with local communities, there's no negative impact to the endanger species	1		
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):			
2.3.1	Indicator: Farm does not impede navigation, aquatic animals or water movement Requirement: Yes Applicability: Pens and Cages	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. Ponds.	1		
		-	B. During local community interviews, verify there is no evidence that the farm impedes navigation, aquatic animals or water movement.	NA. Ponds.	1		
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. Ponds.	1		
		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. Ponds.	1		
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. Ponds.	1		
		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. Ponds.	1		
		-	C. Inspect site to verify that farm diagrams accurately show the size and position of pens within the water body.	NA. Ponds.	1		
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. Ponds.	1		
		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. Ponds.	1		
2.4 Criteria: Water use							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
		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.	Records of water intake per day and per pond were checked (Ex: Pond 10 2013)	1		

2.4.1	<p>Indicator: Farm complies with water allocation [16] limits as set by local authorities or a reputable independent institution [17]</p> <p>Requirement: Yes</p> <p>Applicability: Ponds</p>	<p>b. Obtain a statement from local authorities indicating the water allocation limits (units given) for the farm. If local authorities do not set water allocation limits for farms operating in the region, obtain a statement from local authorities attesting to this fact.</p>	<p>B. Review the water allocation limits set for the farm by local authorities. If local authorities do not set water allocation limits, confirm the farm has an attestation.</p>	<p>According to the Decree No.201/2013/ND-CP issued on 27.11.2013, no water using permit is applied to the aquaculture farm in case only 0.1m³ water was abstracted per second. So, the farm audit did not require the water using permit (refer to 1.1.4a)</p>	1		
		<p>c. If water allocation limits are not set by local authorities (see 2.4.1b), obtain a statement from a reputable independent institution (see Footnote 17) indicating the water allocation limits (units given) for the farm.</p>	<p>C. Review evidence that water allocation limits have been set for the farm by a reputable independent institution (as applicable).</p>	<p>NA. See 2.41 b</p>	1		
		<p>d. Demonstrate the reputability of the authority/institution identified in 2.4.1(b) by providing peer reviewed articles and/or reports on water allocation (if applicable).</p>	<p>D. Review evidence for reputability of the authority/institution responsible for water allocation (as applicable).</p>	<p>The Decree No.201/2013/ND-CP issued on 27.11.2013 by government was reviewed.</p>	1		
		<p>e. Calculate the farm's water intake on a crop-by-crop basis to show compliance with water allocation limits.</p>	<p>E. Check the farm's water intake against the water allocation limits. Verify compliance with limits set by local authority. Cross-check against reported values for total water abstracted (see 2.4.2).</p>	<p>Farm's water intake per day and per pond were checked against the water allocation limits. Example: On period dates of 7&8 &9 &10.1.2014, total volume of water taken was 19226 m³, it was found that there was water abstracted only 0.08 m³ per second where the regulation limit is 0.1 m³.</p>	1		
Footnote	<p>[16] Valid for both surface water and groundwater. Surface water is defined as "water collecting on the ground or in a stream, river, lake, wetland or ocean." Groundwater is defined as "water beneath the earth's surface that supplies wells and springs." Note the term "surface water" is used here in place of the original term "surficial water" that appeared in the Pangasius Aquaculture Dialogue Standards.</p>						
Footnote	<p>[17] A reputable independent institution can be a government organization, an academic institution or an organization that is not linked specifically to the aquaculture sector, but has generated water use parameters for the region, or is responsible for water allocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed articles and/or reports on water allocation. Documents produced for a sector other than aquaculture are also acceptable. A track record of at least three years of operation must be available.</p>						
2.4.2	<p>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)</p> <p>Requirement: 5,000 m³/metric ton of fish produced</p> <p>Applicability: Ponds</p>	<p>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 (m³) 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 (Q₁, Q₂, ...Q_n) to compute the farm-wide average, or Q_{avg}.</p>					
		<p>a. Using records of water intake (see 2.4.1a), calculate total water abstracted (m³) for each pond harvested by the farm. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review calculations against intake records to confirm accuracy.</p>	<p>Record of water intake was available for all ponds. Ex: pond 2 were stocked on 21.5.2013 and harvested on 15.3.2014. Total water used was 92200m³, total harvest was 264378 kg. Therefore Q value was 348.7m³. Calculation and accuracy were reviewed.</p>	1		
		<p>b. Maintain records showing amount of fish harvested from each pond.</p>	<p>B. Verify the farm keeps records showing the amount of fish harvested.</p>	<p>The receipts indicate the amount of fish harvested are the transport receipts to the processing plants. They were checked for 6 ponds harvested since Sep 2013.</p>	1		
		<p>c. Calculate the total weight of fish produced (in metric tons) from each pond.</p>	<p>C. Review calculations against sales records and estimates of current stock biomass to confirm accuracy. If needed, reconcile the totals with the weight of any fish that were harvested but not sold (i.e. crops lost after a disease outbreak).</p>	<p>The calculations of the total weight of fish produced were reviewed for 6 ponds harvested since Sep 2013. The calculation was done after harvesting using to the information of farm diary of each pond and signed by farm manager.</p>	1		
		<p>d. For each pond, calculate the ratio of total water abstracted per ton of fish produced (see above Instructions and Annex D of the ASC Pangasius Standard as an example).</p>	<p>D. Review farm's calculations for accuracy. Cross-check that water volumes (2.4.2a) and harvest weights (2.4.2b) from individual ponds can be reconciled with total annual production (2.4.2c) and total annual water intake (2.4.1e).</p>	<p>The farm's calculations for accuracy were reviewed. A cross-check was possible with all the required data.</p>	1		
		<p>e. Using results from all harvested ponds, calculate the farm-wide average ratio of total water abstracted per ton of fish produced (see Instructions above).</p>	<p>E. Confirm the farm-wide average Q is ≤ 5,000 m³/metric ton of fish produced.</p>	<p>The farm-wide ratio of total water abstracted per ton of fish produced from harvested pond in year 2013 (Mar 2013 to Mar 2014) to 2014 was ranged from 189.7m³/metric ton of fish produced to 348.7m³/metric ton of fish produced. The Q average was 250.02 m³/metric ton. Compliance</p>	1		
Footnote	<p>[18] Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater.</p>						
<p>PRINCIPLE 3: MINIMIZE THE NEGATIVE IMPACT OF PANGASIOUS FARMING ON WATER AND LAND RESOURCES</p>							
<p>3.1 Criteria: Nutrient utilization efficiency</p>							
<p>Compliance Criteria (Required Client Actions):</p>				<p>Auditor Evaluation (Required CB Actions):</p>			
		<p>Instruction to Clients for Indicators 3.1.1 and 3.1.2 - Laboratory Analysis of TP and TN in Feed In order to demonstrate compliance with Indicator 3.1.1 and 3.1.2, farms must be able to establish the amount of total phosphorus (TP) and total nitrogen (TN) in feeds. Farms shall obtain from each of their feed suppliers a declaration stating the maximum TP and TN content. Farms shall then verify supplier declarations by testing a representative number of batches (e.g. 1 sample for every 1,000 tonnes of a feed used) for TP and TN content. Tests shall be performed by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Results should show that declarations made by the feed supplier are accurate and that the feed is within the limits stated in the declaration. Farms must demonstrate compliance for all feeds used in the crops that are included in the calculation, regardless of whether those feeds were farm-made or commercially sourced. All calculations should be made on a crop-by-crop basis.</p> <p>Note 1: For first audits, farms are not required to check the TP and TN content of feeds using an independent laboratory. Note 2: Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification.</p>					

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	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. Ponds.	1			
		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. Ponds.	1			
		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. Ponds.	1			
		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. Ponds.	1			
		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. Ponds.	1			
Footnote	[19] TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology).							
3.1.2	Indicator: Maximum amount of total nitrogen (TN) [20] added as feed [21] per metric ton of fish produced. Requirement: 70 kg/t Applicability: Pens and Cages	Note: see instructions for Indicator 3.1.1						
		a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Confirm the farm has complete and accurate records for feed used.	NA. Ponds.	1			
		b. Obtain relevant declarations of TN content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm has obtained declarations for TN content in feed.	NA. Ponds.	1			
		c. Provide evidence that the farm tested TN from a representative sample of feeds (see instructions) to verify that declarations from the feed supplier are accurate and that the feed is within limits stated in declarations (as applicable).	C. Review evidence to confirm that farm checks whether TN content is reported accurately by feed suppliers (if applicable).	NA. Ponds.	1			
		d. Use results of 3.1.2a and 3.1.2b to calculate the amount of TN in kilograms (kg) added to each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).	D. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm.	NA. Ponds.	1			
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. Ponds.	1					
Footnote	[20] TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of nitrogen (Australian Government, Department of Meteorology).							
Footnote	[21] Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification. Farms that meet the requirements should be able to demonstrate compliance, regardless of whether their feed is made by a commercial feed mill or on site. See Principle 5 for further details.							
		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: Kejl Dahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejl Dahl 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 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 - in case of non-compliances, farm does have the water sampled by accredited lab after implementation of corrective actions to show compliance - all sampling results are supplied to auditor by the accredited laboratory to show that corrective action has been taken and that farms is now in compliance with the ASC Standard						

