

| <h1>ASC Audit Report</h1> | | | | | |
|---------------------------|-------------------------------------|--------------|--------------------------|-----------------|-------------------------------------|
| Tilapia | <input type="checkbox"/> | Pangasius | <input type="checkbox"/> | Bivalves | <input checked="" type="checkbox"/> |
| Initial | <input checked="" type="checkbox"/> | Surveillance | <input type="checkbox"/> | Recertification | <input type="checkbox"/> |

| | |
|--|--|
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| Name contact person / Persona de contacto | JOSE LUIS BELLINA |
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| Certificate code / Código de certificado | CUP-C831440-ASC-01-2015 |
| Date of issue of certificate / fecha de emision de certificado | 17-03-2015 |
| Date and length of audit / fecha y duración de la auditoria | MAY 15TH – 16TH 2014 |
| Audit Team / Equipo auditor | LEAD AUDITOR: EFRAIN CALDERON PAYARES SOCIAL AUDITOR: KENLLY MORA TECHNICAL EXPERT PRINCIPLES 1 TO 6: NICK PFIFFER |
| Name client / Cliente: | NEMO CORPORATION SAC MARICULTURA DEL NORTE SAC |
| Number and % of members evaluated (in case of group certification) | N/A |
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1. METHODOLOGY

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

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

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

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

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

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

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

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

2. REPORT

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

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

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

NEMO CORPORATION AND MARICULTURA DEL NORTE SAC MARNOR are 2 legal entities related with ACUAPESCA group that applied to the ASC Bivalves CLUSTER OF SITES certification. These 2 companies are dedicated to the production of scallops (*Argopecten purpuratus*) in suspended lanterns that hang from main lines about 10 m below the surface. The production areas are located in NONURA BAY, SECHURA, PIURA. These areas are concessions granted by the Production Ministry to perform the scallops production activity. The production cycle starts with stocking in lanterns from seed that can be obtained by an owned hatchery located in the shore next to the productions areas or by natural collection in other concessions. Then juvenile scallops goes from various changes of lanterns until they get the commercial size. The grown up scallops are harvested moving the entire lantern to the shore where are extracted and transported alive to a processing unit owned by ACUAPESCA Group.

NEMO CORPORATION AND MARICULTURA DEL NORTE SAC MARNOR son 2 entidades jurídicas relacionadas con el grupo ACUAPESCA que aplican a la certificación CLUSTER DE SITIOS ASC Bivalvos. Estas 2 empresas se dedican a la producción de concha abanico (*Argopecten purpuratus*) en linternas suspendidas que cuelgan de líneas principales 10 m por debajo de la superficie. Las zonas de producción están ubicadas en el región de NONURA BAY, SECHURA, PIURA. Estas áreas son concesiones otorgadas por el Ministerio de la Producción para realizar la actividad de producción de vieiras. El ciclo de producción comienza con la siembra en linternas de la semilla que se pueden obtener por un criadero de propiedad situado en la orilla junto a las zonas de producción o por colección natural en otras concesiones. Luego las vieiras juveniles tienen varios cambios de linternas hasta que consiguen el tamaño comercial. Las vieiras adultas se cosechan moviendo toda la linterna a la orilla donde se extrae y se transporta viva a una unidad de procesamiento de propiedad de Grupo ACUAPESCA .

The quality and operation management is common to the 2 legal entities and resources like workers, boats, seed and procedures are shared. These farms are certified with the standard Friend Of The Sea for scallops aquaculture.

La gestión de la calidad y operaciones es común a las 2 entidades legales y recursos, como los trabajadores, los barcos, las semillas y los procedimientos son compartidos. Estas fincas están certificadas con la norma Friend of the Sea para acuicultura de scallops.

2.2 Summary

PRINCIPLE 1. OBEY THE LAW AND COMPLY WITH ALL APPLICABLE LEGAL REQUIREMENTS AND REGULATIONS WHERE FARMING OPERATION IS LOCATED

PRINCIPIO 1. OBEDECER LA LEY Y CUMPLIR CON TODOS LOS REQUERIMIENTOS Y REGULACIONES LEGALES APLICABLES DONDE LA OPERACION ESTA LOCALIZADA

The 2 farms are in compliance with all Peruvian requirements and regulations applicable to the scallops aquaculture in concessioned areas. The competent authority has continuous visits and monitoring for the activity. All permits, reports and monitoring to show compliance were available during the audit.

Los 2 granjas están en cumplimiento con todos los requisitos y normas peruanas aplicables a la acuicultura de scallops en áreas concesionadas. La autoridad competente tiene visitas y monitoreo continuos para la actividad. Todos los permisos, informes y monitoreo para demostrar el cumplimiento estaban disponibles durante la auditoría.

PRINCIPLE 2. AVOID, REMEDY OR MITIGATE SIGNIFICANT ADVERSE EFFECTS ON HABITATS, BIODIVERSITY, AND ECOLOGICAL PROCESSES

PRINCIPIO 2. EVITAR, REMEDIAR O MITIGAR EFECTOS ADVERSOS SIGNIFICATIVOS EN HABITATS, BIODIVERSIDAD Y PROCESOS ECOLOGICOS

The sulfide results of random sampling stations methodology were lower than 1500 μM of free sulfide. Sampling covered all production areas and National University of Engineering Faculty of Science performed the test. Values are detailed in the attached checklist and with this results the sampling frequency is once each 5 years.

Los resultados de sulfuro tomados con metodología de estaciones de muestreo al azar fueron inferiores a 1.500 μM de sulfuro libre. Muestreo cubrió todas las áreas de producción y la Universidad Nacional de Ingeniería Facultad de Ciencias realiza el análisis. Los valores se detallan en la lista de verificación adjunta y con este resultado la frecuencia de muestreo es de una vez cada 5 años.

Regarding the pelagic effects the clearance time (CT) is higher than the retention time (RT), all the calculations and variables were accurate following the formulas detailed in the standard. The relation CT/RT is higher than 1 and proves that the scallops population don't have a negative impact over the primary productivity of the receiving water.

En cuanto a los efectos pelágicas el tiempo de eliminación (CT) es mayor que el tiempo de retención (RT), todos los cálculos y variables eran exactos siguiendo las fórmulas que se detallan en la norma. La relación CT / RT es mayor que 1 y demuestra que la población de scallops no tienen un impacto negativo sobre la productividad primaria de las aguas receptoras.

The environmental management plan was available and in compliance with environmental Peruvian regulations. The farms have a training program for workers where environmental subjects are included.

El plan de gestión ambiental estaba disponible y en cumplimiento con las regulaciones peruanas ambientales. Las granjas tienen un programa de formación para los trabajadores, donde se incluyen temas ambientales.

There are species in the national and IUCN red list in the area of production, most of them are birds. The design and culture system don't represent a risk to that species. However there was not available a map locating this species in near areas.

Hay especies en la lista roja de la UICN y nacional en el área de producción, la mayoría de ellos son aves. El diseño y sistema de cultivo no representan un riesgo a estas especies. Sin embargo no había disponible un mapa con la localización de estas especies en áreas cercanas.

A major non conformity was raised because the absence of videos or imaging of the sea bottom to show that the operation is not over sensitive ecosystems. This non-conformity status is "closed" and actions are detailed in the non conformity summary of this report.

Se planteó una no conformidad mayor debido a que la ausencia de vídeos o imágenes del fondo del mar para demostrar que la operación no ha terminado ecosistemas sensibles. Este estado de esta no conformidad es "cerrado" y las acciones se detallan en el resumen de no conformidades de este informe.

PRINCIPLE 3. AVOID ADVERSE EFFECTS ON THE HEALTH AND GENETIC DIVERSITY OF WILD POPULATIONS

PRINCIPIO 3. EVITAR LOS EFECTOS ADVERSOS EN LA SALUD Y DIVERSIDAD GENETICA DE LAS POBLACIONES SILVESTRES

Peruvian scallop *Argopecten purpuratus* is a native specie present in all Peruvian coast. There are no incidents or evidence of introduction of pests of pathogens related to the farms operations.

El sacallop peruano *Argopecten purpuratus* es una especie nativa presente en todo el litoral peruano. No hay incidentes o pruebas de introducción de plagas o patógenos relacionados con las operaciones de granjas.

The seed is collected in legally granted concessions and reports of all collections are maintained and reported to the competent authority. Also seed is produced at a hatchery owned by ACUAPESCA where grown up animals from the culture system are used as broodstock. These broodstock come from natural collection lanterns and not from hatchery animals. This practice complies with the strategies proposed by the standard to preserve the genetic diversity of the wild scallops populations.

La semilla se recoge en las concesiones otorgadas legalmente y los informes de todas las colecciones se mantienen y reportan a la autoridad competente. También se produce semilla en un hatchery de propiedad de ACUAPESCA donde se utilizan animales adultos desde el sistema de cultivo como reproductores. Estos

reproductores vienen de linternas de recolecciones naturales y no de animales de hatchery. Esta práctica cumple con las estrategias propuestas por la norma para preservar la diversidad genética de las poblaciones de vieiras salvajes.

The traceability maintained allows to track the origin of all batches of scallops that are from the hatchery or from wild collection. Not evidence of use of GM scallops.

La trazabilidad mantenida permite rastrear el origen de todos los lotes de scallops que sean del hatchery o captación natural. No se encontraron evidencias de uso de scallops GM.

PRINCIPLE 4. MANAGE DISEASE AND PESTS IN AN ENVIRONMENTALLY RESPONSIBLE MANNER

PRINCIPIO 4. MANEJAR LAS ENFERMEDADES Y PESTES DE UNA MANERA AMBIENTALMENTE RESPONSABLE

The chemicals and pest control products observed during audit and recorded at inventory are not reported as mutagenic, teratogenic, carcinogenic or toxins persistence according to WHO, INCHEM and POPs databases and documents.

Los productos químicos y de control de plagas observadas durante la auditoría y registrados en el inventario no se reportan de tener efectos mutagénicos, teratogénicos, carcinogénicos o toxinas persistentes según la OMS, INCHEM, POPs.

During site visit was not evidenced lethal management of pest or predators, use of lead sinks or lead lines or use of explosives.

Durante sitio de visita no se evidenció manejo letal de plagas o depredadores, utilización de pesos de plomo o líneas de plomo o el uso de explosivos.

PRINCIPLE 5. USE RESOURCES EFFICIENTLY

PRINCIPIO 5. USE LOS RECURSOS EFICIENTEMENTE

All wastes are collected in a proper manner, biological wastes from the culture systems are composted. The composting process was observed on site.

Todos los residuos que se recogen de una manera apropiada, los residuos biológicos de los sistemas de cultivo son compostados. El proceso de compostaje se observe en sitio.

There are procedures and enough retention material to handle fuel spillages.

Existen procedimientos y suficiente material para manejar derrames de combustibles.

All the records to show energy consumption were available and some changes like using public energy are reducing the diesel consumption.

Todos los registros que muestran el consumo de energía estaban disponibles y algunos cambios como el uso de la energía pública están reduciendo el consumo de diesel.

As minor non-conformities for this principle were detected: No training evidence about spillage handling, however the works showed knowledge about spillage handling; no biological waste composting records and maintenance records are not following the maintenance planning.

Como no conformidades menores a este principio, se detecto. No evidencia de entrenamiento en manejo de derrames, sin embargo los trabajadores mostraron conocimiento acerca de manejo de derrames; no se mantienen registros de compostaje de desechos biológicos; y los registros de mantenimiento no están de acuerdo al plan de mantenimiento.

PRINCIPLE 6. BE A GOOD NEIGHBOR AND CONSCIENTIOUS COASTAL CITIZEN

PRINCIPIO 6. SEA UN BUEN VECINO Y CIUDADANO COSTERO CONSCIENTE

Culture systems flotation devices have dark colors, are positioned uniformly and are not made of Styrofoam.

Los dispositivos de flotación de los sistemas de cultivo tienen colores oscuros, se posicionan de manera uniforme y no están hechas de espuma de poliestireno.

The farms have a program of collection of lost gears as lanterns and collection of buoys from the shore, the records of collection were available.

Las granjas tienen un programa de colección de equipos perdidos como linternas y colección de las boyas de la orilla, los registros de la colección estaban disponibles.

A conflict resolution procedure is in place. Until the moment of audit complaints were not recorded, however the procedure does not include a format to record and follow up complaints. In the area there are no indigenous populations.

Un procedimiento de resolución esta presente. No se reportaron quejas hasta el momento de la auditoría, sin embargo el procedimiento no cuenta con un format para registro y seguimiento de las quejas. En la zona no hay poblaciones indígenas.

PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY AND CULTURALLY RESPONSIBLE MANNER

PRINCIPIO 7. DESARROLLE Y OPERE LAS FINCAS EN UNA MANERA RESPONSIBLE SOCIAL Y CULTURALMENTE

No cases of child labor, discrimination, forced or compulsory work or abusive disciplinary actions were detected during audit by interviews with workers.