3.1.3	Indicator: Amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D) Requirement: 7.2 kg/t Applicability: Ponds	a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring and a copy of the contract specifying that water sampling and analyses are to be conducted in line with instructions for 3.1.3	A. Confirm the laboratory is suitably qualified and briefed to conduct water sampling and analyses.	The external Lab named Technology, Natural Resources and Environment Monitoring Centre - Dong Thap - ISO 17025 certified took the water samples and analyzed. Minutes of water samples taken were compliant to Instruction for 3.1.3. Example: Check the TP, TN results, minutes in the pond no. 13 (harvested on 16-20/09.2013, stocking on 19.10.2012)	1		
		b. Obtain laboratory results for TP concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration.	Lab results for TP concentration were reviewed.	1		
		c. For each pond, identify the total weight of fish produced (result from 2.4.2b), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm's data.	Data of the total weight of fish produced and the total volume of water discharged during the crop production cycle were reviewed. However, regarding to the accuracy of farm's data and the impact on water resources, during on-site visit, leakage at water supply gate was found at pond no.1&2 where water flow through the covering plastic sheet on wooden gate. In addition, the leakage was also found at the discharge gate located between sediment ponds and natural water body adjacent to the farm. Required discharge volume record revised. This leakage found also results in low TP/TN value which refer to 3.13c and 3.1.4c.	1		
		d. Enter the values from b and c (above) into the Total TP Discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TP discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.	D. Review farm's calculations to confirm accuracy.	Calculations were reviewed and are accuracy according to the farm's record data. Example: checked data for pond 6 (TP=0.28 kg/t).	1		
		e. Use the TP values (answer d) from different ponds to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.	E. Review farm's calculations of average TP to confirm compliance with the Requirement.	Calculations were reviewed. TP values were ranged from 0.061 to 0.62 kg/t. Average TP is 0.3 kg/t.			
3.1.4	Indicator: Amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D) Requirement: 27.5 kg/t Applicability: Ponds	Note: see instructions for Indicator 3.1.3					
		a. Specify the name and relevant qualifications/accreditations of the independent laboratory that is used to perform water quality monitoring.	A. Confirm the laboratory is suitably qualified to conduct water sampling and analyses.	See 3.1.3a.	1		
		b. Obtain laboratory results for TN concentration in pond water samples and intake water samples.	B. Review laboratory results for TP concentration.	Lab results for TN concentration were reviewed.	1		
		c. For each pond, identify the total weight of fish produced (answer from 2.4.2c), and the total volume of water discharged (answer from 2.4.1) during the crop production cycle.	C. Review accuracy of farm's data.	Data of the total weight of fish produced and the total volume of water discharged during the crop production cycle were reviewed. However, regarding to the accuracy of farm's data and the impact on water resources, during on-site visit, leakage at water supply gate was found at pond no.1&2 where water flow through the covering plastic sheet on wooden gate. In addition, the leakage was also found at the discharge gate located between sediment ponds and natural water body adjacent to the farm. Required discharge volume record revised. This leakage found also results in low TP/TN value which refer to 3.13c and 3.1.4c	1		
		d. Enter the values from b and c (above) into the Total TN discharge Formula (Annex D of the ASC Pangasius Standard) to calculate amount of TN discharged per metric ton of fish produced per pond. Repeat for each pond that was sampled.	D. Review farm's calculations to confirm accuracy.	Calculations were reviewed and are accuracy according to the farm's record data. Example: checked data for pond 6 (TN=0.46 kg/t).	1		
e. Use the TN values (answer d) from different ponds and to calculate the farm-wide average amount of TP discharged per metric ton of fish produced.	E. Review farm's calculations of average TN to confirm compliance with the Requirement.	Calculations were reviewed. TP values were ranged from 0.086 to 0.87 kg/t. Average TN is 0.37 kg/t.	1				
3.2 Criteria: Measuring water quality in receiving water body							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
		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. 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.					

3.2.1	<p>Indicator: Percentage change in diurnal dissolved oxygen [22] (DO) or 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>	a. Provide DO measurements .	A. Review dataset to confirm that monitoring covers the required timeframe.	Farm has conducted DO measurement twice a month and monitorings found to cover the required timeframe. DO has been measured since Jan 7, 2013. Ex: Max DO in the morning was 6.9 on 27.1.2014 Min DO in the morning was 5.2 on 7.1.2013 Max DO in the afternoon was 7.9 on 18.11.2013 Min DO in the afternoon was 5.8 on 13.1.2014	1		
		b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.	B. Verify the farm technicians calibrate equipment as required.	Equipment is calibrated every measurement. The equipment is calibrated manually prior to each use and sent to the lab every 3 months.	1		
		c. Calculate percent change in DDO for each monitoring date using the equation in Annex D.	C. Review calculations to confirm accuracy.	Calculations were reviewed and are accurate.	1		
		d. Use results of 3.2.1c to calculate the average percent change in DDO over the entire 12-month monitoring period. For first audits, farm records must cover ≥ 6 months.	D. Confirm the average percent change in DDO is ≤ 65%.	Calculations were reviewed for the 6 month period and are compliant. Max %DDDO was 23.9 on 18.11.2013 Min %DDDO was 3.6 on 27.1.2014 Average %DDDO was 15.16%. Result met the standard's requirement.	1		
		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.	Auditors could witness the farm taken DO measurement in the morning and in the afternoon at required timeframe: Farm value: morning 7.0 (29.StoC), afternoon 7.2 (31.2toC) Auditor value: morning 6.8 (29.StoC), afternoon 7.2 (31.toC) DDDO of farm is 5.4% and DDDO of auditor 7.6%. The values was in the range measurement. Result met the standard's requirement.	1		
Footnote	[22] DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature (biology-online.org).						
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</p> <p>Determination of the concentration of total phosphorus (TP) in water samples shall be made using the method: Kejdahl and Indo-phenol Blue. Determination of the concentration of total nitrogen (TN) in water samples shall be made using the method: Kejdahl and Ascorbic acid. Determinations will be made by a fully independent laboratory that is accredited to perform these analyses in accordance with ISO 17025. Laboratory results will be accompanied by a statement that indicates compliance to the methodology set in the ASC Pangasius Standard and this Audit Manual.</p> <p>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:</p> <ul style="list-style-type: none"> - 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. <p>Percent Change in TP = (Outlet TP Conc.) - (Inlet TP Conc.) / (Inlet TP Conc.) x 100</p> <p>Percent Change in TN = (Outlet TN Conc.) - (Inlet TN Conc.) / (Inlet TN Conc.) x 100</p> <p>When more than one pond is sampled, determine a "farm-wide average" by calculating the average percent change for all sampled ponds.</p> <p>For first audits, farm records for monitoring percent change in TP and TN must cover ≥ 6 months.</p>					
		a. Provide laboratory results for TP in water samples from inlet and outlet.	A. Review laboratory results for TP.	Lab result for TP was checked. Example: checked the result for TP of discharged water on 23.01.2013 and intake water at pond no. 2 where harvested date was on 15.3.2014.	1		
		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.	The calculation and accuracy of the percent change of TP between inlet and outlet were reviewed. Percent change of TP was 14.36. TP of outlet at pond 2 = 1.075.	1		
		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.	The average percent change of TP was 13.3%. Result is within the standard's requirement.	1		
		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.	NA. Inspection visit was not arranged at the same time of sampling	1		
	Note: see instructions for Indicator 3.3.1						
	a. Provide laboratory results for TN in water samples from inlet and outlets.	A. Review laboratory results for TN.	Lab result for TN was checked. Example: checked the result for TP of discharged water on 23.01.2013 and intake water at pond no. 2 where harvested date was on 15.3.2014.	1			

3.3.2	[25] Inlet: The water in the intake canal, as close as possible to the farm or pond being certified. [26] Outlet: The actual water being discharged, not the receiving water.	<p>b. For each pond, calculate the percent change of TN between inlet and outlet on each sampling day using the equation shown above.</p> <p>c. Use results of 3.3.2(b) to calculate the average percent change in TN over the entire monitoring period.</p> <p>d. During the on-site visit, arrange for the auditor to observe sampling of pond effluents for TP and TN.</p>	<p>B. Review calculations to verify accuracy.</p> <p>C. Confirm the average percent change in TN is $\leq 70\%$. If any single value falls outside limits, raise a non-conformity.</p> <p>D. Witness sampling for TP and TN to confirm compliance with procedures.</p>	<p>The calculation and accuracy of the percent change of TN between inlet and outlet were reviewed. Percent change of TN was 7.95. TN of outlet at pond 2 = 1.425.</p> <p>The average percent change of TN was 6.89%. Result is within the standard's requirement.</p> <p>NA. Inspection visit was not arranged at the same time of sampling</p>	1			
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.							
3.3.3	<p>Indicator: Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D)</p> <p>Requirement: 3 mg/l</p> <p>Applicability: Ponds</p>	<p>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.</p> <p>a. Provide records of DO in water discharged to the natural environment. For first audits, farm records must cover ≥ 6 months</p> <p>b. Use data from all weekly measurements to calculate the average DO in water discharged over the entire monitoring period. For first audits, farm records must cover ≥ 3 months.</p> <p>c. During the on-site visit, make arrangements for the auditor to observe calibration of equipment and measurements.</p>	<p>A. Review dataset to confirm that monitoring covers the required timeframe.</p> <p>B. Confirm DO in water discharged by farm is ≥ 3 mg/l. If any single value falls outside limits, raise a non-conformity.</p> <p>C. During the on-site visit, observe how the farm calibrates equipment and takes DO measurements (or takes samples for chemical analysis) to confirm compliance.</p>	<p>Dataset recorded from Jan 2013 was reviewed and found that monitoring covers the required timeframe.</p> <p>DO measurements were conducted twice per week at two points, inside the sedimentation pond and outside at the discharging point. In addition DO is measured before the discharging. DO at discharging point outside the sedimentation pond was ranged from 5.2 mg/l to 6.5mg/l. Result met the standard's requirement.</p> <p>During on-site visit, the audit time was not the time to discharge water from sedimentation pond. Auditors could only witness the farm staff calibrating and conducting DO measurement at the sedimentation pond. The value at the sedimentation pond was ranged from 1.25mg/l (by farm) and 1.2mg/l (by auditor). However, the farm explained that they only discharge water when the value exceeds 3mg/l. Farm's DO value at discharging point outside the sedimentation pond for 6 month data was ranged from 5.2 mg/l to 6.5mg/l.</p>	1			
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	<p>Indicator: Evidence that sludge is not discharged directly into receiving waters or natural ecosystems [28]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide a detailed sludge management plan (also see 3.5.1). The plan will ensure that no sludge in any form is discharged directly into receiving waters or natural ecosystems.</p> <p>b. Maintain records of sludge disposal to show volume or weight and condition (i.e. fresh or dried) when disposed. For first audits, farm records must cover ≥ 3 months.</p> <p>c. If sludge is transferred (e.g. for agricultural use), obtain a declaration from the receiving party that specifies the sludge volume, delivery date, and expected use. The party shall declare that the sludge will not be discharged directly into receiving waters or natural ecosystems.</p> <p>d. If a sludge repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership or a statement from the owner of right of use).</p> <p>e.</p>	<p>A. Review the farm's sludge management plan.</p> <p>B. Review records to confirm appropriate disposal according to plan.</p> <p>C. If yes to (c), confirm farm has appropriate documentary evidence.</p> <p>D. If yes to (d), inspect sludge repository during on-site visit.</p> <p>E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge directly into receiving waters on natural ecosystems</p>	<p>Farm's sludge management plan was available (issued on 25.12.2010). Sludge is given to the local people for free or stored in the sludge pond. Sludge are taken out into sludge pond twice each cycle, before harvesting and doing pond preparation.</p> <p>The farm regulates if the thickness of the sludge in the sludge pond is 20cm the sludge will be removed. Record of giving sludge were reviewed and confirms for compliance.</p> <p>Neighbor will apply for free sludge and the farm pays for sludge transportation. Record (weight, condition, delivery date, expected use) of giving sludge were reviewed and confirms for compliance.</p> <p>Two sludge repositories are located within the farm area with the volume capacity of 8400m³ and 8900m³. They are shown in the map and are inspected during onsite visit.</p> <p>Based on the interview with local communities, there's no discharge sludge into the environment</p>	1			
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.							
3.4.2	<p>Indicator: Evidence of a sludge repository of appropriate size (See Sludge Repository formula in Annex D)</p> <p>Requirement: Yes</p>	<p>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.</p> <p>Note 1: If the Sludge Repository Formula yields a negative number then the repository exceeds the minimum volume (i.e. it is an appropriate size).</p>						

	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.	Two sludge repositories are located within the farm area with the volume capacity of 8400m ³ and 8900m ³ . The min cubic meters of sludge repository as required by ASC was 14723m ³ while the total volume of sludge repositories were 17300m ³ . Calculation value meets the standard's requirement.	1		
		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.	The farm's sludge repositories were inspected during onsite visit and evidence of legal access was reviewed from farm regulation .	1		
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).	A. Review the farm's solid waste management plan.	Waste management plan updated on 6.8.2012 is available. There are four kind of wastes: recycle waste, toxic waste, normal waste (including medicine bottles), biological waste.	1		
		b. During the on-site visit, arrange for the auditor to inspect the farm's solid waste management system.	B. Inspect the farm for any evidence of solid waste (e.g. bags, containers) being discharged into the natural environment surrounding the farm.	There was no solid waste being discharged into the natural environment during on-site inspection.	1		
		-	C. Confirm that the farm's solid waste management plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	During on-site visit, there were some burning sites on the farm dykes located along the natural canal where organic waste are burned. However, some plastic debris were observed at the same area.		1	
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.	A. Inspect the farm's solid waste system for any evidence of human or animal solid wastes being discharged into the natural environment.	During on-site visit, there was no evidence of human or animal solid wastes being discharged into the natural environment. There are 5 septic toilets within the farm area.	1		
		b. For septic systems, provide a schedule for emptying and maintenance (see 3.5.4c).	B. Verify that emptying and maintenance follow the schedule.	A schedule for maintenance and emptying (once a 10 ten years) the septic systems are available	1		
		c. During the on-site visit, provide the auditor with locations of all septic toilets and a schedule for their emptying and maintenance.	C. Inspect septic toilets to verify there is no leakage or direct discharge into the natural environment. Verify that emptying and maintenance follow the schedule.	The septic toilets are inspected. There is no leakage or direct discharge in to natural environment.	1		
		d. Provide evidence for burial of animal feces (as applicable).	D. Inspect site to verify that the farm buries any animal feces (if applicable).	NA. There is no animal feces.	1		
		e. Identify septic toilets in construction contracts if possible.	E. Review construction contracts (if applicable).	Construction contract for septic toilets was available and reviewed.	1		
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.	There is a procedure to mange the chemical/medicine waste No. PL01/QT05 available and reviewed.	1		
		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.	During on-site visit, there was no evidence of chemical or medicinal wastes being discharged into the natural environment.	1		
		-	C. Confirm that the farm's plan is implemented and effective. Evaluate if there is a risk or potential for discharges.	The farm has implemented according to the procedure, hence minimal risk of discharge.	1		
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.	There is a procedure to mange the deadfish No. PL01/QT05. The plan was reviewed. Deadfish is classified into two kinds: sick or normal dead. Sick dead is considered when the deadfish rate is >=50% of total amount of stocking to 1st month old, >=30% from 1st month old to 4th month old, >=20% from 4th month old to harvest. Sick dead will be buried within the farm. Normal dead will be sold to byers. The contract with the deadfish buyers was reviewed. Normal deadfish are used as only agriculture fertilizer.	1		
		b. <u>burial, incineration, fermentation</u> : plan identifies processes, location(s) and containers.	B. Verify by inspection (as applicable).	Refer to 3.5.4a, the plan identifies for the burial process and location.	1		
		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.	1		
		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.	1		

		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.	1		
		f. <u>solid</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).	Refer to 3.5.4a, normal dead will be sold to byers. The contract with the deadfish buyers was reviewed. Normal deadfish (non sick) are use as for only agriculture fertilizer.	1		
		-	G. Confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.	Farm's plan is effectively implemented. Interview with workers confirm the disposals followed the plan.	1		
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	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. Requirement: Yes Applicability: All	a. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.	A. Review calculations. Verify the farm keeps records of energy consumption.	Records from 12.2013 to 10.2013 of energy consumption are available; Oil (5070 litres), petrol (473litres), lubricant (252 litres), power (734800kw). In total at different units are 995 litres and 734800kw. Total deadfish: 42291.5kg Correct calculation can be confirmed.	1		
		b. Provide records of mortality quantities (see Indicator 6.4.4) and their disposal method (see indicator 3.5.4). For first audits, farm records must cover at least 1 full crop per site (see preamble).	B. Verify the farm maintains accurate records of mortalities and disposals.	Farm maintains daily mortality records. This can be cross check with waste record and found compliance.	1		
BRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS							
4.1 Criteria: Presence of pangasius in the water drainage system							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
4.1.1	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 Requirement: Yes Applicability: Farms in a river basin where the species is either indigenous or has a self-recruiting stock established	Note: If the farmed species is not indigenous to the river basin and the species does not have a self-recruiting stock established, then Indicator 4.1.1. does not apply. Enter 'not applicable' here and proceed to assess farm compliance against Indicator 4.1.3. a. Provide a declaration from farm and seed supplier identifying the species (Latin name) of pangasius farmed. Maintain records of seed purchases. b. Provide a map of the river basin showing the location of the farm (see 2.1.1). c. If the farmed species is indigenous to the river basin, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization). 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. -	A. Review declarations. Confirm that the farmed species is accurately identified in purchase records. B. Review map to confirm farm location within river basin. C. Confirm that documentation shows the farmed species is indigenous to the river basin. D. Confirm that documentation shows the farmed species has a self-recruiting stock that was established in the river basin before 1st January 2005. E. Verify the identity of the farmed species by direct observation during on-site visit.	Declaration identifying the species (Latin name) of pangasius farmed from farm/hatchery are available. Species: <i>Pangasianodon hypophthalmus</i> . There is a map of a section of the river showing the location of the island. Farm is located in the Tien river basin, branch of Mekong delta. There are two publications proving the farmed specie is indigenous: "Distribution and Ecology of some important riverine species of the Mekong River Basin" issued by Mekong River Commission in 2004 and "Scientific Magazine" issued by University of Can Tho in 2008. NA, the stock is indigenous. During on-site visit, farmed species are identified.	1 1 1		
4.1.2	Indicator: If a self-recruiting stock is established, evidence of no negative impacts on the environment [33] Requirement: Yes Applicability: Farms in a river basin where the species is not indigenous and a self-recruiting stock is established	a. Provide documentary evidence: peer-reviewed papers, official government (competent authority) statements or other comparable references indicating no negative impacts. Negative impact by a self-recruiting stock includes but is not restricted to: - changing the genetic diversity of wild pangasius through interbreeding - competition (e.g. displacement of local species) - habitat destruction	A. Review evidence of no negative impact. If a self-recruiting stock has not become established in the river basin, or if the species is indigenous to the river basin, Indicator 4.1.2 is not applicable.	NA, the stock is indigenous. NA, the stock is indigenous. NA, the stock is indigenous. NA, the stock is indigenous. NA, the stock is indigenous.	1 1 1 1		
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.						
				NA, the stock is indigenous.	1		

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>	<p>a. Provide peer-reviewed papers based on field data. Theoretical analysis is not acceptable.</p>	<p>A. Review evidence provided by the farm to confirm that the farmed species cannot establish in the river basin.</p>	NA, the stock is indigenous.	1		
				NA, the stock is indigenous.	1		
				NA, the stock is indigenous.	1		
				NA, the stock is indigenous.	1		
Footnote [34] Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established.							
4.2 Criteria: Genetic diversity							
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>	See 4.1.1	1		
				Farm is located in river basin where farmed species population has established. GPS points and farm map are available. See also 4.1.1.	1		
				The source of the seed are confirmed by suppliers - RIA II. Broodstock is bought by the company own hatchery from the government (RIA2). Declaration of RIA2 indicates that broodstocks are deriving from the pangasius population naturally reproducing in the Mekong Delta.	1		
				The purchase records to identify the river-basin source of broodstock from the hatchery were available and sourcing of seed found compliance with the requirement.	1		
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							
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>	Farm's statement that the farm does not use wild-caught seed for grow out was available and verifiable .	1		
				seed supplier's statement that the seed is not wild-caught was issued in 1.6.2013 and verified.	1		
				Seed receipts for all stocking events were maintained and records of seed stocking within each farm diary were accurate.	1		
4.4 Criteria: Genetically engineered and hybridized strains							
4.4.1	<p>Indicator: No use of genetically engineered (transgenic) or hybrid seed</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide a declaration that the farm does not use genetically engineered (transgenic) or hybrid seed.</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>A. Verify declaration of no use of genetically engineered or hybrid strains.</p> <p>B. Verify that farm maintains statements from seed suppliers.</p>	Farm statement of no use of genetically engineered or hybrid strains was available .	1		
				Seed supplier's statement that the seed is not genetically engineered (transgenic) or hybrid was issued in 1.6.2013 and verified.	1		
Footnote [31] A genetically modified organism (GMO) is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC).							
4.5 Criteria: Escapees.							
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> <p>C. During the on-site visit, inspect the size of net mesh or grills to confirm compliance.</p>	Inox net mesh of 1.2cm is fixed at every outlet and inlet point of the pond. Nets mesh of 1cm are used in every outlet and inlet of the ponds in case of the stocking size is less than 1.2cm.	1		
				Records for mesh size of each pond were available.	1		
				Net installed at the inlet and outlet can be seen. Net inspection was demonstrated during the audit .	1		
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>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>	Records of net inspection were reviewed. It found that the nets are timely inspected.	1		
				Records of net repairs were reviewed and can be verified at performance.	1		