No se detectaron casos de trabajo infantil, discriminación, trabajo forzoso u obligatorio o acciones disciplinarias abusivas durante la auditoría basado en las entrevistas con los trabajadores.

All workers have insurance and received training in health and safety.

Todos los trabajadores tienen seguro y recibieron capacitación en salud y seguridad.

Wages and contracts are according the Peruvian labor legislation. A minor non-conformity was raised regarding the overtime done by truck drivers, in some cases exceed the 12 hours of overtime per week.

Los salarios y los contratos son de acuerdo a la legislación laboral peruana. Se planteó una no conformidad menor con respecto a las horas extra realizadas por los conductores de camiones, en algunos casos superan las 12 horas de tiempo extra por semana.

Minor no-conformity was raised regarding a minority of workers exceed the 12 overtime hours for security and kitchen personal.

Una no conformidad menor fue levantada con respecto a una minoría de trabajadores que excedieron las 12 horas de sobretiempo para personal de cocina y seguridad.

2.3 Decision

Based on the result of the assessment and the settling and action plans sent by the applicant, NEMO CORPORATION SAC AND MARICULTURA DEL NORTE SAC, MARNOR, is granted the ASC cluster of sites certification under the Bivalves standard.

Basados en los resultados de la evaluación y el cierre y envío de planes de acción por el aplicante, NEMO CORPORATION SAC AND MARICULTURA DEL NORTE SAC, MARNOR, se otorga la certificación ASC bajo el estándar de Bivalvos.

2.4 Audit background

Author(s): Efrain Calderón

Audit dates: May 14th and 15th 2014 / Mayo 14 y 15 del 2014

Report finished at: September 19th 2014 / Septiembre 19 del 2014

Report reviewed at: October 13th 2014 / October 13 del 2014

Date of the certification decision: 17-03-15

Persons involved in the audit:

Jose Luis Bellina, operations manager

Raul Valencia, Production manager

Gustavo Valencia, Production manager

Aldo Aguirre, SERNANP Illescas Natural reserve chief.

Activities audited / Actividades auditadas:

Harvest, grading, diving, material cleaning, harvest transportation, hatchery.

Cosecha, clasificación, buceo, limpieza de materiales, transporte de cosecha y hatchery

Stakeholder participation: No comment made for the announcement period and the public draft consultation. / **No se recibieron comentarios durante el period de auditoría y la publicación del reporte borrador.**

2.5 Scope

ASC standard version: ASC Bivalves standard 1.0 Jan 2012

Species: Peruvian scallops *Argopecten purpuratus*

Scope of audit:

| Production Unit name | Production Unit number | Address and geographical positions | Receiving water |
|----------------------|------------------------|--|-----------------------------------|
| NEMO CORPORATION SAC | PRD 046642 | Sechura, Piura, Peru S 5° 49' 57.5" W 81° 06' 38.2" S 5° 49' 34.8" W 81° 05' 47.3" | Nonura cove Ensenada de Nonura |
| MARNOR SAC | PRD 046643 | Sechura, Piura, Peru S 5° 49' 54.5" W 81° 07' 04.0" S 5° 49' 37.7" W 81° 06' 43.7" | Nonura cove Ensenada de Nonura |

Receiving water: Nonura cove is a coastal water body in the Sechura province, Piura Department. Its waters have tidal influence with a good primary productivity.

La Ensenada de Nonura es un cuerpo de agua costero localizado en la provincial de Sechura, Departamento de Piura. Sus aguas tienen influencia de mareas con una Buena productividad primaria característica de la region.

2.6 Description of the start of the Chain of Custody.

Scallops harvested at NEMO CORPORATION SAC AND MARICULTURA DEL NORTE SAC, MARNOR can enter into further MSC CoC certified chains of custodies and are eligible to carry the ASC ecolabel.

Los scallops cosechados en NEMO CORPORATION SAC AND MARICULTURA DEL NORTE SAC, MARNOR pueden entrar en cadenas de custodia certificadas MSC CoC y son elegibles de portar la ecoetiqueta del ASC.

Considerations for the decision:

- Tracking, tracing and segregation systems within the aquaculture operation / Sistemas de rastreo, trazabilidad y segregación en la finca acuicola.
Only scallops from the 2 farms are landed in dock exclusive for the applicant farms at Bayovar harvor, 30 minutes from the culture center, here are recorded the origin of the scallops as farm and line. A transportation guide is generated for the movement of the scallops to the processing plant owned by ACUAPESCA GROUP.
Solo scallops de las 2 fincas se desembarcan en el muelle de uso exclusivo del aplicante en Bayovar, a 30 minutos de los centros de cultivo, aqui se registran el origen de los scallops como finca y linea. Una guia de transporte es generada para el movimiento de los scallops a la planta de proceso propiedad de GRUPO ACUAPESCA
- Use of transshipment / Uso de trasbordo
Lanterns are collected from the farms and transported by boat to the dock, here are extracted and put into bins inside of trucks to final transportation to processing plant. Trucks are sealed at the farm and opened in the processing plant.
Las linternas son recolectadas de las fincas y transportadas en bote al muelle, aqui son extraidas y puestas en gavetas en camiones para el transporte final a la planta de proceso. Los camiones son sellados en la finca y abiertos en la planta de proceso
- Eligible operators and point(s) of landing
There is only one point of landing in land site. No other companies are involved.
Solo hay un punto de desembarco en el sitio en tierra. No se involucran otras empresas.
- The opportunity of substitution of certified with non-certified product within the unit of certification.
There is no chance o substitution in the applicant farms.
No hay oportunidad de substitucion ne las fincas aplicantes.
- Point from which Chain of Custody certification is required.
Chain of custody is required from transportation to the processing plant at Bayovar dock.
Se requiere cadena de custodia desde el transporte a planta de proceso en Bayovar .

2.7 Evaluation results

See audit checklist attached

Ver checklist adjunto

2.8 Findings.

After the review of evidence for settling and action plans for non-conformities, its decided to grant the ASC certification to NEMO CORPORATION SAC AND MARICULTURA DEL NORTE SAC, MARNOR

Después de la revision de evidencia y planes de acción par alas no conformidades, se decide otorgar la certificación ASC a NEMO CORPORATION SAC AND MARICULTURA DEL NORTE SAC, MARNOR

2.9 Non-conformity report(s)

| Standard item/Item Del standard | Grading/C ategoria | NC Status | Falling | Corrective action |
|--|---------------------------|------------------|---|--|
| 2.1.5 | Major / Mayor | Closed / Cerrada | <p>a. There is not appropriate video evidence to show the seabed habitan and biological community. No hay pruebas de vídeo apropiado para mostrar el habitat de los fondos marinos y la comunidad</p> <p>b. There is not sufficien evidence or information about the sensitive habitats in the proximity of farm operations. No hay evidencia o información</p> | <p>Video recording of the sea bottom in 5 transects. No sensitive habitas observed. Video grabación del fondo marino en 5 transectos. No se observaron habitats sensitivos.</p> |

| Standard item/Item Del standard | Grading/C ategoria | NC Status | Falling | Corrective action |
|--|---------------------------|------------------|--|--|
| | | | suficiente sobre los hábitats sensibles en la proximidad de las operaciones agrícolas. biológica. | |
| 2.3.1.b | Minor / menor | Closed / Cerrada | Map of location of threatened species in reference to farms not available. Mapa de localización de las especies amenazadas, en referencia a las fincas no esta disponibles. | Maps from Agriculture ministry, Direction of forest and wild fauna, (http://www.natureserve.org) y la IUCN Red List of Threatened Species (http://www.iucnredlist.org), shows the distribution along the peruvian coast Se obtuvieron mapas generales provistos a través de la Dirección Forestal y de Fauna Silvestre del Ministerio de Agricultura del Perú según los siguientes sitios Web: NatureServe (http://www.natureserve.org) y la IUCN Red List of Threatened Species (http://www.iucnredlist.org) mostrando la distribución geográfica a lo largo del territorio peruano (litoral costero) |
| 5.1.2 b | Minor / Menor | Closed / Cerrada | There are not records available for disposal or composting of biological wastes. No hay registros disponibles de disposición y compostaje de desechos biológicos. | Was developed a procedure and record of delivery of composted biofouling. Evidence sent: records and pictures of delivery. Se desarrollo un procedimiento y registro de entregade compost de biofouling. Evidencia enviada: registros y fotos de la entrega. |
| 5.1.4 b | Minor / menor | Closed / Cerrada | No documented trainings to workers however they showed knowledge in ho to manage a hidrocabon spillage. No se tienen entrenamientos documentados pero el personal evidencio concocimiento de cómo manejar un derrame de hidrocarburos. | Training to all workers about spillage handling procedure. The training was recorded and signed by attendants. Pictures of the training were sent to CUP Entrenamiento de todos los trabajadores acerca de manejo de derrames. El entrenamiento fue registrado y firmado por los participantes. Fotos del entrenamiento fueron enviadas a CUP. |
| 5.2.2 b | Minor / menor | Open / Abierta | Maintenance records available but not exact to the established plan, annual maintenance records but the plan states that are monthly. Registros de mantenimiento disponibles pero no son exactos al plan establecido, Se observaron registros de mantenimiento anuales pero el plan establece que son mensuales. | The maintenance schedule was changed from fixed periods to according the working hours of each engine, boat or machine. A new maintenance schedule and hours recording formats were received. Implementation will be verified at next audit El plan de mantenimiento fue cambiado de periodos fijos a de acuerdo a las horas de trabajo de cada motor, bote o maquinaria. Se recibieron un Nuevo plan de mantenimiento y formatos para el registro de horas. La implementación se verificará en la siguiente auditoria. |

| Standard item/Item Del standard | Grading/C ategoria | NC Status | Falling | Corrective action |
|--|---------------------------|------------------|---|--|
| 6.1.5 b | Minor / menor | Closed / Cerrada | <p>There is no evidence of training to boat pilots. However by experience pilots showed knowled on navigation rules</p> <p>No se tiene evidencia de entrenamiento a los pilotos de las embacaciones.Sin embargo por experiencia los pilotos demostraron conocimiento de las regals de navegacion.</p> | <p>Training to pilots by FONDEPES. Records and pictures of training received.</p> <p>Entrenamiento a pilotos por FONDEPES. Se recibieron registros y fotos del entrenamiento.</p> |
| 7.4.2 a | Minor / menor | Closed / Cerrada | <p>The occupational committee is elected but is not having the monthly sessions to review the health and safety risks and to promote the preventive actions. During site visit was observed that the diving compressor does not have a filter to retain oil vapors.</p> <p>El comité ocupacional es elegido, pero no está teniendo las sesiones mensuales para revisar los riesgos de salud y seguridad y promover las acciones preventivas. Durante la visita la sitio se observo que los compresores de buceo no tienen filtro para retener los vapores de aceite.</p> | <p>1.The meetings of committees of safety and health of the 2 companies during the month of May were done. Monthly meetings are planned.</p> <p>2.Were acquired two carbon filters for compressors, dive boats, these filter will be changed annually as specified by the manufacturer</p> <p>1.Se realizaron las reuniones de los comités de Seguridad y Salud de las 2 empresas durante el mes de Mayo. Se planearon reunions mensuales 2.Se adquirieron 2 filtros de carbón para las compresoras de las embarcaciones de buceo.</p> |
| 7.6.1 d | Minor / menor | Closed / Cerrada | <p>There are not explicit communications from the company regarding the commitment with freedom of association</p> <p>No hay comunicaciones explícitas de la empresa en relación con el compromiso con la libertad de asociación.</p> | <p>We proceeded to prepare a statement of each company to supplement the provisions of Internal Labor Regulation in which workers are informed of their right to freedom of association and published in public areas.</p> <p>Se procedió a preparar un comunicado de cada empresa que complementa lo establecido en el Reglamento Interno de Trabajo en el cual se informa a los trabajadores sobre su derecho de libertad de asociación y se publicaron en areas publicas.</p> |
| 7.8.1 f | Minor / menor | Open / Abierta | <p>There is evidence of some activities were the overtime exceed the 12 hours per week in the weeks of sample during the audit weeks 7 and 8). The workers in this situation are security and cook.</p> <p>Hay evidencia de algunas actividades exceden las 12 horas semanales en las semanas observadas durante la auditoría (semanas 7 y 8). Los trabajadores en esta situación son la seguridad y el cocinero.</p> | <p>Was determined that the cause of exceed the overtime limit was follow the Peruvian regulation that dont have a explicit overtime limit. It's planned to organize work schedules to not exceed the overtime limit of 12 hours.</p> <p>Se determinó que la causa de superar el límite de horas es seguir la legislación peruana que no tiene un límite explícito de horas de sobretiempo. Se planea organizer los horarios de trabajo para no exceder el limite de sobretiempo de 12 horas.</p> |

2.10 Confidential annexes

No confidential annexes to this report

Name and signature of authorized representative:

Position:

Date:

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

| ASC audit checklist | | | | | | |
|---|----------------------|---|--|---|---------|---------------------|
| ASCASS-BIV.F01(01) | | | | | | |
| Reportnumber: | | | 831440.ASC.2014.01.EC | | | |
| 1.1 Client contact data | | | | | | |
| CUC number: | | 831440 | | | | |
| Company name: | | ACUAPESCA GROUP-FARMS:NEMO CORPORATION SAC/MARNOR SAC (SECHURA-PIURA) | | | | |
| Contact person: | | JOSE LUIS BELLINA | | | | |
| Address: | | AV. RICARDO ELIAS APARICIO N°141 OF.14, LA MOLINA, LIMA. | | | | |
| Postal code: | | | | | | |
| City: | | LIMA | | | | |
| Country: | | PERU | | | | |
| Telephone number: | | (511)4792999 | | Fax Number: | | |
| e-mail: | | joseluisbellina@gmail.com | | | | |
| 1.2 Audit information | | | | | | |
| Date of last external audit : | | n/a first audit | | | | |
| Audit date : | | May 15th and 16th 2014 | | | | |
| Full name of the lead auditor: | | EFRAIN CALDERON PAYARES | | | | |
| Audit team: | | TECHNICAL EXPERT: NICK PFEIFFER SOCIAL AUDITOR: KENLLY MORA | | | | |
| Type audit : | | Announced / Unannounced Initial / Surveillance / Recertification | | | | |
| 1.3 Scope of ASC | | | | | | |
| Scope: ASC BIVALVES | | Standard Version: V 1.0 Jan 2012 | | Specie: <i>Argopecten purpuratus</i> | | |
| Production units | | | | | | |
| | Company name | Address and GPS coordinates | Receiving water body | City | Country | Products |
| F-01 | NEMO CORPORATION SAC | S 5° 49' 57.5" W 81° 06' 38.2" S 5° 49' 34.8" W 81° 05' 47.3" | Ensenada de Nonura | Sechura, Piura | PERU | Live whole scallops |
| F-02 | MARNOR SAC | S 5° 49' 54.5" W 81° 07' 04.0" S 5° 49' 37.7" W 81° 06' 43.7" | Ensenada de Nonura | Sechura, Piura | PERU | Live whole scallops |
| Changes since last audit: | | | | | | |
| YES <input type="checkbox"/> | | NO <input type="checkbox"/> | | If YES, Description: n/a first audit | | |
| 1.4 Other information | | | | | | |
| Brand name of the company: | | | brand are used by the first chain of custody | | | |
| Mention other existing certification schemes of licensee: | | | Friends of the Sea | | | |
| Lead Auditor : | | | Company representative : | | | |
| signature | | | signature | | | |

AUDIT MANUAL - ASC BIVALVE STANDARD
Created by the Bivalve Aquaculture Dialogue (BAD)

Scope: The requirements of the ASC Bivalve Standard apply globally to all locations and scales of filter-feeding bivalve aquaculture production systems. Bivalve aquaculture is defined by this Dialogue as active husbandry of bivalve shellfish from seed to harvest within a defined area and with defined ownership of the shellfish being cultured.

| PRINCIPLE 1. OBEY THE LAW AND COMPLY WITH ALL APPLICABLE LEGAL REQUIREMENTS AND REGULATIONS WHERE FARMING OPERATION IS LOCATED | | | | |
|---|------------|----------|----------|---|
| 1.1 Criteria: All applicable legal requirements and regulations where farming operation is located | | | | |
| Auditor Evaluation (Required CB Actions): | Compliance | | | Finding |
| | Yes | Major NC | Minor NC | |
| A. Verify compliance with applicable land and water use laws. | x | | | |
| B. Confirm client holds original lease agreements or land titles. Where documentation is informal or validity is in doubt, interviews of relevant neighbors should be conducted to establish support of the claims. | x | | | <p>All documentation in accordance with Law of promoting and development of the aquaculture and its modification No. 27460A</p> <p><i>Toda la documentación de acuerdo a Ley de promoción y desarrollo de la acuicultura y sus modificaciones. Ley 27460A</i></p> <p>Sea sites: Consecion by Production Minister and General Captain and safeguard numbers: <i>Sitios en mar: Concesion Ministerio Producción y Dirección General de Capitanía y Guardacostas</i> numeros: Nemo: 002-2000, 070-2003, 090-2003 Mamor: 087-2007, 086-2012 Validity/Validez: 30 años/years</p> |
| C. Verify that inspection records comply with national and local laws and regulations (as applicable). | x | | | <p>Ministry of production: unannounced visits to verify concessions vertices, and verify that the concession is operating, proper placement of vertices and use of the grant was demonstrated. Act revised assessment of compliance with commitments to develop scallop aquaculture resource documents.</p> <p>Sanipes: Technical protocols or veterinary Habitacion grant, biennial. Technical Protocol sanitary authorization of landing. Discharge point bivalve molluscs. Operation Permit 028-2014</p> <p><i>Ministerio de la producción: Visitas no anunciadas para verificar vertices de concesiones, y verificar que la concesion este operando, se demostro correcta ubicacion de vertices y utilizacion de la concesion. Documentos revisados Acta de evaluacion de cumplimiento de los compromisos para desarrollar acuicultura del recurso concha abanico.</i></p> <p><i>Sanipes: Protocolos técnicos Habitacion o registro sanitario concesion, bianual. Protocolo Técnico sanitario de autorizacion de desembarcadores. Punto de descarga de moluscos bivalvos vivos, anual. Permiso de operacion 016-2000</i></p> |

Indicator: Evidence of compliance with all applicable legal requirements and regulations where the farming operation is located (e.g., permits, licenses, evidence of lease, concessions and rights to land and/or water use)
Requirement: Yes
Applicability: All

1.1.1

| | | |
|---|----------|--|
| <p>D. Verify the farm has valid permits relating to land and water use. Where documentation is informal or validity is in doubt, interviews of relevant neighbors should be conducted to establish support of the claims.</p> | <p>x</p> | <p>Sea sites: Consecion by Production Minister and General Captain and safeguard numbers: <i>Sitios en mar: Conceccion Ministerio Productio y Direccion General de Capitanía y Guardacostas numeros:</i> Nemo: 002-2000, 070-2003, 090-2003 Mamor: 087-2007, 086-2012 Validity/Validez: 30 años/years</p> |
| <p>E. Verify that the farm is represented accurately through verification of at least one of the GPS coordinates. If possible, verify spatial information using Google Map, satellite images or similar means.</p> | <p>x</p> | <p>Complete maps and coordinates available of all concessions. Checking protectedplanet.org the sites are not in protected areas. <i>Mapas completos y coordenadas disponibles de todas las concesiones. Comprobación protectedplanet.org los sitios no están en áreas protegidas.</i></p> |
| <p>F. If applicable, verify that the farm complies with legal requirements and regulations of the national protected area.</p> | <p>x</p> | <p>Land site is in Reserva de Illescaz created at 2009. At 2013 the management committee is created and Nemo is designated environmental diffusion and education member. No IUCN category, WDPA 55555613. No additional requirements are needed than the detailed at A, B and C. Reserva de Illescaz creada en 2009. 2013 se crea comité de gestion de reserva de Illescas. Nemo es designado vocal de difusion y educacion ambiental. No tiene categoria IUCN, WDPA 55555613. No se requieren requisitos adicionales a los detallados en A, B y C.</p> |

PRINCIPLE 2. AVOID, REMEDY OR MITIGATE SIGNIFICANT ADVERSE EFFECTS ON HABITATS, BIODIVERSITY, AND ECOLOGICAL PROCESSES

General Considerations for Criterion 2.1

I. Contracting Studies through an Independent Party

The Steering committee recognizes that not all farms will have sufficient resources on hand nor suitable technical expertise available to complete all of the studies described in this audit manual. Farms may choose to contract such work through suitably qualified independent experts (i.e. consultants) who perform the studies on behalf of the farm. Regardless of whether the farm or their contractor completes the work, auditors will review the results of studies to ensure compliance with the standard. It is the farm's responsibility to maintain all necessary documentation for demonstrating compliance.

II. Classification of Seabed Type

Farms utilizing off-bottom and suspended methods are required to perform a "tiered assessment" (see Appendix IV, Section 2 of the Bivalve Standard) to assess benthic impacts of the culture activity. The first step is to classify each farm according to the type of seafloor that occurs beneath it. Seafloors, and thus farms, must be classified into one of two main types: Depositional, or Non-Depositional. In order to make this classification, all farms utilizing off-bottom and suspended methods shall conduct an initial visual survey, using video or seabed imaging.

Criterion 2.1 applies only to farms utilizing off-bottom and suspended methods on depositional substrate (i.e. sediment bottoms of sand or silt). Farms must measure sulfides (S) concentrations in the sediment to determine compliance and subsequent monitoring frequency (see 2.1.1., 2.1.2., and 2.1.3.) . Direct measurement of S concentration may be replaced by an analysis of benthic community structure (see 2.1.4.). Farms must determine areas containing biogenic structures of importance to the functioning of the ecosystem (2.1.5.)

The initial assessment shall be conducted within a 6 month period prior to the first audit. Sediment samples for the assessment of total "free" sulfides. If the client is unable to conduct the initial assessment themselves, then a suitably qualified independent expert should be contracted. Methods for the measurement of "free" sulfides in marine sediments is outlined in Appendix 2.

| | |
|--|---|
| <p>2.1 Criteria: Benthic effects for off-bottom and suspended-culture methods [1]</p> | <p>Auditor Evaluation (Required CB Actions):</p> |
| <p>Compliance</p> | <p>Yes No N/A</p> |
| <p>Finding</p> | <p></p> |

| | | | | | | | |
|----------|--|---|----------|--|--|--|---|
| 2.1.1 | <p>Indicator: Acceptable levels of total 'free' sulfides in surficial sediment (0-2 centimeters from the surface) measured beneath the farm in comparison to control sites[2]</p> <p>Requirement: ≤ 1500 µM, monitoring every five years is required, ≥ 1500 µM and ≤ 3000 µM, monitoring every year is required</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p> | <p>A. Verify from video or seabed imaging evidence that the aquaculture site is non- depositional.</p> | <p>x</p> | | | | <p>Not non-depositional bottom, soil is sand and silt. <i>Fondo no es no-deposicional, suelo es arena y limo.</i></p> |
| 2.1.1 | <p>B. Verify documentation that the farm has conducted an initial assessment of S concentration within a 6 month period prior to the first audit using either direct measurement or analysis of benthic community structure.</p> | <p>x</p> | | | | | <p>Result 7th May 2014 Available All values are below 1500 µM. Range: 5.84 µM to 182.24 µM. The resulting sample period is five years. Analysis conducted by National University of Engineering Faculty of Science. Result number: 624 and 623. Sampling methodology: random sampling stations.</p> <p><i>Resultados disponibles de mayo 7 del 2014. Todos los valores estan por debajo de 1500 µM. Rango de valores: 5.84 µM a 182.24 µM. El Periodo de muestreo resultante es 5 años. Analisis realizados por Universidad Nacional de Ingenieria Facultad de ciencias. Resultados numero: 624 and 623 Metodologia de muestreo: Estaciones de muestreo aleatorias.</i></p> |
| Footnote | <p>[1] Farms utilizing in- and on-bottom husbandry practices are exempted from assessment for benthic organic enrichment. These requirements specifically target off-bottom and suspended-culture activities that permit greater stocking biomass per area than can be achieved using bottom culture approaches.</p> | <p>C. If applicable, confirm that the variation request was approved by ASC and document in the audit report how the alternate method of measuring free sulfides meets the intent of the Standard in an equivalent way.</p> | <p>x</p> | | | | <p>No variation request made No se solicito variacion</p> |
| Footnote | <p>[2] Sampling design and sulfide methodology are included in Appendix IV & V of the Bivalve Standard</p> | | | | | | |
| 2.1.2 | <p>Indicator: Unacceptable levels of total 'free' sulfide in surficial sediment measured beneath the farm in comparison to control sites</p> <p>Requirement: ≥ 3000 µM</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p> | <p>A. Verify documentation of initial assessment of S concentration by either direct measurement or analysis of benthic community structure.</p> | <p>x</p> | | | | <p>Sulfide Concentrations are lower than 3000 µM <i>Concentraciones de sulfuro menores a 3000 µM</i></p> |