	Applicability: All	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.	Auditors witness the inspection and can confirm that the program is effective.	1		
4.5.3	Indicator: Bund [38] height sufficient [39] to prevent water spillage, along with escapees, in the rainy season when flooding occurs Requirement: Yes Applicability: Ponds	a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 10 years.	A. Review records covering ≥ 10 years or statement to establish the maximum height of high water when flooding occurs.	Official record of Dong Thap hydrography agency stating the maximum height of high water level when flooding occurs from 2004 to 2014. The record was designated on 22.1.2014.	1		
		b. Obtain a statement from local authorities or reputable organisation reporting the altitude (m above sealevel) of the bund in its lowest point. Show location of bund low-point on a map of the farm (see 2.1.1).	B. Review statement and map. During the on-site visit, inspect farm to verify that bund height is sufficient to prevent spillage when flooding occurs. Note: dyke, dike, bund and berm all have the same meaning for this criteria.	Statement reporting the altitude (m above sealevel) of the bund in its lowest point was reviewed. There is the collumn set up in the lowest position of the farm. This position posts 29 cm higher level comparing with the max height of historic flood occurring in 2000 and 34cm comparing with water level of 2011 - the highest level during 10 year of flood data (2004 - 2014)	1		
		c. Provide a written statement that there were no incidents of significant spillage or escapement due to flooding in the last 12 months.	C. During local community and employee interviews, verify there is no evidence for significant spillage or escapement from the farm in the last 12 months.	Based on the interview with local communities, there's no escape, the pond is very strong. There is no evidence of significant spillage or escapement from the farm in the last 12 months	1		
Footnote	[38] Bund: berm containing the water in the pond.						
Footnote	[39] Consider 10 years maximum water level (including cases of storms).						
4.5.4	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	a. Identify the quantity and location of all trapping devices. The term 'trapping device' does not include mesh or grid barriers (see 4.5.1).	A. Review how the farm uses trapping devices to monitor escapees. Verify that trapping devices do not injure/compromise fish (e.g. gill nets).	Trapping device is covered on the net of sedimentation pond. Net size is around 2cm.	1		
		b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.	B. Review records of inspection and observed escapees.	Records of trapping device inspection are available according to QT 28, issued on 14.12.2011. No escapees are found.	1		
		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.	No escapees has been found.	1		
		-	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.	The trapping device is located at the single exit point (sedimentation pond) which is suitable to monitor of escapees the entire farm.	1		
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.	Procedure for bund monitoring and repair was available and reviewed.	1		
		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.	Farm maintains a record of bund monitoring and repair for twice a week.	1		
		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.	During the on-site visit, auditor could conduct the inspection of farm's bunds and found no sign of collapse.	1		
		-	D. During local community and employee interviews, verify that bunds have remained intact throughout the culture cycle.	Based on the interview with local communities, bunds have remained intact throughout the culture cycle.	1		
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.	Declaration that the farm has made no intentional releases was available.	1		
		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.	Records in farm diary review that all stockings can be accounted for by harvest and sold could be confirmed. This can be linked to the receipts, transport records and to the processing plant.	1		
		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.	All stocks were accounted for in the farm diary as harvest or morts. There have been no periods of inactivity for over 3 months. It is included in the procedure that no fish can be released intentionally.	1		
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.	NA. No use uncooked and unprocessed fish or fish as feed in the farm. Only compound feed from Vinh Hoan is used.	1		
		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. No use uncooked and unprocessed fish or fish as feed in the farm. Only compound feed from Vinh Hoan is used.	1		

			C. Verify that farm records are sufficient to account for all feed used. There should be no indication of unexplained sources of feed.	No use uncooked and unprocessed fish or fish as feed in the farm. Only compound feed from Vinh Hoan is used	1		
Footnote	[43] Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen, minced, dried, meals, oils, and processing by-products).						
5.1.2	Indicator: Use of pangasius fish processing by-products [44] as feed or feed ingredients Requirement: No Applicability: All	a. Prepare a declaration that no by-products of pangasius fish processing were used as feed for pangasius at any time during the last 12 months.	A. Review farm's declaration to confirm that no by-products of pangasius fish processing were used as feed for pangasius.	Only compound feed from Vinh Hoan is used, for which a declaration is available.	1		
		b. For all feed used in the last 12 months, obtain a declaration from the manufacturer showing compliance. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.	B. Review manufacturer's declaration to confirm no pangasius by-products were in feed.	Only compound feed from Vinh Hoan is used, for which a declaration is available.	1		
		c. If farm-made feed was used in the last 12 months, prepare a declaration that no pangasius by-products were used as feed ingredients. If fish meal or fish oil was used, obtain a statement from the respective supplier confirming compliance. For first audits, farm records must cover ≥ 6 months.	C. Review farm documentation to confirm that no pangasius by-products were used in feed preparation (if applicable).	NA. No farm-made feed used, only compound feed from Vinh Hoan is used.	1		
Footnote	[44] Trimmings, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these are not counted as part of the “fish product” amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in pangasius diets.						
5.1.3	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	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.					
		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.	Only compound feed from Vinh Hoan is used. The ingredient are: Cereal product (from rice, wheat) Soybean meal Casava Vegetable oil: soybean oil, rice bran oil Fish meal :5% max, produced from the by-product from Tuna Fish oil: 0.5% max, from farm salmon oil Premix (vitamins and minerals) Amino acids The fishmeal is sourced from byproducts of LN Merlucciusshubbsi, LN Percophisi brasiliensis, LN Micropogonopeercualis, LN Cinoscion stratus (harvested from Argentina) and the oil is sourced from salmon oil (Salmon Salar) from aquaculture .	1		
		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.	Search of IUCN could be repeated. The farm has accurate result.	1		
		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. No farm-made feed used, only compound feed from Vinh Hoan is used.	1		
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.	The fishmeal is sourced from byproducts of LN Merlucciusshubbsi, LN Percophisi brasiliensis, LN Micropogonopeercualis, LN Cinoscion stratus and the oil is sourced from salmon oil (Salmon Salar) from aquaculture .	1		
		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.	Search of CITES could be repeated. The farm has accurate result.	1		
		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. No farm-made feed used, only compound feed from Vinh Hoan is used.	1		

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>	<p>NA. Byproduct and aquaculture used in fish meal and fish oil. ISEAL-certified fishmeal and oil is not available in the region.</p> <p>NA. Byproduct and aquaculture used in fish meal and fish oil ISEAL-certified fishmeal and oil is not available in the region.</p>	1		
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>A. Confirm that farm obtains information about feed ingredients.</p>	<p>NA. Byproduct and aquaculture used in fish meal and fish oil. ISEAL-certified fishmeal and oil is not available in the region.</p>	1		
		<p>b. Provide evidence of certified fish feed ingredients as for Indicator 5.1.5.</p>	<p>B. Review evidence and confirm compliance.</p>	<p>NA. Byproduct and aquaculture used in fish meal and fish oil. ISEAL-certified fishmeal and oil is not available in the region.</p>	1		
5.1.7	<p>Indicator:</p> <p>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</p> <p>To determine FishSource scores of fish species used as feed ingredients, do the following:</p> <ul style="list-style-type: none"> - 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>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>	<p>NA. Byproduct and aquaculture used in fish meal and fish oil. The feed is sourced from Vinh Hoan and currently contains 5% fishmeal and 0.5% fishoil. The fishmeal is sourced from byproducts of LN Merlucciusshubbsi, LN Percophisi brasiliensis, LN Micropogonopercuralis, LN Cinoscion stratus and the oil is sourced from salmon oil (Salmon Salar) from aquaculture.</p> <p>NA. Byproduct and aquaculture used in fish meal and fish oil. The feed is sourced from Vinh Hoan and currently contains 5% fishmeal and 0.5% fishoil. The fishmeal is sourced from byproducts of LN Merlucciusshubbsi, LN Percophisi brasiliensis, LN Micropogonopercuralis, LN Cinoscion stratus and the oil is sourced from salmon oil (Salmon Salar) from aquaculture.</p>	1		
5.2 Criteria: Efficient management of feed use on the farm							
		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			
5.2.1	<p>Indicator: Maximum weighted [50] average of economic Feed Conversion Ratio (eFCR) for the complete production cycle</p> <p>Requirement: 1.68</p> <p>Applicability: All</p>	<p>a. Obtain receipts and/or statements from seed supplier indicating average weight of seed and numbers. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review records to confirm that farm has records for all seed.</p>	<p>Farm has all records from seed supplier indicating average weight of seed and numbers</p>	1		
		<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>	<p>Farm has all records for feed showing the type of feed and the total amount used.</p>	1		
		<p>c. Maintain records (e.g. receipts) showing amount of fish harvested (see 2.4.2b). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>C. Verify the farm keeps records showing amount of fish harvested.</p>	<p>Farm has records showing amount of fish harvested and can be linked with the farm diary.</p>	1		
		<p>d. Calculate eFCR and yield for each crop harvested during the last 12 months using the formulas given in Annex D of the Pangasius Standard. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>D. Review calculations for accuracy and completeness.</p>	<p>eFCR and yields are calculated for each crop harvested and signed. FCR shows compliance to the standard.</p>	1		
		<p>e. Calculate maximum weighted average eFCR for the complete production cycle using the formula given in Annex D of the Pangasius Standard.</p>	<p>E. Review calculations for accuracy. Confirm compliance.</p>	<p>Calculation of maximum weighted average eFCR was reviewed for accuracy. Confirm for compliance.</p>	1		
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.	Feed manufacturer statement on fishmeal (5%) and signed FFER calculations were verified. Fish oil is not included in the calculation, as it originates from aquaculture.	1		
		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.	Calculated FFER for fishmeal was reviewed and confirmed for compliance. FFER for fishoil is not counted since fish sourced for fish oil was from fish aquaculture.	1		
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 $\text{Weighted Average RPM} = [(\text{RPM}E1 \times \text{Yield}E1) + (\text{RPM}E2 \times \text{Yield}E2) \dots + (\text{RPM}En \times \text{Yield}En)] / (\text{Yield}E1 + \text{Yield}E2 \dots + \text{Yield}En)$ 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.	Seed supplier receipt were reviewed. The number of seed stock into each pond were known in the receipt as well as in the farm diary.	1		
		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.	Farm diary for number of fish harvested were checked. Records were reviewed and found sufficient to determine harvest number of fish.	1		
		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%.	The mort rates were ranged from 5.8% to 25.6%, counted from 6 ponds harvested during 6 months (pond 6 with the 25.6% mortality) and pond 1 with 21.6% mortality). Average mortality rate was 16.2% which complied to the standard requirement.	1		
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.	There is a list of all inputs used including medicines, chemicals and biological products.	1		
		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).	Usages of veterinary medicines, chemicals and biological products are checked in the farm diary and confirmed during on-site inspection.	1		
		c. For the list provided in 6.2.1a, identify suppliers and contact information.	C. Review list.	List of all inputs used with contact information were available.	1		
		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.	There is the list of products approved for use in aquaculture in Vietnam according to TT 25/2012/TT- BNNPTNT issued on 22.6.2012 by Ministry of Agriculture and Rural Development.	1		
		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.	List of the farm's exports countries are: USA, EU, Australia, HongKong, Canada. Farm sale receipts were checked. Total ASC raw material products since ASC certified from 21st Feb 2013 was 4240645kg.	1		
		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).	List of the farm's exports countries is available with the list of chemical and medicine substance banned according to QD 1471/QĐ-BNN-QLC issued on 20.6.2012 by Ministry of Agriculture and Rural Development.	1		