| | | | | | | |
|----------|--|--|--|--|----------|---|
| 2.1.3 | <p>Indicator: In cases where natural background sulfide levels exceed 3000 µM, the annual S concentrations should not significantly⁽³⁾ exceed levels measured at reference sites located outside the farm⁽⁴⁾</p> <p>Requirement: Yes</p> <p>Applicability: Off-bottom and suspended methods over depositional substrate</p> | <p>A. Verify comparison with natural background levels if presented.</p> | | | <p>x</p> | <p>Sulfide Concentrations are lower than 3000 uM</p> <p><i>Concentraciones de sulfuro menores a 3000 uM</i></p> |
| Footnote | Concentraciónse | | | | | |
| Footnote | <p>⁽⁴⁾ Farming activity is permitted in areas where the natural benthic environment is already heavily enriched with organic matter prior to the initiation of any shellfish aquaculture activities</p> | | | | | |
| Footnote | <p>Instructions for Indicator 2.1.4 - Replacement of Direct Free Sulfide Measurements with a Biotic Approach</p> <p>The Steering Committee of the Bivalve Aquaculture Dialog concluded that direct measurement of free sulfide concentration is the most reliable, cost-effective and straightforward way to demonstrate compliance with Indicators 2.1.1, 2.1.2, and 2.1.3. Nonetheless, the SC also recognizes that situations may arise where farms will need access to an alternate method for showing compliance. For example, monitoring of benthic community may already be mandated by a regulatory body. Therefore the SC makes an allowance for farms to utilize a biotic approach (i.e. a benthic index) by monitoring benthic community structure. But please note that the SC does not necessarily recommend that farms pursue this option as it is likely to be more technically challenging, costly, and time consuming than taking direct measurements of free sulfide.</p> <p>If farms elect to use a biotic approach, they must demonstrate how the results from infaunal surveys are consistent with the relevant sulfide levels specified in Indicators 2.1.1, 2.1.2, and 2.1.3. In establishing indices of benthic diversity, farms may follow one of the approaches outlined in Hargrave et al. (2008, see summary nomogram in Fig. 5) for relating macrobenthic infaunal biodiversity to free sulfide levels. The farm must identify a source reference (i.e. a scientific publication) for the method selected. Farms may contract with suitably qualified experts (i.e. consultants) to perform the benthic community analyses on their behalf. Auditors will review the results and include a full description in the audit report.</p> <p>Note: Indicator 2.1.4 applies to farms using off-bottom and suspended methods on depositional substrate.</p> | | | | | |
| Footnote | <p>⁽⁵⁾ Biotic indicator decision thresholds need to be assessed to ensure equivalency with the thresholds identified for total 'free' sulfide given in requirement 2.1.1. There are several papers that have been published linking specific benthic sulfide levels to indices for benthic biodiversity. Please refer to the reference section for examples (e.g., Hargrave et. al. 2008)</p> <p><i>For all farms using off-bottom and suspended method</i></p> | | | | | |
| Footnote | | | | | | |

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| <p>Indicator: Allowance for bivalve aquaculture over areas that provide a particularly significant or essential biological or ecological function within the broader ecosystem⁽⁶⁾</p> <p>Requirement: None</p> <p>Applicability: Off-bottom and suspended methods</p> | <p>A. Verify that video or imagery demonstrates that the farm is not located over areas that provide significant biological or ecological function within the broader ecosystem.</p> | <p>There is not appropriate video evidence to show the seabed habitat and biological community.</p> <p><i>No hay pruebas de video apropiado para mostrar el hábitad de los fondos marinos y la comunidad biológica.</i></p> | <p>There is not sufficient evidence or information about the sensitive habitats in the proximity of farm operations.</p> <p><i>No hay evidencia o información suficiente sobre los hábitats sensibles en la proximidad de las operaciones agrícolas.</i></p> | <p>There is not appropriate video evidence to show the seabed habitat and biological community.</p> <p><i>No hay pruebas de video apropiado para mostrar el hábitad de los fondos marinos y la comunidad biológica.</i></p> |
| <p>2.1.5</p> | <p>A. Verify that video or imagery demonstrates that the farm is not located over areas that provide significant biological or ecological function within the broader ecosystem.</p> | <p>B. Verify farmer knowledge of sensitive habitat in proximity to farming operations.</p> | <p>There is not sufficient evidence or information about the sensitive habitats in the proximity of farm operations.</p> <p><i>No hay evidencia o información suficiente sobre los hábitats sensibles en la proximidad de las operaciones agrícolas.</i></p> | <p>There is not sufficient evidence or information about the sensitive habitats in the proximity of farm operations.</p> <p><i>No hay evidencia o información suficiente sobre los hábitats sensibles en la proximidad de las operaciones agrícolas.</i></p> |
| <p>Footnote ⁽⁶⁾ Areas containing biogenic structures that are not particularly adapted to sedimentation or organic enrichment (e.g., tubeworm mounds, bryozoan mounds, bivalve beds and reefs or sponge gardens that form a structure for other epifauna)</p> | | | | |
| <p>Instructions to Clients for Criteria 2.2: Pelagic effects</p> | | | | |
| <p>There is potential for bivalve farming operations to exceed the ecological carrying capacity of the body of water. This can occur when bivalve filter-feeding on phytoplankton exceeds the capacity of the ecosystem to replenish the supply. The ASC Bivalve Standard addresses this issue using relatively simple calculations that compare how long it takes a population of bivalves to clear a body of water (clearance time–CT) with how long it takes for tides to flush that body of water (retention time–RT). In cases where the value of CT/RT is too low (failure of Indicator 2.2.1.), the farm may still be certifiable under conditions of high primary production. Please refer to Appendix I of the Bivalve Standard for the rationale and specific formulas for the carrying capacity measurement, including a protocol for defining applicable water body boundaries.</p> <p>General Guidelines:</p> <ol style="list-style-type: none"> 1) Farms will have to at least conduct an initial calculation of the water body area and the farm's area (Requirement 2.2.1.a). In many instances, such as enclosed bays or inlets, the geographic boundaries of the area in which the farm is located may be obvious and considered as the water body. In other situations, such as meandering complex waterways or the open coast, there may be no clear boundaries. In these cases, the water body will be defined by the "zone of influence", which will need to be calculated based on prevailing currents. 2) Calculate the percent of the total water body area that is covered by all of the farms within the water body, inclusive of the certification unit. <ul style="list-style-type: none"> - If less than 10%, Indicators in Criteria 2.2. must not be applied. Proceed to 2.3.1. - If greater than 10%, Indicators in Criteria 2.2. must be applied. Proceed to 2.2.1. for the two-tiered "Pelagic effects" indicators (below). 3) Two-tiered "Pelagic effects" indicators: <ul style="list-style-type: none"> - Calculate the ratio between clearance time and retention time (CT / RT). - If CT / RT is >1, farm is certifiable. Proceed to 2.3.1. - If CT / RT is <1, proceed to 2.2.2. Farm must calculate the ratio of clearance time over primary production time (CT / PPT). - If CT / PPT is >3, farm is certifiable. Proceed to 2.3.1. - If CT / PPT is >3, farm is not certifiable <p>*Note: Indicator 2.2.3. allows for the demonstration of compliance with Indicators 2.2.1. and 2.2.2. using equivalent calculations through more comprehensive carrying capacity modeling. Models must be published in peer-reviewed publications and must apply to the present state of the water body and all associated aquaculture to be accepted for equivalency.</p> | | | | |
| <p>2.2 Criteria: Pelagic effects</p> | | | | |
| <p>Auditor Evaluation (Required CB Actions):</p> | | | | |

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| <p>Instructions for Indicator 2.2.1. Example calculations of clearance and retention times</p> <p>1) Calculate the volume of the water body: - if the farm is located in easily definable water body (e.g. an estuary, bay or well defined area) and has tidally dominated water exchange, the total volume of the water body shall be calculated as follows: - Calculate the mean depth at high tide and the surface area of the water body - Calculate the volume of the water body (Vt) as the depth times the surface area - If the farm is located in offshore waters, then the water body volume will be based on a "zone of influence" calculation: - Calculate the "radius of influence" (R1) as the cumulative current speed over a 24 hour period - Calculate the volume of the water body (Vt) by assuming a circular surface area multiplied by the depth (Vt = (pi * R1²) * depth). If the area is in deep waters, the depth used shall be that defining the lower limits of phytoplankton growth ("lower growth line").</p> <p>2) Calculate the clearance time (CT): CT (days) = Vt / (N x C) Where Vt is the total volume of the water body (liters)*, N is number of bivalves in the water body; C is average clearance rate (liters/individual species/day) at harvest size</p> <p>3) Calculate the retention time (RT): -if the farm is located an easily definable inshore water body and has tidally-dominated water exchange: RT (days) = -1 x P / ln (VI / Vt) Where P is the tidal periodicity, the length of the tidal cycle (days) (e.g. ~0.5 days for semi-diurnal tides); VI is the total volume of the water body at low tide (liters); Vt is the total volume of the water body at high tide (liters) - if the farm is located offshore: RT = 24 hours</p> <p>4) Calculate the ratio of CT / RT *Note: For deep stratified culture areas (e.g. open ocean and fjords), this calculation should be limited to the surface mixed layer. In areas where water exchange is not dominated by tidal flushing (e.g., controlled primarily by river flow or wind forcing) an appropriate volume exchange should be calculated.</p> | <p>Indicator: The ratio of clearance time⁽⁷⁾ (CT) over retention time⁽⁸⁾ (RT)</p> <p>Requirement: >1</p> <p>Applicability: All* *if the area of all of the farms within a water body as defined in Appendix I of the Bivalve Standard, inclusive of the certification unit, is less than 10% of the total area of the water body, then requirements 2.2.1 and 2.2.2 need not apply.</p> | <table border="1"> <tr> <td data-bbox="893 157 1055 567"> <p>A. Verify the accuracy of values used in the defining the areas of the farm and water body.</p> </td> <td data-bbox="893 567 1055 756"> <p>x</p> </td> <td data-bbox="893 756 1055 945"> <p>x</p> </td> <td data-bbox="893 945 1055 1134"> <p>Map available of the Nomura Cove and the concessions operating in the water body, the production zone cover more than 50% of the area.</p> <p>Mapa disponible de la Ensenada de Nomura y las Concesiones que operan en el cuerpo de agua, la zona de producción abarca más del 50% de la superficie.</p> <p>Production area is more than 10%</p> </td> <td data-bbox="893 1134 1055 1323"> <p>Area de producción es mayor al 10%</p> </td> </tr> <tr> <td data-bbox="1055 157 1140 567"> <p>B. Verify this conclusion and document in the audit report.</p> </td> <td data-bbox="1055 567 1140 756"> <p>x</p> </td> <td data-bbox="1055 756 1140 945"> <p>x</p> </td> <td data-bbox="1055 945 1140 1134"> <p>Area de producción es mayor al 10%</p> </td> <td data-bbox="1055 1134 1140 1323"> <p>Area de producción es mayor al 10%</p> </td> </tr> </table> | <p>A. Verify the accuracy of values used in the defining the areas of the farm and water body.</p> | <p>x</p> | <p>x</p> | <p>Map available of the Nomura Cove and the concessions operating in the water body, the production zone cover more than 50% of the area.</p> <p>Mapa disponible de la Ensenada de Nomura y las Concesiones que operan en el cuerpo de agua, la zona de producción abarca más del 50% de la superficie.</p> <p>Production area is more than 10%</p> | <p>Area de producción es mayor al 10%</p> | <p>B. Verify this conclusion and document in the audit report.</p> | <p>x</p> | <p>x</p> | <p>Area de producción es mayor al 10%</p> | <p>Area de producción es mayor al 10%</p> |
| <p>A. Verify the accuracy of values used in the defining the areas of the farm and water body.</p> | <p>x</p> | <p>x</p> | <p>Map available of the Nomura Cove and the concessions operating in the water body, the production zone cover more than 50% of the area.</p> <p>Mapa disponible de la Ensenada de Nomura y las Concesiones que operan en el cuerpo de agua, la zona de producción abarca más del 50% de la superficie.</p> <p>Production area is more than 10%</p> | <p>Area de producción es mayor al 10%</p> | | | | | | | | |
| <p>B. Verify this conclusion and document in the audit report.</p> | <p>x</p> | <p>x</p> | <p>Area de producción es mayor al 10%</p> | <p>Area de producción es mayor al 10%</p> | | | | | | | | |

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| | <p>C. Verify that the CT has been correctly calculated from appropriate census data and published clearance rate data. Verify bivalve density.</p> | x | | | | <p>CT=36.51 Water body area and Biomass correctly estimated by owned animals. The clearance rate per animal is 50.4 Lt/ind/day. Value Obtained from: <i>Área del cuerpo de agua y la biomasa estimada correctamente por animales de propiedad. La tasa de depuración por animal es 50,4 Lt / ind / día. Valor obtenido de:</i> Scallops: Biology, Ecology and Aquaculture, Volume 40, Second Edition by Sandra E. Shumway, Jay G.J. Parsons. RT= 6.50 CT/RT= 5.61 Tidal periodicity is 0,5 The farm comply with the standard <i>La periodicidad de las mareas es 0,5</i> <i>La finca cumple con la norma</i></p> |
| Footnote | <p>^[7] Clearance time is the number of days required for the dominant bivalve stock(s) (wild and cultured) to clear the volume of the bay or regional water body (i.e., sites with no clear boundaries). The dominant species census should be based on the peak standing stock during the year. The calculation is based on published clearance rate data for the bivalve group (mussels, scallops, clams and oysters)</p> | | | | | |
| Footnote | <p>^[8] Retention time is the number of days for tides to flush a volume of water equal to the volume of the bay or water body <i>for farms not compliant with 2.2.1.</i> Instructions for Indicator 2.2.2.- Calculation of clearance time (CT) over primary production time (PPT) PPT is calculated as follows: PPT (days) = B / PPP Where: B is the yearly averages of phytoplankton biomass, PPP is the phytoplankton primary production (PPP) within the system (e.g. mg C / m² / day). *Note: B can be estimated from chlorophyll a measurements, published data or satellite predictions assuming a carbon to chlorophyll ratio of 50. PPT can be obtained from published results or model predictions. Phytoplankton biomass and primary production should be in the same units (e.g. mg C / m²). All values should be based on yearly averages with at least one value per season. Values should also represent spatial averages for the water body.</p> | | | | | |
| Footnote | <p>^[9] PPT is the number of days required for the replacement of the standing stock of phytoplankton in the bay (i.e., time-scale of phytoplankton population growth). PPT is the ratio of yearly averages of phytoplankton biomass (B) to phytoplankton primary production (PPP) within the system. B can be estimated from chlorophyll a measurements, published data or satellite predictions assuming a carbon to chlorophyll ratio of 50. PPP can be obtained from published results or model predictions.</p> | | | | | |

2.2.2

Indicator: Where clearance time is less than retention time, the ratio of clearance time over primary production time (PPT)
Requirement: >3
Applicability: All farms not compliant with 2.2.1.

A. Verify the accuracy of all estimates and that values used represent yearly averages for the entire extent of the water body.

CT is greater than RT
CT es mayor que RT

x

B. Verify that the ratio of CT / PPT > 3.

CT is greater than RT
CT es mayor que RT

x

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| <p>Indicator: Equivalency with requirements 2.2.1 or 2.2.2 may be demonstrated, if a farm or group of farms is able to prove, through more comprehensive carrying capacity modeling that, in aggregate, they do not exceed the ecological carrying capacity of the applicable water body in which they are located</p> <p>Requirement: Yes</p> <p>Applicability: -</p> | <p><i>for farms demonstrating compliance with Indicators 2.2.1 and 2.2.2 using more comprehensive modeling estimates of carrying capacity.</i></p> <p>Instructions for Indicator 2.2.3. Carrying capacity estimate equivalency using comprehensive modeling</p> <p>In order to ensure a high level of quality for carrying capacity compliance, alternate estimates using more comprehensive modeling must be derived from published peer-reviewed studies based on the present state of the water body and all associated aquaculture. Only studies published in peer-reviewed journals listed by the Institute for Scientific Information (ISI) will be acceptable for the evaluation of compliance with Indicator 2.2.3. See http://ip-science.thomsonreuters.com/mjl/ for a listing of ISI journals.</p> | | | | | |
| 2.2.3 | No use of alternative modeling <i>No se uso modelo alternativo</i> | x | | | | No use of alternative modeling <i>No se uso modelo alternativo</i> |
| <p>2.3 Criteria: Critical habitat and species interactions</p> | | | | | | |
| <p>Auditor Evaluation (Required CB Actions):</p> | | | | | | |
| <p>Instruction to Clients for Indicator 2.3.1 - Presence of Species Listed as Threatened or Endangered on the IUCN Red List</p> | | | | | | |
| <p>The farm must demonstrate that is knowledgeable of threatened/endangered species and the habitats upon which they depend. Threatened or endangered status may be based on national laws or the IUCN red list [10].</p> <p>In order to determine whether IUCN red list species are present in the region, perform a search as follows:</p> <ul style="list-style-type: none"> - go to http://www.iucnredlist.org/ - follow to "other search options" - select "Taxonomy" and select "Animalia" and "Plantae" - indicate appropriate "Location", "Systems", "Habitat", - click on "run search" and record species listed and whether they are threatened by the farming activity. <p>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 2.1.1., species in the following IUCN categories may be excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".</p> | | | | | | |
| 2.3.1 | <p>Indicator: Allowance for harm to threatened/endangered species or the habitat on which they depend</p> <p>Requirement: None</p> <p>Applicability: All</p> | x | | | | <p>It is known to all threatened species in Peru by administrative decree, issued on April 7, 2014 in addition to the list of IUCN, species that have been identified have been sighted in the area.</p> <p><i>Se tiene conocimiento de todas las especies amenazadas en el Peru por decreto administrativo, emitido el 7 de abril 2014 adicionalmente al listado de IUCN. Se han identificado especies que se han avistado en la zona.</i></p> |
| <p>A. Repeat the search to verify that client obtained an accurate result. Verify through additional databases and government reports to cross-check whether endangered species exist in the immediate vicinity of the farm.</p> | | | | | | |
| <p>B. Verify that client is aware of these endangered species or critical habitats located near farm.</p> | | | | | | |
| <p>Map of location of threatened species in reference to farms not available.</p> <p><i>Mapa de localización de las especies amenazadas, en referencia a las fincas no esta disponibles.</i></p> | | | | | | |

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| | <p>C. Verify the actions taken by the client to minimize impacts and document them in the audit report.</p> | x | | <p>Culture system suspended 10 m below the surface is safe for species detected mostly fishing birds.</p> <p><i>Sistema de cultivo suspendido a 10 m bajo la superficie no presenta riesgos para especies detectadas que en su mayoría aves pescadoras.</i></p> |
| | <p>D. During interviews with local community members, confirm there is no evidence that the farm harms threatened/endangered species or the habitat on which they depend.</p> | x | | <p>Not declared cases of harm to endangered species at interviews with representatives of SERNANP, National Service of Natural Protected Areas</p> <p><i>No se declararon casos de daño a las especies en peligro de extinción en las entrevistas con representantes del SERNANP, Servicio Nacional de Areas Naturales Protegidas</i></p> |
| Footnote | [10] As defined by national law or as found in the International Union for Conservation of Nature Red List of Threatened Species. | | | |
| 2.4 Criteria: Environmental awareness | | | | |
| Auditor Evaluation (Required CB Actions): | | | | |
| Instructions for Indicator 2.4.1. - Evidence of training, compliance to regional codes of practices or implementation of environmental management plans | | | | |
| In order to demonstrate compliance of environmental awareness, all farms are required to document efforts taken to train staff in a set of environmental codes of practices and/or management plans. The set of environmental codes of practices and/or management plans used shall be demonstrated by evidence of one of the following at the time of the audit: | | | | |
| 1) Documentation of farm worker environmental training (e.g. certificates, evidence of workshops attended etc.); or | | | | |
| 2) Documentation of regional codes of practice and actions taken to ensure compliance; or | | | | |
| 3) Implementation of an environmental management plan. | | | | |
| Indicator: Evidence of environmental training, compliance to regional codes of practices or implementation of environmental management plans. Requirement: Required Applicability: All | A. Verify documented evidence of farm worker environmental training (OR) | | x | Compliance with B Cumplimiento con B |
| 2.4.1 | B. Verify that documentation of regional codes of practice are up to date and adhered to and that staff have been appropriately trained in its execution (OR) | | x | Compliance with B Cumplimiento con B |
| | C. Verify that the farm has an environmental management plan and that the plan is implemented. | x | | <p>Twice a year the farms have to deliver to, Production (PRODUCE) and Environment Ministries the Environmental Monitoring results of the Environmental management plan. Last report sent and approved is 2013 - II. The monitoring is according to the management plans.</p> <p>Semestralmente las fincas tienen que enviar a los ministerios de Ambiente y Producción (PRODUCE) los resultados de Monitoreo ambiental del plan de manejo ambiental. El último reporte entregado y aprobado es el de 2013 II. El monitoreo está de acuerdo al plan de manejo ambiental.</p> |
| PRINCIPLE 3. AVOID ADVERSE EFFECTS ON THE HEALTH AND GENETIC DIVERSITY OF WILD POPULATIONS | | | | |
| 3.1 Criteria: Introduced pests and pathogens | | | | |
| Auditor Evaluation (Required CB Actions): | | | | |
| Indicator: Allowance for the illegal introduction of a non- native species, pest | A. If documented evidence exists linking farm to an illegal introduction within 10 years prior to assessment, farm is not eligible for certification. | | x | <p>Argopecten purpuratus is a native specie in Peru coast.</p> <p><i>Argopecten purpuratus es una especie native en la costa de Perú.</i></p> |

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| <p>3.1.1</p> <p>or pathogen attributable to the farm within 10 years prior to assessment. Requirement: None Applicability: All</p> | <p>B. During interviews with local community members, confirm there is no indication that the farm has caused an illegal introduction of a non-native species, pest, or pathogen in the last ten years.</p> | <p>x</p> | <p>x</p> | <p>x</p> | <p>Argopecten purpuratus is a native specie in Peru coast. <i>Argopecten purpuratus es una especie nativa en la costa de Perú</i></p> |
| <p>3.1.2</p> <p>Indicator: Documentation of compliance with established protocol or evidence of following appropriate best management practices for preventing and managing disease and pest introductions with seed and/or farm equipment. Requirement: Required Applicability: All</p> | <p>A. If applicable, documentation of compliance with established protocol or best management practices exists and is available.</p> <p>B. During the on-site inspection look for evidence the farm has implemented protocols or best management practices provided in 3.1.2a</p> | <p>x</p> | <p>x</p> | <p>x</p> | <p>All seeds are local, no importations. All culture materials are new from Chile. There are no documented disease in the area. Hatchery disinfection on each spawning season. There are records available of culture gear disinfection</p> <p><i>Todos las semillas son locales, no hay importaciones. Todos los materiales de cultivo son nuevos desde Chile. No hay documentación de la enfermedad en la zona. Desinfección del criadero en cada temporada de desove. Hay registros disponibles desinfección de materiales de cultivo</i></p> <p>During site audit was observed all areas and facilities properly cleaned and organized. All biological wastes are collected and disposed properly avoiding contamination in the farm.</p> <p><i>Durante la auditoria en sitio se observó todas las áreas y facilidades adecuadamente limpiadas y organizadas. Todos los desechos biológicos son recogidos y eliminados correctamente evitando la contaminación en la granja.</i></p> |
| <p>3.2 Criteria: Sustainable wild seed procurement</p> | | | | | |
| <p>3.2.1</p> <p>Indicator: Excluding larval collection, evidence that purchased or collected wild seed is not harvested from an open-access, unregulated source. Requirement: Required Applicability: All</p> | <p>A. Verify that wild seed is not from an open-access, unregulated source</p> | <p>x</p> | <p>x</p> | <p>N/A</p> | <p>There are concessions in the catchment areas. Asociacion de pesca submarina artesanal "Agua de vida" 558-2010 and Asociacion de pescadores y extractores artesanales los delfines de Puerto Rico Bayovar Sechura Monthly statistics of fishing reports are delivered to the Ministry of Production by the representatives of concessions. <i>Existen concesiones en las zonas de captación. Asociación de pesca submarina artesanal "Agua de vida" 558-2010 y Asociación de pescadores y extractores artesanales los delfines de Puerto Rico Bayovar Sechura. Reportes de estadísticas pesquera mensuales son entregados a Ministerio de la Producción por los representantes de la concesión.</i></p> |
| <p>Auditor Evaluation (Required CB Actions): Instructions for Indicator 3.2.1. - Purchase or collection of wild seed from regulated sources The requirement that farms use only wild spat or seed collected from regulated sources is necessary to reduce the potential risk for overfishing and the reproductive sustainability contact person(s) and delivery dates of each purchase.</p> | | | | | |