		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.	List of contries export is available with the chemical and medicine substance banned and reviewed.	1		
		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.	List of contries export is available with the chemical and medicine substance banned.	1		
6.2.2	<p>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].</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Provide records of prescriptions, or the written advice of a suitably qualified aquatic animal health specialist [55], for veterinary medicines and chemicals used on the farm. For first audits, farm records must cover ≥ 6 months.	A. Review records of prescriptions or written advice for veterinary medicines and chemicals.	Prior to application of medication, a fish sample is sent to a lab for diagnosis and recommendation of treatment. After receipt of this the farm applies one of the treatments recommended. Prescriptions are issued and approved by the AAH prior to the application of medicines and chemicals. Prescriptions was reviewed and show compliance.	1		
		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.	Prescriptions were approved by AAH specialist.	1		
		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.	Prescriptions are issued and approved by the AAH prior to the application of medicines and chemicals.	1		
		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.	The AAH Specialist - Doan Nhat Phuong is qualified He is Master of Science - Immunology. He is allowed to do disease treatment by Vet Department. He attended the course "Aquatic Health Management Specialist on ASC Compliance in 23-25 April 2012.	1		
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: • Veterinarians with at least three months of academic training on fish health management (for a total of at least 60 hours). This training may be included with the veterinary degree. • Aquaculturists (with university or vocational degree) who have completed at least three months of training on fish pathology and treatment (for a total of at least 60 hours). This training may be included with the university or vocational degree.						
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>	a. For veterinary medicines or chemicals applied and for all mortality events notified, provide statements of the specialist indicating his/her recommendation on: - how to apply the veterinary medicine and chemicals prescribed; - how to handle & store the veterinary medicine and chemicals prescribed; - who needs to be informed about the disease; and - how to limit the spread of the disease to neighboring wild or farmed populations. For first audits, farm records must cover ≥ 6 months.	A. Review health events to verify that the farm has written recommendations from the AAH Specialist addressing each of these four points.	The health events were mentioned in the diary and checked during the audit. The prescriptions were checked.	1		
		b. Provide a declaration that the farm followed the recommendations of the aquatic animal health specialist.	B. Review farm's declaration to confirm following recommendations of the AAH Specialist.	There is farm's declaration that the farm followed the recommendations of the aquatic animal health specialist.	1		
		-	C. During on-site visits, inspect to verify proper storage according to the AAH Specialist's recommendations.	Medicine store was inspected and verified for the proper storage according to the AAH Specialist's recommendations.	1		
		-	D. During on-site visits, make direct observations to confirm there is no evidence of any of the recommendations not having been followed.	No evidence of not following the recommendation could be observed during the onsite visit.	1		
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>	a. For chemical/medicinal treatments in the last 12 months, provide daily records of product use and water temperature during withdrawal periods. For first audits, records must cover ≥ 6 months and at least 1 full crop per site (see preamble).	A. Review records from all withdrawals.	Records of withdrawals in farm diary and procedure were reviewed . Only one kind of antibiotics is used in the farm - Vimedefish. Its withdrawal time is 12 days.	1		
		b. Provide labels indicating duration of withdrawal periods. If labels do not specify a withdrawal period, provide evidence that withdrawal periods were > 750 degree days.	B. Review labels and completion dates of withdrawal periods.	Labels showing the withdrawals were checked.	1		
		c. Provide evidence (e.g. receipts) to show no fish were harvested before completion of withdrawal period during the last 12 months. For first audits, farm records must cover ≥ 6 months.	C. Evaluate evidence to verify that no fish were harvested before completion of withdrawal period.	Verification could be performed from the evaluation of farm diary records for each health events.	1		
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>	a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review list of antibiotics used.	List of antibiotics used and list of WHO were available. There is only Vimedefish used in the farm in 12 month records.	1		
		b. Prepare declaration stating that farm did not use any antibiotics critically important for human medicine as categorized by the WHO in the last 12 months.	B. Review declaration. Cross check list of antibiotics used by the farm (see 6.2.5a) against the WHO list of antibiotics critical to human medicine.	Declaration stating that farm did not use any antibiotics critically important for human medicine as categorized by the WHO was checked during the audit.	1		

		c. Provide the up-to-date list of the WHO [57]	C. Verify farm holds an up-to-date copy of the WHO list [57]	Up-to-date copy of the WHO list is used by farm.	1		
			D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection.	There is no evidence of using antibiotics critical for human medicine during the on-site visit .	1		
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						
6.2.6	<p>Indicator: Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem.</p> <p>Standard: None</p> <p>Applicability: All</p>	a. Provide declaration stating that farm does not use any unauthorized prophylactic veterinary medicines (prior to evidence of a specific disease problem)	A. Verify farm holds declaration	Farm's holding of the AAH specialist declaration stating that farm does not use any unauthorized prophylactic veterinary medicines could be verified.	1		
		b. Obtain a declaration from the aquatic animal health specialist indicating that s/he is not aware of any unauthorized prophylactic use of veterinary medicines (prior to evidence of a specific disease problem) by the farm in the last 12 months. For first audits, the period covered by the declaration must be ≥ 6 months.	B. Verify the AAH Specialist declares there is no known unauthorized prophylactic use of veterinary medicines.	AAH specialist declares there is no known unauthorized prophylactic use of veterinary medicines could be verified.	1		
		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.	Receipts of medicine purchase were kept.	1		
		-	D. During on-site visits, inspect the inventory of veterinary medicines to verify that all supplies are accounted for.	Inventory of veterinary medicines could be verified during the audit.	1		
		-	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.	Records were reconciled for the quantities purchased and the stocks held on-site	1		
6.2.7	<p>Indicator: Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters [58].</p> <p>Requirement: None</p> <p>Applicability: All</p>	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.	Declaration indicating that there has been no use of veterinary medicines (excluding vaccines) as growth promoters by the farm was obtained and could be verified for the support of AAH Specialist.	1		
		-	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.	Records were reconciled for the quantities of veterinary medicines purchased and the stocks held on-site.	1		
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	<p>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.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Prepare the farm's written pangasius health plan containing all required elements (Annex E).	A. Review health plan for compliance with Annex E.	A plan is available covering all points mentioned in the annex and implemented at the farm except pond preparation, transport seed and harsverting, farming described in Farming QT02, updated on 24.3.2014. The Health Plan is QT09 document.	1		
		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.	The plan was reviewed and signed by the AAH. Updated on the 24.3.2014.	1		
		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'.	NA	1		
		-	D. During on-site visit, verify that the plan is implemented and effective.	The plan found implemented.	1		
Footnote	[59] GlobalG.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	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	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.	Purchase record of medicines and chemical used were maintained.	1		
		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.	See 6.2.4 a. Farm diary was maintained and checked during the audit.	1		
		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.	Signed declarations stating the date, dianosis, treatment and withdrawal times from the AAHS were verified.	1		
		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.	Signed declaration identifying any chemicals or veterinary medicines that were used in production of seed from seed suppliers - Thoi Lai hatchery - was available.	1		

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>	<p>Records for seed quality are maintained.</p>	1		
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>	<p>Fish are monitored daily for number of dead fish and it is only recorded when there are specific signs of e.g. stress. In addition, there is a fortnightly report on the stress situation.</p>	1		
Footnote	[60] Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion).						
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>Instructions to Clients for Indicator 6.4.4 - Establishing a Threshold for the Reporting of Mortality Events</p> <p>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; - the farm's aquatic health specialist must set and approve the threshold value, not the farmer; and - the farm must describe how the threshold was established in the farm's Pangasius Health Plan. 					
		<p>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>	<p>Daily mortality records were available.</p>	1		
		<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>	<p>AAH Specialist reviews the daily mortality records and signs in the farm diary.</p>	1		
		<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>	<p>Proposed mortality threshold is done by surveying in the 61 ponds of the two recently crops. It is reviewed annually and updated on 24.3.2014 in Health Management Plan.</p> <p>Fist two weeks: < 0.3%</p> <p>Third week to 1st month: < 0.15%</p> <p>1st month to 4th month < 0.07%</p> <p>4th - 6th month < 0.05%</p> <p>7th month to harvest < 0.03%</p> <p>- For disease outbreak: mortality is counted as follows:</p> <p>Stocking to 1st month: ≥50%</p> <p>1st - 4th month: ≥30%</p> <p>4th - harvesting: ≥20%</p>	1		
		<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>	<p>Record of deadfish, antibiotics used and withdrawal period was kept. The report of all mortality events exceeding threshold has been established.</p>	1		
6.5 Criteria: Fish welfare.		Compliance Criteria (Required Client Actions):		Auditor Evaluation (Required CB Actions):			