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| | <p>B. Verify that documentation is available that shows wild seed collected is procured from an area that falls under existing regulatory schemes</p> | x | | | | <p>Legal agreements between the two concessions and Marmor and Nemo establish the quantities of seed provided yearly.</p> <p><i>Acuerdos legales entre las dos concesiones y Nemo y Marmor estableciendo las cantidades de semilla provista anualmente.</i></p> |
| <p>3.3 Criteria: Introduced non-native cultivated species</p> | <p>Auditor Evaluation (Required CB Actions):</p> <p>Instructions for Indicator 3.3.1 - Evidence of responsible^[11] introduction of non-native cultivated species</p> <p>Farms that cultivate non-native species must demonstrate how introductions were done responsibly. The International Council for the Exploration of the Sea (ICES) has established Code of Practice on the Introductions and Transfers of Marine Organisms (2005)* which covers considerations, recommended procedures, and guidelines for the implementation of new species introductions.</p> <p>Indicator 3.3.1 is intended to address the risks associated with the introduction of non-native species for the purpose of culture. Such introductions may pose a risk to the aquatic ecosystem through increased predation and competition, disease, habitat destruction and extinctions. Where introduction of a non-native bivalve species is allowed by law (e.g. a species identified on a "clean list" of non-harmful species), the best practice for reducing ancillary introductions is to follow the ICES Code of Practice. Longstanding and established non-native species that have historically been used for culture purposes are generally certifiable, while new introductions require compliance with ICES guidelines.</p> <p>* document link: http://info.ices.dk/pubs/Miscellaneous/Codeofpractice.asp</p> | | | | | |
| <p>3.3.1</p> <p>Indicator: Evidence of responsible^[11] introduction of non-native cultivated species</p> <p>Requirement: Required</p> <p>Applicability: All</p> | <p>A. Verify the farm has obtained permits showing compliance with ICES guidelines for introduction of exotic species and certification to ICES requirements regarding parasites and pathogens.</p> | x | | | | <p>Argopecten purpuratus is a native specie in Peru coast.</p> <p><i>Argopecten purpuratus es una especie nativa en la costa de Perú</i></p> |
| <p>Footnote</p> | <p>^[11]At a minimum, farms must have a permit(s) substantiating compliance with ICES guidelines for introduction of exotic species and certification to ICES requirements regarding parasites and pathogens.</p> | | | | | |
| <p>3.4 Criteria: Native species cultivation</p> | <p>Auditor Evaluation (Required CB Actions):</p> <p>Instruction to Clients for Indicator 3.4.1 - Addressing Genetic Concerns Associated with Native Species Cultivation</p> <p>Farms that produce seed are required to demonstrate that they use appropriate designs and monitoring to minimize the risk to the genetic diversity of the wild stock. Farms have four options by which to demonstrate their compliance, and must provide documentation of one of the following:</p> <ol style="list-style-type: none"> 1) <u>Local wild broodstock</u> - Documentation that broodstock is from the wild, local population and that the spawned individuals are frequently rotated within spawning seasons and between years. Shall include the locations where local wild broodstock have been collected and the breeding history of individuals used in the production of seed in order to ensure their appropriate rotation within spawning seasons and between years 2) <u>Reproductive potential</u> - Documentation of the scale of farming activities and the reproductive potential of crops (e.g., whether diploid or triploid, or considering age at harvest 3) <u>Sterile seed production</u> - Documentation of the production of sterile seed for out-planting from breeding programs that intentionally alter wild stocks for improved culture traits, such as growth, yield, survival and morphology. 4) <u>Selective breeding for restoration</u> - Documentation of cooperation with restoration efforts in the geographic region using out-planting that involves the intentional divergence from wild stocks to produce disease resistant wild populations. | | | | | |

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| <p>3.4.1</p> | <p>Indicator: For hatchery produced seed, documentation of efforts made to address genetic concerns specific to species and geographic region where the seed will be out- planted Requirement: Required Applicability: All farms producing seed</p> | <p>A. Verify that efforts have been made to address genetic concerns specific to species and the geographic region where the seed will be out-planted. Document in the audit report the farms use of the local, wild population for the broodstock with appropriate rotation of spawned individuals. If there is uncertainty about whether a broodstock is of local origin, record source locality in the audit report (OR)</p> | <p>x</p> | <p>Use of wild broodstock as seed and then is took as broodstock. New batches of wildseed are used to produce new broodstock. Record of traceability are complete showing broodstock sources. Documents reviewed: Broodstock management protocol, Annual Hatchery Projection, Hatching records. <i>Uso de reproductores silvestres como semilla y luego se usan como reproductores. Nuevos lotes de semilla silvestre se utilizan para producir nuevos reproductores. Registros de trazabilidad están disponibles y completos mostrando las fuentes de reproductores</i> <i>Documentos revisados: protocolo de manejo de reproductores, Proyección anual de hatchery, registros de eclosión.</i> Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>x</p> | <p>Use of wild broodstock as seed and then is took as broodstock. New batches of wildseed are used to produce new broodstock. Record of traceability are complete showing broodstock sources. Documents reviewed: Broodstock management protocol, Annual Hatchery Projection, Hatching records. <i>Uso de reproductores silvestres como semilla y luego se usan como reproductores. Nuevos lotes de semilla silvestre se utilizan para producir nuevos reproductores. Registros de trazabilidad están disponibles y completos mostrando las fuentes de reproductores</i> <i>Documentos revisados: protocolo de manejo de reproductores, Proyección anual de hatchery, registros de eclosión.</i> Estrategy a. Is used. <i>Se usa estrategia a.</i></p> |
| <p>3.4.1</p> | <p>B. Verify that the reproductive potential (e.g., whether diploid or triploid, or considering age at harvest and age at first maturation) of the hatchery produced seed is well-below the size and reproductive potential of the natural population within a reasonable "dispersal kernel" from the farm are (OR)</p> | <p>x</p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>x</p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> |
| <p>3.4.1</p> | <p>C. Verify the existence of a breeding program that produces altered sterile seed for out- planting (OR)</p> | <p>x</p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>x</p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> |
| <p>3.4.1</p> | <p>D. Verify that the farm's breeding program is in coordination with existing restoration efforts in the geographic region.</p> | <p>x</p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>x</p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> | <p>Estrategy a. Is used. <i>Se usa estrategia a.</i></p> |
| <p>Auditor Evaluation (Required CB Actions):</p> | | | | | | |
| <p>3.5 Criteria: Transgenic animals</p> | <p>Indicator: Allowance for farming of transgenic[12] animals Requirement: None Applicability: All</p> | <p>A. Verify that farm documents show the origin of culture stock with names, addresses and contact person(s) of suppliers.</p> | <p>x</p> | <p>All seed comes from natural captation or produced at owned hatchery that use wild broodstock. All records of traceability available. No suspects of GM animals. <i>Toda la semilla proviene de la captación natural o producida en hatchery de su propiedad que utiliza reproductores silvestres. Todos los registros de trazabilidad disponibles. No hay sospecha de animales transgénicos.</i></p> | <p>x</p> | <p>All traceability records from stocking to harvest available showin use of no GM animals <i>Todos los registros de trazabilidad de inventario a la cosecha están disponibles mostrando uso de animales no transgénicos.</i></p> |

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| | Footnote: [12] Introduced genes from other species | C. Suspicion of transgenic shellfish being cultured requires validation by the sampling of 3 individuals from suspected stock and shipped for genetic mapping by an ISO 17025 certified laboratory to determine gene sequence and unknown sequences | x | | | No suspects of GM animals. <i>No hay sospecha de animales transgénicos.</i> |
| PRINCIPLE 4. MANAGE DISEASE AND PESTS IN AN ENVIRONMENTALLY RESPONSIBLE MANNER | | | | | | |
| 4.1 Criteria: Disease and pest management practices | | | | | | |
| Auditor Evaluation (Required CB Actions): | | | | | | |
| Instruction to Clients for Indicator 4.1.1. - Use of mutagenic, carcinogenic or teratogenic pesticides All farms must maintain a record of chemical use and chemical supplier contact information. Technical information on all chemical used by the farm shall be provided during the audit. Technical information on pesticides and other chemicals can be obtained through the World Health Organization, International Programme on Chemical Safety (IPCS): http://www.who.int/ipcs/en/ ; http://www.inchem.org/ . | | | | | | |
| 4.1.1 | Indicator: Allowance for the application of mutagenic, carcinogenic or teratogenic pesticides on the farm or farmed animals Requirement: None Applicability: All | A. Verify by inspection and review of chemical use records that no mutagenic, carcinogenic or teratogenic pesticides are used by the farm and/or contractors on the farm or farmed animals during any stage of culture. | x | | | No evidence of use of mutagenic, carcinogenic or teratogenic pesticides. Pesticides used from January to May were crosschecked with inchem.org database. <i>No hay evidencia de uso de pesticidas mutagénicos, carcinogénicos o teratogénicos. Pesticidas usados desde enero a mayo fueron revisados en base de datos inchem.org</i> |
| | | B. Verify chemical supplier and contact information | x | | | All chemical safety data sheets are available with respective provider contact information <i>Hojas de seguridad de todos los químicos disponibles con los datos de contacto de los proveedores</i> |
| | | C. Inspect the farm's chemical inventory and cross-check to a sample of records for purchase and receipt. | x | | | Inventory of materials review. Chemicals used from January to May were reviewed and the record is accurate <i>Se reviso inventario de materiales. Químicos usados desde enero a mayo fueron verificados y el registro es correcto</i> |
| Instruction to Clients for Indicator 4.1.2. - Use of chemicals that persist as toxins | | | | | | |
| Chemicals that are known to persist as toxins include heavy metals and organic pollutants. A list of persistent organic pollutants (POPs), as recognized under the Stockholm Convention, can be found here: http://chm.pops.int/Convention/ThePOPs/ListingofPOPs/tabid/2509/Default.aspx | | | | | | |
| | Indicator: Allowance for the application of chemicals that persist as toxins in the marine environment or on the farm or | A. Verify by inspection and review of chemical use records that no chemicals are used by the farm and/or contractors on the farm or farmed animals that can persist as toxins in the marine environment. | x | | | No evidence of use of persistent toxic chemicals. Chemicals used from January to May were crosschecked with POPs database. <i>No hay evidencia de uso de químicos que tengan toxicidad residual. Pesticidas usados desde enero a mayo fueron revisados en base de datos de POPs.</i> |
| 4.1.2 | | | | | | |

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| 4.1.4 | <p>farmed animals Requirement: None Applicability: All</p> | <p>B. Verify chemical supplier and contact information</p> | x | <p>All chemical safety data sheets are available with respective provider contact information <i>Hojas de seguridad de todos los químicos disponibles con los datos de contacto de los proveedores</i></p> | | | | | | | <p>C. Inspect the farm's chemical inventory and cross-check to a sample of records for purchase and receipt.</p> | <p>Inventory of materials review. Chemicals used from January to May were reviewed and the record is accurate <i>Se reviso inventario de materiales. Químicos usados desde enero a mayo fueron verificados y el registro es correcto</i></p> |
| 4.1.3 | <p>Indicator: Only non-lethal management (e.g., exclusion, deterrents and removal) of critical species^[13] that are pests or predators Requirement: Yes Applicability: All</p> | <p>A. Validate the accuracy of the control devices listed through site inspection</p> | x | <p>No critical species that require management, pest control are focused in rodents and insects <i>No hay especies en estado crítico que requieren manejo, control de plagas está enfocado en roedores e insectos</i></p> | | | | | | | <p>B. Verify that the farm takes appropriate precautions to ensure that no IUCN Red List species are harmed.</p> | <p>Pest control is only used in headquartes within PBC pipes fixed to the floor. No access of threatened species <i>Control de plagas es solo usado en campamento, dentro de tubos de PBC, fijados al piso. No hay acceso de especies amenazadas</i></p> |
| Footnote | <p>^[13]As defined by national law or as found in the IUCN Red List of Threatened Species.</p> | | | | | | | | | | | |
| 4.1.4 | <p>Indicator: Allowance for the use of leadline or lead sinkers on predator netting Requirement: None Applicability: All</p> | <p>A. Verify through site inspection that these materials are not located on or used by the farm.</p> | x | <p>No evidence of use of lines of lead and lead weights <i>No evidencia de uso de líneas de plomo y pesos de plomo</i></p> | | | | | | | | |
| 4.1.5 | <p>Indicator: Allowance for the use of explosives Requirement: None Applicability: All</p> | <p>A. During the on-site audit, verify that there are no explosives on site. Confirm during interviews with local community members that the farm does not use explosives.</p> | x | <p>No evidence of use of explosives <i>No evidencia de uso de explosivos</i></p> | | | | | | | | |
| <p>PRINCIPLE 5. USE RESOURCES EFFICIENTLY</p> | | | | | | | | | | | | |
| <p>5.1 Criteria: Waste management/pollution control</p> | | | | | | | | | | | | |
| <p>Auditor Evaluation (Required CB Actions):</p> | | | | | | | | | | | | |