6.5.1	<p>Indicator: Minimum average growth rate</p> <p>Requirement: 3.85 g/day</p> <p>Applicability: All</p>	<p>Instructions to Clients for Indicator 6.5.1 - Calculating Average Growth Rate</p> <p>Annex D of the ASC Pangasius Standard provides formulas for calculating yield and average growth rate (AGR). Farms must perform these calculations using harvest and stocking data from individual ponds (i.e. it is calculated on a crop-by-crop basis). It should be done as follows:</p> <p>Yield (from Pond1) = total weight of fish harvested (from Pond1) - total weight of fish stocked (Pond1)</p> <p>AGRP1 = YieldP1 / duration of production cycle (Pond1)</p> <p>Where weights are given in grams (g), duration is given in number of days (d), AGR is computed in units of grams per day (g/d), and enclosures are identified by subscripts P1, P2, P3 etc.</p> <p>Repeat the AGR calculations for the second pond, third pond... etc. until an AGR has been determined for each pond that was harvested. For first audits, records must cover at least 1 full crop per site (see preamble). Next calculate the farm-wide weighted average AGR using the following formula:</p> <p>Weighted Average AGR = [(AGRP1 x YieldP1) + (AGRP2 x YieldP2) ... + (AGRPn x YieldPn)] / (YieldP1 + YieldP2 ... + YieldPn)</p> <p>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 verify average fish weight at stocking, average fish weight at harvest, and average duration of production cycle. Auditors shall review the farm's calculations of observed growth rate and monitor whether the farm is in compliance.</p>					
		<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>A. Verify farm maintains records of the weight of fish stocked in each enclosure.</p>	<p>The weight of fish stocked is registered in each farm diary for each pond</p>	1		
		<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>B. Verify farm maintains records of the weight of fish harvested from each enclosure.</p>	<p>The weight of fish harvested is registered in each farm diary for each pond</p>	1		
		<p>c. Calculate the average growth rate of fish in each enclosure as described above (see instructions).</p>	<p>C. Review calculations to confirm accuracy and completeness.</p>	<p>Farm AGR's calculation is based on the weight of fish stocked at around 20gram and fish harvested around 800g- 980g. Calculations were reviewed, show accurately and completely.</p>	1		
		<p>d. Using results of 6.5.1c, calculate the farm-wide weighted average AGR.</p>	<p>D. Verify that the farm-wide weighted average AGR complies with requirements.</p>	<p>Farm-wide weighted average AGR is 3.85 (ranged from 3.04 to 4.3). This value meet the standard's requirement. However, in 6 ponds harvested from Sep 2013 to March 2014, there was 1 pond having the AGR lower than standard.</p>	1		
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>A. Review farm's calculation of surface area for each enclosure and confirm by inspection during on site audit.</p>	<p>Surface area is recorded in all farm diaries and was confirmed during on-site visit.</p>	1		
		<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>B. Confirm the farm keeps accurate record of total weight of fish harvested from each pond and/or pen.</p>	<p>Harvest weights were recorded at harvest on farm and compared with the weights at processing.</p>	1		
		<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>C. Review calculations for fish density at harvest to verify compliance.</p>	<p>Fish density at harvest was checked during the audit. Calculation was reviewed and compliant.</p>	1		
		<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>D. Review monthly estimates of fish density to verify compliance.</p>	<p>Fish density was estimated monthly. However, during the audit, there was one pond randomly checked found to have higher density (42 kg/m²) than the standard required.</p>		1	
6.5.3	<p>Indicator: Maximum fish density at any time</p> <p>Requirement: 80 kg/m3 for cages</p> <p>Applicability: Cages</p>	<p>a. Provide a description of the system specifying the total number of cages and volume (m³) of each cage.</p>	<p>A. Review farm's calculation of volume for each cage and confirm by inspection during on site audit.</p>	<p>NA. Ponds.</p>	1		
		<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>B. Confirm the farm keeps accurate record of total weight of fish harvested from each cage.</p>	<p>NA. Ponds.</p>	1		
		<p>c. For each cage, divide the weight of fish harvested (result from 6.5.3b) by the volume of the cage (results from 6.5.3a) to calculate fish density (kg/m³). For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>C. Review calculations for fish density at harvest to verify compliance.</p>	<p>NA. Ponds.</p>	1		

		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. Ponds.	1			
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.	NA. No use of other lethal predator control devices. Only rat traps are applied in the farm.	1			
		-	B. Inspect sites to verify no use of lethal predator controls.	Only rat traps are applied in the farm. No use of other lethal devices.	1			
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 fish on the farm, be endangered or pose a conservation concern.							
6.6.2	Indicator: Mortality of IUCN red listed species. Requirement: 0 (zero) Applicability: All	Instruction to Clients for Indicator 6.6.2 - Presence of IUCN Red Listed Species Determine whether IUCN red list species are present in the region as follows: - go to http://www.iucnredlist.org/ - follow to "other search options" - select "Taxonomy" - select "Animalia" - indicate appropriate "Location", "Systems", "Habitat", - click on "run search" and record animal species listed and whether they are threatened by the farming activity. 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 a farm complies with indicator 6.6.2, species in the following IUCN categories may be excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".						
		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.	IUCN red list search is available and accurate. A record of all IUCN red list species in the area is available.	1			
		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).	Procedure to deal with, in case of seeing any species in the red list, is available, appropriate and implemented. The procedure is interpreted with photos & short instructions for workers.	1			
		-	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)].	see 6.6.2 a)	1			
Total								
Total should amount to 237						239	4	0

Table 2

Vinh Hoan - Tan Thuan Tay farm					NC	action plan	deadline	action plan approved by IMO	Status of implementation of action plan		
criteria	Date of finding	recomen-dation	minor NC	major NC					initial/recertification	surveillance I	surveillance II
						Root Cause: xxx Corrective Action: xxx Timeframe: xxx			2014	2015	2016
7.8.1	4/2/2014		1		<p><u>Working hours</u></p> <p>All last one years' timesheets were provided for review. All the working hours were manually recorded by the administrative staff, however, manual working hour records for workers were found without signature as confirmation. It is recommended that workers' signatures should be maintained on working hour records on weekly basis.</p> <p>Remark: Signature was included in the payroll sheet where total working hour numbers were displayed.</p>	<p>Root Cause: workers can confirm their working time every month in the salary form. So they may not remember their working time.</p> <p>Corrective Action: Worker can check and sign their working time every week. Working timesheet is displayed at the office.</p> <p>Timeframe: 7th april 2014 (Action plan has been submitted on 21.4.2014)</p>	7.4.2014	approved	done (Weekly signed work sheet was submitted on 21.4.2014)		
7.14.1	4/2/2014		1		<p><u>Conflict resolution policy</u></p> <p>The farm had developed a conflict resolution policy, however, they didn't send a copy of complaint procedure to external parties, and also didn't set up an effective communication channel between the farm and local communities. Although the farm had complaint box and internal procedure established, most of the local communities were still not aware of the these. It is recommended that the farm should send a copy of conflict resolution policy to external parties.</p> <p>Remark: based on the interview with local communities, it was noted that some farmers lived nearby did have complaints about common water resource which they can use for free before, but now the company built the sedimentation pond (which is in compliance with the local law) and the farmers could not have that much water any more for agriculture.</p>	<p>Root Cause: Normally, we think that we can talk via the meeting with local community and they can remember our procedure. However through meeting on 2nd april, we know that is not the effective way for them because people can not remember that procedure.</p> <p>Corrective Action: We give them our complaints procedure and also explain with them our procedure as well.</p> <p>Timeframe: 2th april 2014 (Action plan has been submitted on 21.4.2014)</p>	7.4.2014	approved	done (Evidence of complaint procedure received by community was submitted on 21.4.2014)		
Total			0	2	0						
examples:						see report (for minors)	see report	ok	open		
						corrective measure implemented (for majors)		na	done		

AUDIT MANUAL - ASC Pangasius Standard
Created by the Pangasius Aquaculture Dialogue

Scope: *Pangasianodon hypophthalmus, Pangasius bocourti*

Preamble:
 In order to determine the level of compliance against the ASC Pangasius Standard it is essential to use information of completed crop cycle(s), or on a specific point in time in the crop (e.g. stocking) for several requirements. For this reason, for first audits, it is necessary for farms to present full data on at least one or more completed crop cycle(s) per site at the time of the assessment.

Therefore, at the time of the first audit:

- farmer must be able to show full records (e.g. feed-use, mortality rate, etc.) of at least 1 completed crop cycle per site (i.e. from stocking to harvest) and the relevant information for all the crops stocked after having stocked that crop
- certifier must use these records of each site to calculate the level of compliance of the relevant indicators

Applicable to all relevant requirements in this Audit Manual:
Client: At first audit: data of at least 1 full crop cycle per site must be made available to certifier.
Auditor: At first audit: data of at least 1 full crop cycle per site must be used to determine compliance.

add "1" per criteria in applicable column below:

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.