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| 5.1.1 | <p>Indicator: Evidence of waste reduction (e.g. reuse and recycling) programs Requirement: Yes Applicability: All</p> | <p>A. During the on-site inspection look for evidence of recycling of waste materials</p> | x | | | <p>Wastes are separated by type and sent for recycling, strings are retrieved and reused for other purposes. Ropes, buoys and lanterns are the most generated materials, reuse of ropes, buoys are repaired, repair of lanterns. Buoys are accumulated until sufficient volume to be collected for recycling</p> <p><i>Desechos son separados por tipos y enviados a reciclar; cuerdas son recuperadas y reusadas en otros fines.</i></p> <p><i>Cuerdas, boyas y linternas son los materiales mas generados, reuso de cuerdas, reparacion de boyas, reparacion de linternas. Boyas son acumuladas hasta que volumen sea suficiente para ser recolectadas por reciclador</i></p> |
| 5.1.2 | <p>Indicator: Evidence of appropriate storage and/or disposal of biological waste Requirement: Yes Applicability: All</p> | <p>A. Verify that the farm has a plan for the proper disposal of biological waste.</p> <p>B. Verify from farm records that disposals follow the farm's plan.</p> <p>C. During the on-site inspection, confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.</p> | x | x | | <p>Procedure to handle biological wastes is available and implemented. Collection was witnessed during audit. Some wastes are composted and distributed for agriculture use.</p> <p><i>Procedimiento para manejar los desechos biológicos está disponible y aplicado. Colección fue observada durante la auditoría. Parte de los desechos biológicos son compostados y usados en agricultura.</i></p> <p>There are not records available for disposal or composting of biological wastes.</p> <p><i>No hay registros disponibles de disposición y compostaje de desechos biológicos.</i></p> <p>Waste Collection evidenced in audit. Composting area and process was observed.</p> <p><i>Recoleccion de desechos evidenciada en auditoría, area y proceso de compostaje fue observado.</i></p> <p>No evidence of burning. Hazardous waste is stored since 2011, are being managed withdrawal by an authorized manager. Properly stored.</p> <p><i>No evidencia de quema. Residuos peligrosos son almacenados desde 2011, se estan gestionando retiro por parte de gestor autorizado. Se almacenan adecuadamente.</i></p> |
| 5.1.3 | <p>Indicator: Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes Requirement: Yes Applicability: All</p> | <p>A. Verify that the farm has sufficiently documented prevention and response plans for dealing with potential spills of chemical and hydrocarbon waste.</p> | x | | | <p>There is a documented response plan and sufficient material to retain spillage. Material available on site</p> <p><i>Existe un plan documentado y material es suficiente par retener el derrame. Material esta disponible en el sitio</i></p> |
| 5.1.4 | <p>Indicator: Spill prevention and response plan for chemicals/hydrocarbons originating from farming operations Requirement: Required Applicability: All</p> | <p>B. Verify that the farm has sufficiently documented the training of all employees in current prevention and response plans to manage chemical and hydrocarbon spills.</p> | x | x | | <p>No documented trainings to workers however they showed knowledge in ho to manage a hydrocarbon spillage.</p> <p><i>No se tienen entrenamientos documentados pero el personal evidencio conocimiento de cómo manejar un derrame de hidrocarburos.</i></p> |

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| | C. Verify that the farm has sufficiently documented equipment or structures that have come into contact with spilled chemicals and the actions taken to clean the affected areas. | x | | | | No fuel spillages reported until now <i>No se han reportado derrames hasta ahora</i> |
| Criteria 5.2: Energy efficiency | | | | | | |
| Auditor Evaluation (Required CB Actions): | | | | | | |
| Indicator: Evidence of energy use monitoring relative to production and ongoing effort to improve efficiency Requirement: Yes Applicability: All | A. Verify the farm maintains records. | x | | | | Records and calculations available for Diesel, Gasoline, from May 2013 to April 2014, information is correct regarding invoices checked randomly <i>Registros y calculos disponibles para: Diesel, Gasoline desde mayo 2013 a abril 2014, informacion es correcta con respecto a facturas revisadas aleatoriamente.</i> |
| | B. Verify the accuracy of the calculated annual energy consumption. | x | | | | Calculation is correct according to the standard reference calculations <i>Calculo es correcto de acuerdo a calculos referenciales del standard</i> |
| | C. Verify the accuracy of the calculated energy consumption relative to production. | x | | | | The result of energy use per MT produced is: <i>El resultado de uso de energia por TM producida es:</i> 1.808.087 KJ/MT |
| | D. Report the main procedures used by the farm to improve energy efficiency and include a short summary of effectiveness in the audit report. | x | | | | Company started to use solar panels with the communications antennas. Its planned to use same system to provide energy to the office for computers. <i>La compañía comenzó a utilizar paneles solares con las antenas de comunicaciones. Se planifica utilizar el mismo sistema para proporcionar energía a la oficina para las computadoras.</i> |
| Indicator: Maintenance records for farm equipment (e.g., boats and generators) are up to date and available Requirement: Yes Applicability: All | A. Verification that the farm has a plan covering regular maintenance of key farm equipment. | x | | | | There is a schedule of maintenance for all engines, boats, generators and compressors. <i>Hay un plan de mantenimiento para todos los motores, botes, generadores y compresores.</i> |
| | B. Verify that maintenance records of equipment are accurate and complete for prior 12 month period | | | | x | Maintenance records available but not exact to the established plan, annual maintenance records but the plan states that are monthly. <i>Registros de mantenimiento disponibles pero no son exactos al plan establecido. Se observaron registros de mantenimiento anuales pero el plan establece que son mensuales.</i> |
| 5.2.2 | | | | | | |
| PRINCIPLE 6. BE A GOOD NEIGHBOR AND CONSCIENTIOUS COASTAL CITIZEN | | | | | | |
| 6.1 Criteria: Community relations and interaction | | | | | | |
| Auditor Evaluation (Required CB Actions): | | | | | | |

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| | <p>Indicator: Visible floats must be of a uniform color, except where otherwise specified by law (if applicable to growing area) Requirement: Required Applicability: All</p> | <p>A. If applicable, verify through site inspection that floats are uniformly colored. B. Verify that lights and bright colored buoys are minimized in comparison to those required for navigational safety</p> | <p>x</p> | | | <p>All floatation devices are gray or dark blue <i>Todos los dispositivos de flotación son grises o azul oscuro.</i> Colored buoys are only used in the vertices of concession limits. <i>Boyas de colores solo son usadas en los vertices de los límites de la concesion.</i> Positioning uniform and controlled, and provided perpendicularly to the flow <i>Posicionamiento uniforme y controlado, y establecido en forma perpendicular a la corriente</i></p> |
| 6.1.1 | <p>Indicator: Uniform positioning and orientation of visible farm structures, except where specified by law (if applicable to growing area) Requirement: Required Applicability: All</p> | <p>A. Verify through site inspection</p> | <p>x</p> | | | <p>No styrofoam floats observed <i>No se observaron flotadores de styrofoam</i></p> |
| 6.1.3 | <p>Indicator: Allowance for floats made out of open-cell Styrofoam Requirement: None Applicability: All</p> | <p>A. Verify through site inspection that open-cell Styrofoam is not located on or used by the farm.</p> | <p>x</p> | | | <p>Environmental management plan details the contamination sources. <i>Plan de manejo ambiental detalla las fuentes de contaminación.</i></p> |
| 6.1.4 | <p>Indicator: Noise, light and odor originating from the farm are minimized in areas where it may impact others (if applicable to growing area) Requirement: Required Applicability: All</p> | <p>A. Verify the existence of a list of all sources of noise, light and odor originating on the farm. Verify that actions taken to reduce these sources are appropriate. B. Verify through site inspection that storage areas and containers for materials that may create odor exist and are clearly designated. A. The farm maintains a copy of local navigational rules and regulations.</p> | <p>x</p> | | | <p>Biological wastes are collected and cleaned from culture systems at a specific area of the land facility, there the wastes are stored and composted. No bad odors were detected that may disturb local populations. <i>Residuos biológicos se recogen y se limpian de los sistemas de cultivo a un área específica de la instalación de tierra, se se almacenan los residuos y compostan. No se detectaron malos olores que puedan molestar a las poblaciones locales.</i> Enrollment of boats available, enrollment certificates of vessels and equipment. Large and small vessels have updated enrollment that are inspected annually. <i>Matriculas de embarcaciones disponibles, Certificados de matriculas de naves y artefactos navales. Embarcaciones grandes y pequeñas cuentan con matriculas actualizadas que son inspeccionadas anualmente.</i> There is no evidence of training to boat pilots. However by experience pilots showed knowled on navigation rules No se tiene evidencia de entrenamiento a los pilotos de las embarcaciones. Sin embargo por experiencia los pilotos demostraron conocimiento de las reglas de navegacion.</p> |

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| 6.1.5 | | C. Verify through on-site interviews that workers are able to demonstrate an understanding of local navigational rules and regulations and the competency to act in accordance. | x | | | | Boat pilots showed knowledge of the navigation rules during interview. <i>Pilotos mostraron conocimiento durante entrevista de las reglas de navegacion</i> |
| 6.1.6 | Indicator: Documented cleanup of receiving shoreline in response to gear loss based on local conditions Requirement: Required Applicability: All | A. Verify the existence of a record of cleaning the receiving shoreline. Verify that the cleanup frequency accurately reflects the probability of gear loss based on local conditions. | x | | | | Registro de recuperacion de boyas en mar y tierra diario sumariado mensualmente desde mayo 2013 a abril 2014. No accumulation of culture systems wastes on the beach. <i>Record recovery buoys offshore and land daily summarized monthly from May 2013 to April 2014. No se observo acumulacion de desechos de los sistemas de cultivo.</i> |
| 6.1.7 | Indicator: Substantial gear (e.g., floats, cages, bags, predator nets and racks) is identifiable to farm (if applicable to growing area) Requirement: Yes Applicability: All | A. Verify through site inspection that any farm equipment is attributable to farm. | x | | | | Culture lanterns are identifiable by its manufacture, buoys are identifiable by a number. <i>Linternas son identificables por su fabricacion, boyas son identificables por numeracion</i> |
| 6.1.8 | Indicator: Provision of equipment for gear recovery (e.g., scoop nets and grapple hooks) Requirement: Required Applicability: All | A. Verify through site inspection that the farm has recovery equipment and/or mechanisms for recovering lost gear. | x | | | | Bottom cleaning is performed with divers whenever the conditions are right, revised records of recovery from July 2013 to May 2014, retrieved equipments are detailed. <i>Se realiza limpiezas de fondo con buzos cada vez que las condiciones sean propicias, registros revisados desde julio a mayo 2014, se detallan equipos recuperados.</i> |
| 6.1.9 | Indicator: A mechanism (e.g., insurance or an industry agreement to collect derelict gear) is in place for the decommissioning of abandoned farms Requirement: Yes Applicability: All | A. Verify the existence of a mechanism for the collection and decommissioning of gear. | x | | | | For material damaged by conditions or not to continue using is recovered and dismantled, it is discarded by authorized and registered company. <i>Si hay material dañado por condiciones o que no se pueda seguir utilizando es recuperado y desmantelado, se desecha por medio de empresa autorizada y es registrado.</i> |
| 6.1.10 | Indicator: Conflict resolution protocol, including publicly available registry of complaints and evidence of due diligence to resolve them Requirement: Required Applicability: All | A. Verify the existence of a farm protocol for responding to complaints lodged by stakeholders, community members, and organizations. B. Verify that the farm implements its policy for handling stakeholder complaints as evidenced by farm documentation. C. Verify from the record that past complaints, when brought to farm attention, were dealt with swiftly. Confirm through interviews with representatives from the local community. | x | | | | The company has a document called: Policies of harmonic convivence with neighbour communities <i>La compañía tiene un documento llamado: Políticas de convivencia armonica con las comunidades aledañas.</i> No complaints recorded until now. This was confirmed by local community interviews. <i>No se han registrado quejas hasta ahora. Esto fue confirmado con entrevistas a la comunidad local.</i> No complaints recorded until now, but there is not a specific format to record and follow up complaints No se han registrado quejas hasta ahora, pero no hay in formato específico para registrar y dar seguimiento a las quejas. |