Initial/Recertification

PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO			Evaluation results			
7.1 Criteria: Labor law			Description	ok	minor	major
Compliance criteria (Required Client Actions):						
7.1.1	Indicator: Compliance with labor laws in the country where pangasius is produced Requirement: Yes Applicability: All	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.	The farm obtains all the national and local labor regulations in hardcopies, which related to labor contracts, child labor, working time, health and safety etc. Mr. Ngo Minh Hai was the responsible person for all the regulation collecting and updating. He would be informed by the local government of the change whenever there was any.	1		
		b. Ensure that the farm and all employees on the farm comply to the labor regulations.	All the national and local labor regulations would be communicated to all employees via orientation training, on-going training, management & employee meeting as well as the annex of labor contract.	1		
7.2 Criteria: Child labor [62] and young workers [63]						
Compliance criteria (Required Client Actions):			1			
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	Indicator: Minimum age of workers Requirement: Yes Applicability: All	a. Maintain a list of all employees employed in the farm indicating date of birth	Currently there were 26 employees and 2 managers, the farm maintains a list of all employees which contains the birth date. This list would be updated whenever there's anyone resigned or joint. Mr. Ngo Minh Hai was also the person in charge.	1		
		b. Maintain copies of the official ID of all the employees listed showing date of birth	All 28 official ID copies were provided and reviewed by the auditor, birth date was displayed in the ID.	1		
		c. Ensure that no employee is younger than 15 years old (use birthdate to calculate exact age), see footnote [62]	As per document review, the youngest age in this farm was above 18, the farm was clearly aware of the minimum age requirement in this country, and they would never hire child labor as per their declaration. Meanwhile, no young looking worker was found during the onsite tour.	1		
		d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 15 years old.	The farm obtained a declaration which was established in August 2010, as well as in the labor contract with each employee stating that the farm was against child labor and would not employ anybody younger than 15.	1		
7.2.2	Indicator: For workers under 18 years olds 1 - Work does not jeopardize schooling 2 - Work, when added to the hours of schooling, does not exceed 10 hour/day 3 - Work is restricted to light work [64] 4 - Work is restricted to non-hazardous work [65] Requirement: Yes Applicability: Farms with employees younger than 18 years old	a. Ensure that the contracts for workers below 18 years old state the rights of young workers (as indicated in this Requirement) and job descriptions are detailed enough to allow auditors to assess that, for such workers, work is restricted to light work and is not hazardous	Not applicable. No young worker was hired by this farm.	1		
		b. Maintain records of schooling commitments of each employee younger than 18 years old	Not applicable. No young worker was hired by this farm.	1		
		c. Maintain daily records of working hours for all workers younger than 18 years old. For first audits, farm records must cover \geq 6 months.	Not applicable. No young worker was hired by this farm.	1		
		d. Ensure that young workers' rights as indicated in this Requirement are duly respected in the farm	Not applicable. No young worker was hired by this farm.	1		
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					
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	All the contracts with employees stated that workers were free to terminate their relationship with this farm by notifying the employer in advance. And payments would be issued until the last day of their service.	1		
		b. Ensure that workers' rights as indicated in this Requirement are duly respected.	Based on the interview with workers, they confirmed that the freedom of terminating the employment relationship was not limited, they can leave the farm with all the payments with in advance notification.	1		
		c. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers	Based on the interview with workers, they confirmed that nobody withholds their original identity papers in the farm, they had never been asked to submit any of these documents ever.	1		
		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	Based on the interview with workers, they confirmed that they would be fully paid at 5th to 15th of each month for the preceding month, no one withhold any part of their salaries, benefits etc.	1		
		e. Ensure that no employee is obligated to work at the farm to repay debt	No debt worker in this farm as per interview with both management and employees.	1		
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>	a. Maintain a list of all the health and safety hazards in the working and living environment of employees	A risk assessment covers both working and living areas was established and taken care by Mr. Ngo Minh Hai. This risk assessment covered all the health and safety hazards in this farm with corresponding protection measures done.	1		
		b. Provide Standard Operating Procedures (SOP) or Safe Practice guidelines (SOP) for all health and safety hazards listed	The SOP for safety practicing on health and safety hazards were established in March 2014, which was approved by senior management.	1		
		c. Ensure that employees are complying to the farm SOP on health and safety and that are adequately protected against hazards	The SOP was communicated to all employees during orientation training, on-going training, as well as onsite poster. The interview with workers demonstrated their understanding on SOP was corrected, and PPE provided to them were effective and adequate.	1		

	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>d. Ensure that employees have constant access to potable/safe drinking water</p>	<p>Bottle water was provided to workers without limitation. Workers were free to have these water without any charge. The testing report conducted in 2011 was also provided which proved that the water quality met the standard. Non-drinkable water was not marked while workers were all clear that only bottle water were drinkable.</p>	1		
		<p>e. Ensure that sanitary conditions for the safe disposal of human waste are in practice.</p>	<p>All the human wastes were collected and disposed by the local qualified disposal company. And for the internal disposal, it was managed by the farm cleaner.</p>	1		
		<p>f. Ensure that the employees' housing is constructed of materials able to withstand local conditions</p>	<p>Dormitories were provided to workers, and it proved was constructed of materials able to withstand the local conditions, although it is very seldom to have extraordinary weather at this place.</p>	1		
7.4.2	<p>Indicator: Workers are aware of the health and safety hazards [69] at the work place and how to deal with them</p> <p>Requirement: Yes</p> <p>Applicability: All, Farm-Wide</p>	<p>a. Ensure that all workers are aware of the hazards listed on 7.4.1a and of the SOP in 7.4.1b</p>	<p>Workers had received in-house training regarding hazards control, posters were also available onsite. The trainer was Mr. Ngo Minh Hai/ farm manager and training records were provided for review.</p>	1		
Footnote	<p>[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.</p>					
7.4.3	<p>Indicator: The employer records all accidents, even if minor [70], and take preventive and corrective action for each</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain records of of all accidents and corrective actions taken. For first audits, farm records must cover \geq 6 months.</p>	<p>According to the last one year's record, there had been no accident ever, while the format maintained by the farm includes accident details, corrective action, preventive action, date, root cause and responsible person.</p>	1		
		<p>b. Ensure that corrective actions are in place as relevant</p>	<p>According to the last one year's record, there had been no accident ever, while the format maintained by the farm includes accident details, corrective action, preventive action, date, root cause and responsible person.</p>	1		
Footnote	<p>[70] Accidents that could not be handled in-house, the person was taken to the closest clinic</p>					
7.4.4	<p>Indicator: Employer ensures that all permanent workers have health insurance [71]</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Maintain a list of all permanent workers</p>	<p>A list of all 26 permanent workers was maintained by the farm.</p>	1		
		<p>b. Provide evidence showing health insurance coverage for all permanent workers</p>	<p>All employees were covered by health insurance one month after being hired by the farm, which was in compliance with local law. Workers only needs to pay the VND 21,000 per year for their own part.</p>	1		
Footnote	<p>[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.</p>					
<p>7.5 Criteria: Freedom of association and collective bargaining [72]</p>						

		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	<p>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].</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain copies of employees' contracts and ensure that contracts explicitly state the right of freedom of association.	All 26 permanent workers' labor contracts were well maintained and it had specified the right of freedom of association.	1		
		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 of employers or employers' organizations.	A trade union existed in this farm, workers were all aware of their rights of joining trade union or even establish the union. And according to their saying, their rights were not limited by the management.	1		
		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).	The trade union was established in 2011 and currently there were 24 members in total. The chairman was Mr. Nguyen Van phuong. Regular meetings were conducted in every two or three months.	1		
		d. Ensure that trade union representatives have access to their members in the workplace at reasonable times.	The union representatives were in touch with every members and members could easily access representative at any time they want. Contact numbers and posters were posted onsite.	1		
		e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all.	All 26 permanent workers' labor contracts were well maintained and it had specified the right of freedom of association.	1		
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):				
	<p>Indicator: Workers do not suffer any discrimination [75] from the</p>	a. Provide and ensure the implementation of an anti-discrimination policy, stating that the company does not engage/support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.	The farm maintained anti-discrimination policy and procedures, 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.	1		

7.6.1	employer or other workers Requirement: Yes Applicability: All	b. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover \geq 6 months.	Based on the last one year's records, there had been no promotion for workers/managers, salary changes were reflected in payroll sheet directly. External training opportunity was not available but internal training records were provided for review.	1		
		c. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers.	A policy of protecting pregnant and lactating mothers was developed by the farm. It specified that pregnant women had one hour's leave everyday from 7 months until 1 year's lactating. Meanwhile, no hazardous contact and no overtime work. Based on the interview, there's no pregnant or lactating mother in this farm right now.	1		
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 Requirement: Yes Applicability: All	a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).	Based on the interview with workers, all of them were satisfied with their management, they were well treated and respected.	1		
		b. Ensure that no deductions in pay are made for disciplinary actions (e.g. for the accidental breaking of equipment)	The only disciplinary measure could be verbal warning only, no wage deduction had been made for disciplinary actions.	1		
7.8 Criteria: Working hours						
Compliance criteria (Required Client Actions):						
7.8.1	Indicator: Maximum number of regular working hours Requirement: 8h/day or 48h/week (although these do not have to be consecutive hours) Applicability: All	a. Maintain timesheets for all employees. For first audits, farm records must cover \geq 6 months.	All last one years' timesheets were provided for review. All the working hours were manually recorded by the administrative staff, however, manual working hour records for workers were found without signature as confirmation. It is recommended that workers' signatures should be maintained on working hour records on weekly basis. Remark: Signature was included in the payroll sheet where total working hour numbers were displayed.		1	
		b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week	Workers' daily regular working hours didn't exceed 8 hours, and the weekly regular working hours didn't exceed 48 hours.	1		
7.8.2	Indicator: Workers have the right to leave the farm after completing the standard work-day Requirement: Yes Applicability: All, Farm-Wide	a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).	Based on the tour and worker interview, all workers were free to leave the farm during their allocated free time.	1		
		b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave	All contracts had specified worker's right to leave freely.	1		
	Indicator: Minimum time off	a. Ensure that all workers residing at the farm have the right to 2 nights off/week	Based on the interview and timesheet review, no one had worked at night ever.	1		

7.8.3	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	b. Ensure that all workers have at least 4 days/month off c. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover \geq 6 months.	Based on the interview and timesheet review, at least one day off was entitled to all workers, they worked consecutively 6 days at most. All last one years' timesheets were provided for review.	1		
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) b. Maintain timesheets for all employees (as in 7.8.1a). For first audits, farm records must cover \geq 6 months. c. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights d. Maintain records of payments for overtime hours	Based on the interview with workers and timesheet review, there had been no overtime work arranged to workers ever. All last one years' timesheets were provided for review. In the working hour policy and labor contracts maintained by the farm, it specified that the maximum overtime work would be 12 hours per week, all OT should be voluntary and OT would be paid at 150%, 200% and 300% which was in compliance with local law. Not applicable. No overtime work in this farm.	1		
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. 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 c. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees d. Maintain receipts of salary payments. For first audit, receipts must cover \geq 6 months.	The farm maintained the legal announcement of updated minimum wage for the city where the farm located at. It was VND 2,100,000 per month and updated in Jan 2014, the previous number was VND 1,800,000 per month. Not applicable. Minimum wage was established by law. The labor contract maintained by the farm indicated that at least minimum wage would be paid to all employees. A pay slip was provided to each worker as receipt of salary payments, meanwhile workers would sign on the payroll sheet as a confirmation.	1		

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	Almost all the workers had the same basic salary which met the local minimum wage standard, except for two managers who were paid higher. The basic rule of setting wage was follow the local minimum wage standard, and meanwhile, the farm would also include worker's qualification and work skills into consideration.	1		
		b. Ensure that employees are aware of the mechanism used for setting wages	The interview with workers demonstrated that they basically know the mechanism used for setting wages, and they had no feedback.	1		
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	Salaries were paid in cash every month.	1		
		b. Maintain records of payments indicating the method of payment	Workers signed on the payroll sheet as a confirmation of cash payment of each month.	1		
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	Based on the interview, workers all stated that they got a copy of their labor contract when they joint this farm.	1		
		b. Ensure that employees understand their labor contracts	The interview with workers demonstrated that they were clearly about the items in labor contract and they had no disagreement on that.	1		
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	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	Worker's probation time would be no longer than 1 month, which was specified in the labor contract and workers were all aware of it.	1		

7.10.2	<p>university degree</p> <p>Requirement: 1 month</p> <p>Applicability: All</p>	b. Ensure that probation times are understood by employees and respected	Worker's probation time would be no longer than 1 month, which was specified in the labor contract and workers were all aware of it. Orientation training also covered the subjects mentioned in the contract.	1		
7.10.3	<p>Indicator: Maximum length of probation period stated in the contract for farm managers and workers with an university degree</p> <p>Requirement: 2 months</p> <p>Applicability: All</p>	a. Maintain copies of contracts of farm managers and workers with a university degree) and ensure that the probation time is clearly stated and does not exceed 2 months	Manager's probation time would be no longer than 2 month, which was specified in the labor contract and managers were all aware of it.	1		
		b. Ensure that probation times are understood by employees and respected	Manager's probation time would be no longer than 2 month, which was specified in the labor contract and managers were all aware of it.	1		
7.11 Criteria: Management system						
Compliance criteria (Required Client Actions):						
7.11.1	<p>Indicator: The employer ensures all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	a. Maintain complaint boxes for employees throughout the farm.	There's one complaint box installed at the farm, and farm management would open it on weekly basis.	1		
		b. Ensure that workers are aware of the use of complaint boxes and are encouraged to use them by farm management	Workers were trained on how to use the complaint boxes but there's no record showed that they had any complaints about this farm before.	1		
7.11.2	<p>Indicator: Percentage of issues raised by workers which are registered, tracked and responded to by the employer</p> <p>Requirement: 100%</p> <p>Applicability: All</p>	a. Maintain a register recording issues raised by workers (including complaint forms), date and response taken. For first audit, register must contain all records of the previous \geq 6 months.	Based on the last one year's records, there had been no complaint raised by workers in this farm.	1		
		b. Ensure that employees have access to the register at reasonable times	The complaint box was located at open air, workers were not restricted of accessing the complaint box.	1		
7.11.3	<p>Indicator: Percentage of complaints that are resolved^[80] within one month after being received^[81]</p> <p>Requirement: 90%</p> <p>Applicability: All</p>	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives.	Not applicable. Based on the last one year's records, there had been no complaint raised by workers in this farm.	1		
		b. Record the issues being resolved in the register as for 7.11.2a	Not applicable. Based on the last one year's records, there had been no complaint raised by workers in this farm.	1		
		c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month	Not applicable. Based on the last one year's records, there had been no complaint raised by workers in this farm.	1		
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	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	Not applicable. Based on the last one year's records, there had been no complaint raised by workers in this farm. However, the farm maintained the relevant procedure for complaints.	1		
	Requirement: Yes Applicability: All	b. Ensure that the plan is adhered to	Not applicable. Based on the last one year's records, there had been no complaint raised by workers in this farm.	1		
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]	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.	A declaration of commitment was in place to contract only suppliers and service providers that ensure suitable health and safety condition	1		
	Requirement: Within 1 year from achieving certification Applicability: All	b. For subsequent audits, ensure that all health and safety conditions as indicated in these Requirements (i.e. within Criteria 7.1, 7.2 and 7.4) are respected by all the employees of suppliers and service providers who are working in the farm	Not applicable, this is an initial audit.	1		
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	a. Maintain timesheets for all employees. For first audits, farm records must cover \geq 6 months.	All employee's timesheets for the last one year were provided for review.	1		
	Requirement: Yes Applicability: All, Farm-Wide	b. Maintain a list of all employees employed in the farm	A list of all 26 permanent workers was maintained by the farm.	1		
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.	A p-SIA report was developed by the farm in Jan 2014, by a qualified external company. This is the first time they conduct p-SIA report.	1		
	Requirement: Yes Applicability: All	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	A p-SIA report was developed by the farm in Jan 2014, by a qualified external company. This is the first time they conduct p-SIA report.	1		
Footnote	[84] p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project (e.g., a farm or farm development) undertaken in such a manner that all stakeholder groups have input in process, results and outcome of such an assessment, and that steps taken and information gathered is openly accessible to all.					
	Indicator: Local communities ^[85] , local government and at least one civil society organization chosen by	a. Maintain records of all the people having received copy of the p-SIA	It was confirmed by the signature sheet that all the relevant people had received a copy of the p-SIA.	1		

7.13.2	community have a copy of the p-SIA in locally appropriate language Requirement: Yes Applicability: All	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).	It was confirmed by the signature sheet that all the relevant people had received a copy of the p-SIA, which including a representative of the local community and a representative of the local government.	1		
Footnote	[85] Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and are joined by collective engagements within a geographically confined area. Four common indicators are 1.) a state of organized society in small form (town, village, hamlet) that recognizes a single representative (leader, formal or informal); 2.) the people inside a confined geographical area; small enough to allow face-to-face interaction as the main form of contact between the individuals within the group; 3.) having a common good or a common interest and recognizing that, and been recognized as having that; and 4.) A sense of common identity and characteristics (i.e., "we" versus "them" feeling) on either/or social, cultural, economic, ethnic grounds.					
7.14 Criteria: Complaints by local communities						
Compliance criteria (Required Client Actions):						
7.14.1	Indicator: A verifiable conflict resolution policy [86], [87], for local communities is developed and applied Requirement: Yes Applicability: All	a. Prepare and ensure the application of a conflict resolution policy for local communities	The farm had developed a conflict resolution policy, however, they didn't send a copy of complaint procedure to external parties, and also didn't set up an effective communication channel between the farm and local communities. Although the farm had complaint box and internal procedure established, most of the local communities were still not aware of the these. It is recommended that the farm should send a copy of conflict resolution policy to external parties. Remark: based on the interview with local communities, it was noted that some farmers lived nearby did have complaints about common water resource which they can use for free before, but now the company built the sedimentation pond (which is in compliance with the local law) and the farmers could not have that much water any more for agriculture.		1	
		b. Maintain records of all the people having received copy of the policy	No record of receiving the conflict resolution policy		1	
		c. Obtain signatures from at least 50% of the people having received copies of the policy. The people signing must include at least: a representative of the local community (if such a representant can be identified by the majority of the community), a representative of the local government and one civil society organization (if available).	No record of receiving the conflict resolution policy		1	
		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)	According to the policy and procedure developed by the farm, regular meeting between local communities and the farm would be arranged twice per year. Due to the management system was just established in 2014, so there's only one meeting record available for review now.	1		
Footnote	[86] The policy shall state how conflicts and complaints will be tracked transparently and explain how to respond to all received complaints.					

Footnote	[87] The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local government and at least one civil society or customary organization chosen by the community shall have access to the conflict resolution process and the documentation thereof. A conflict is deemed resolved if both parties in the negotiation process have agreed to take it off the agenda.					
7.14.2	Indicator: Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used Requirement: Yes Applicability: All	a. Maintain complaint boxes in public locations reachable by the local community.	The complaint box was installed at the farm gate without access limitation.	1		
		b. Retain complaint forms submitted by local communities. For first audits, records must include at least previous \geq 6 months.	Not applicable. No complaints had been received before this audit.	1		
		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)	Not applicable. No complaints had been received before this audit.	1		
		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 \geq 6 months.	Not applicable. No complaints had been received before this audit.	1		
7.14.3	Indicator: Percentage of conflicts resolved within the date of being filed Within 6 months 50% Within 1 year 75% Within 2 years 100% Applicability: All	a. Maintain a register of complaints as per 7.14.2d, clearly identifying what complaints have been resolved and the resolution date	Not applicable. No complaints had been received before this audit.	1		
		b. Maintain minutes of community meetings as per 7.14.1d showing issues discussed and issues resolved	Not applicable. No complaints had been received before this audit.	1		
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	The list of all employees employed by the farm contains place of origin.	1		
		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 \geq 6 months	There were 8 to 9 employees hired in the last one year, whom were from another place other than the location of the farm. A copy of the advertisement was provided for review.	1		
		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 \geq 6 months	There were 8 to 9 employees hired in the last one year, whom were from another place other than the location of the farm. The list of all employees employed by the farm contains the name, address and contact number of all the reference people.	1		
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 Applicability: All	a. Maintain a list of all employees employed in the farm indicating also place of origin as in 7.15.1a	The list of all employees employed by the farm contains place of origin.	1		
		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.	There were 8 to 9 employees hired in the last one year, whom were from another place other than the location of the farm. And the farm maintained a written explanation for employing workers outside the local community.	1		
Total				89	4	0