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| 6.1.1.1 | <p>Indicator: Evidence of outreach (e.g., meeting records, newsletters, consultation with communities and indigenous groups, or membership in association with documented outreach program) Requirement: Required Applicability: All</p> | <p>A. Verify that the client has documentary evidence of community outreach</p> | x | | | <p>The company has a document called: Policies of amonic convivence with neighbour communities, this document establish the ways of communication with community like meetings and information sharing. Annual meetings are recorded. Cooperation activities as donation of clinical material to the local medical center are recorded.</p> <p><i>La compañía tiene un documento llamado: Políticas de convivencia armonica con las comunidades aledañas. Este documento establece las vías de comunicacion con la comunidad como reuniones o entrega de información. Reuniones anuales son registradas. Actividades de cooperacion como donacion de materiales clinicos al centro medico local han sido registradas.</i></p> |
| 6.1.1.2 | <p>Indicator: Evidence of acknowledgment of indigenous groups' rights (if applicable to growing area) Requirement: Required Applicability: All</p> | <p>A. Verify that records of agreement or proof of acknowledgement are evident and available.</p> | | | x | <p>No indigenous groups next to the farm. <i>No habitan grupos indigenas cerca de la finca.</i></p> |
| <p>***** Social requirements of this Standard shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1. (See ASC Farm Certification and Accreditation Requirements) <i>Interviews with farm workers and others will be part of this audit.</i> It will be up to the auditor's (random) discretion who will be interviewed and when and how this will be done. *****</p> | | | | | | |
| <p>PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY AND CULTURALLY RESPONSIBLE MANNER 7.1. <i>Criteria: Child labor</i></p> | | | | | | |
| <p>Compliance Criteria (Required Client Actions): a. Minimum age of permanent workers is 15 or higher (per national legal minimum age).</p> <p>Were review the list of active workers of the 3 legal companies inside the audit scope. A total of 172 workers, identifying the youngest one with 18 year old. In the Internal Rules of the company in the requirements to sign a contract with the company is establish the minimum of 18 years old (Chapter 1).</p> <p>Se reviso la lista de los trabajadores en activo de las 2 empresas legales dentro del alcance de la auditoría. Un total de 172 trabajadores, la identificación de la más joven, con 18 años de edad. En el Reglamento Interno de la compañía en los requisitos para firmar un contrato con la empresa es establecer el mínimo de 18 años de edad (chapter 1).</p> | | | | | | |

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| <p>Indicator: Incidences of child [14] labor [15] Requirement: 0 Applicability: All</p> | <p>b. System exists to monitor hours and conditions of young workers and light work by children.</p> <p>c. Young workers from 15 to 18 years of age [as defined in footnote 16]: have no conflicts between work and schooling; do not spend more than 10 hours/day on transportation time, school and work; and do not perform hazardous work [as defined in footnote 17].</p> <p>d. Children under 15 perform only light work. Light work & school not to exceed 7 hours/day.</p> <p>e. Equal treatment for children of migrant workers.</p> | | | | | <p>The company does not hire young workers, the minimum require age is 18 years old. To confirm this the company require a copy of the ID Card (DNI)</p> <p>La empresa no contrata a los trabajadores jóvenes, los requieren mínimo de edad es de 18 años. Para confirmar esto, la compañía requerirá una copia de la tarjeta de identificación (DNI)</p> <p>The company does not hire young workers, the minimum require age is 18 years old.</p> <p>La empresa no contrata a los trabajadores jóvenes, los requieren mínimo de edad es de 18 años.</p> <p>The company does not hire young workers, the minimum require age is 18 years old.</p> <p>La empresa no contrata a los trabajadores jóvenes, los requieren mínimo de edad es de 18 años.</p> <p>The company does not hire young workers, the minimum require age is 18 years old.</p> <p>La empresa no contrata a los trabajadores jóvenes, los requieren mínimo de edad es de 18 años.</p> |
| <p>7.1.1.</p> <p>Footnote</p> <p>[14] A "child" is defined as any person less than 15 years of age. A higher age would apply if the minimum age law stipulates a higher age for work or mandatory schooling. If, however, the local minimum age law is set at 14, in accordance with developing country exceptions under International Labor Organization (ILO) Convention 138, the lower age will apply.</p> <p>Footnote</p> <p>[15] "Child labor" is defined as any work by a child younger than the age specified in the definition of a child, except for light work as provided for by ILO Convention 138, Article 7.</p> <p>Footnote</p> <p>[16] A "young worker" is defined as any worker between the age of child, as defined above, and under the age of 18.</p> <p>Footnote</p> <p>[17] "Hazardous work" is defined as work that, by its nature or circumstances in which it is carried out, is likely to harm the health or safety of workers.</p> | | | | | | |
| <p>7.2. Criteria: Forced, bonded, compulsory labor</p> | | | | | | |
| <p>Compliance Criteria (Required Client Actions):</p> | | | | | | |
| <p>a. Contracts clearly stated and understood by employees, no 'pay to work' schemes through labor contractors or training credit programs.</p> | | | | | | |
| <p>b. Employees free to leave workplace and manage their own time.</p> | | | | | | |
| <p>Indicator: Incidences of forced [18], bonded [19], or compulsory labor</p> | | | | | | |

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| <p>Requirement: 0 Applicability: All</p> | <p>c. Employer does not withhold employee's original identity papers.</p> <p>d. Employer shall not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer.</p> <p>e. Employees not obligated to stay in job to repay debt.</p> | <p>X</p> <p>X</p> <p>X</p> | | | | | | <p>The company does not keep with original documents of any workers.</p> <p>La compañía no mantiene con los documentos originales de cualquier trabajador.</p> <p>Workers do not have any discounts by the employer</p> <p>Los trabajadores no tienen ningún descuentos por el empleador</p> <p>Workers just work during the working day with the establish hours and in the assigned activities since the morning.</p> <p>Los trabajadores sólo trabajan durante la jornada laboral con el horario de establecer y en las actividades asignadas desde la mañana.</p> | |
| <p>7.2.1.</p> | <p>Footnote</p> | <p>[18] "Forced labor" is all work or service that is extracted from any person under the menace of any penalty for which said person has not offered himself or herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions and physical punishment, such as loss of rights and privileges or restriction of movement (or withholding of identity documents).</p> | <p>[19] "Bonded labor" is when a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.</p> | <p>7.3. Criteria: Discrimination</p> | | | | | |
| <p>7.3.1.</p> | <p>Footnote</p> | <p>Indicator: Incidences of discrimination [20] Requirement: 0 Applicability: All</p> | <p>Compliance Criteria (Required Client Actions):</p> <p>a. Written anti-discrimination policies in place, stating that the company does not engage/support in 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</p> <p>b. Worker testimony supports that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination. Records indicate objective mechanisms for employee reviews and the offering of promotion and training opportunities</p> | <p>X</p> <p>X</p> | | | | <p>The company has a Memo 04-2014/GG of April 08th, 2014, communicating the Policy of No Discrimination. In the document is easy to identified the sign of reception of all the chiefs of the diferentes areas.</p> <p>La empresa cuenta con un Memo 04-2014 / GG de Abril 08th, 2014, la comunicación de la Política de No Discriminación. En el documento es fácil de identificar la firma de recepción de todos los jefes de las diferentes areas.</p> <p>During the interviews workers mention their satisfaction with the company for the equitable treatment and prohibition of discrimination.</p> <p>Durante las entrevistas los trabajadores mencionan su satisfacción por la compañía para el tratamiento equitativo y la prohibición de la discriminación.</p> | |
| <p>7.3.1.</p> | <p>Footnote</p> | <p>[20] "Discrimination" is any distinction, exclusion or preference, which has the effect of nullifying or impairing equality of opportunity or treatment. Not all distinction, exclusion or preference constitutes discrimination. For instance, a merit or performance-based pay increase or bonus is not by itself discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.</p> | <p>7.4. Criteria: Health and safety</p> | | | | | | |
| <p>7.4. Criteria: Health and safety</p> | | | | | | | | | |

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| 7.4.1. | <p>Indicator: All health and safety related accidents and violations are recorded and corrective action is taken when necessary Requirement: Yes Applicability: All</p> | <p>a. Documentation is generated with regards to occupational health and safety violations.</p> <p>b. Corrective action plans are implemented in response to accidents that have occurred. This should include: analysis of the root causes, address the root causes, remediate and prevent future accidents of similar nature.</p> | x | | | | <p>The company has a medical office with a nurse and a doctor for all the diseases and accidents present. Also with a preventive health program. Have a complete statistical information for the accidents and an investigation to identified the root-cause and to defined the corrective actions.</p> <p><i>La empresa cuenta con una oficina médica con una enfermera y un médico para todas las enfermedades y accidentes presentes. También con un programa de salud preventiva. Esta disponible la información estadística completa de los accidentes y una investigación para identificar la causa raíz y define las acciones correctivas.</i></p> |
| 7.4.2. | <p>Indicator: Occupational health and safety training is available for all employees Requirement: Yes Applicability: All</p> | <p>a. Minimization of hazards/risks in the working environment, including documented systemic procedures and policies to prevent workplace hazards and their risks, shall exist and the information shall be available to employees.</p> <p>b. Emergency response procedures shall exist and be known by employees.</p> <p>c. Health and safety training for all employees is available, including training on potential hazards and risk minimization.</p> <p>d. Potentially dangerous chemicals are stored properly and as prescribed.</p> | x | x | | | <p>Have a complete statistical information for the accidents and an investigation to identified the root-cause and to defined the corrective actions.</p> <p><i>Se posee información estadística completa de los accidentes y una investigación para identificar la causa raíz y define las acciones correctivas.</i></p> <p>The occupational committee is elected but is not having the monthly sessions to review the health and safety risks and to promote the preventive actions. During site visit was observed that the diving compressor does not have a filter to retain oil vapors.</p> <p><i>El comité ocupacional es elegido, pero no está teniendo las sesiones mensuales para revisar los riesgos de salud y seguridad y promover las acciones preventivas.</i></p> <p><i>Durante la visita la sitio se observo que los compresores de buceo no tienen filtro para retener los vapores de aceite.</i></p> <p>The company has emergency plan documented, with all the actions to have a good response for the emergencies. The emergency plan is known by the workers and also is tested with drills</p> <p><i>La compañía ha documentado plan de emergencia, con todas las acciones para tener una buena respuesta para las emergencias. El plan de emergencia es conocido por los trabajadores y también se lo prueba con los simulacros.</i></p> <p>The company has the internal rules for security and health in the work, a document known by all workers.</p> <p><i>La empresa cuenta con las normas internas de seguridad y salud en el trabajo, un documento conocido por todos los trabajadores.</i></p> <p>Hydrocarbon and lubricants storages have appropriate spillage collection devices.</p> <p>Almacenamiento de lubricantes e hidrocarburos tienen dispositivos de recolección de derrames adecuado.</p> |

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| 7.4.3. | <p>Indicator: Employer responsibility and proof of insurance (accident or injury) for employee medical costs in a job-related accident or injury, unless otherwise covered</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | <p>a. Documentation maintained by management confirms that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries. Equal insurance coverage must include temporary, migrant or foreign workers.</p> | x | | | | | <p>The company pays correctly the obligations of the social security and the insurance policy for all workers.</p> <p><i>La empresa paga correctamente las obligaciones de la seguridad social y la póliza de seguro para todos los trabajadores.</i></p> |
| 7.5 Criteria: Fair and decent wages | | | | | | | | |
| Compliance Criteria (Required Client Actions): | | | | | | | | |
| <p>Indicator: Payment of fair and decent wages</p> <p>Requirement: Yes</p> <p>Applicability: All</p> | | | | | | | | |
| <p>a. Employers/Managers understand and have policies to ensure the principle of equal pay for equal work.</p> <p>b. Employers ensure wages paid for a standard working week (no more than 48 hours) always meet, at least, legal/industry minimum standards.</p> <p>c. Labor conflict resolution policy in place to track conflicts and complaints raised, and responses to conflicts and complaints.</p> <p>d. Ratio of lowest wage rate to basic needs wage always exceeds 100%.</p> | | | | | | | | |
| x | | | | | | | | |
| <p><i>Los salarios se definen por la actividad, todo el mundo sabe y entiende cómo el salario se calcula.</i></p> <p>Every worker have the wage for all the days worked. They received a document with the detail of each payment. If they work overtime they have another remuneration with the premium indicated by the law.</p> <p><i>Todo trabajador tiene el salario de todos los días trabajados. Ellos recibieron un documento con el detalle de cada pago. Si trabajan horas extras tienen otra remuneración con el premio indicado por la ley.</i></p> <p>The conflict resolution procedure is known by all workers, is indicated in the Internal Rules of Work given to each worker at the moment of hire and contract signed.</p> <p><i>El procedimiento de resolución de conflictos es conocido por todos los trabajadores, se indica en el Reglamento Interno de Trabajo dados a cada trabajador en el momento de la contratación y el contrato firmado.</i></p> <p>the lowest wage complies with the indication for minimum salary in Peru, S750 per month.</p> <p><i>El salario más bajo cumple con la indicación para el salario mínimo en el Perú, S750 por mes.</i></p> | | | | | | | | |
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| 7.6 Criteria: Freedom of association and collective bargaining | | | | | | | | |
| Compliance Criteria (Required Client Actions): | | | | | | | | |
| <p>a. Workers have the freedom to form and join any trade union, free of any form of interference from employers or competing organizations set up or backed by the employer. The ILO specifically prohibits "acts which are designed to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations".</p> <p>b. Local trade union, or where none exists a reputable civil-society organization, confirms no outstanding cases against the employer for violations of employees' freedom of association and collective bargaining rights.</p> | | | | | | | | |
| x | | | | | | | | |
| | | | | | | | | |
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| | | | | | | | | |
| <p>The company does not have any policies to limited the freedom of association of the workers.</p> <p><i>La compañía no tiene ninguna política para limitar la libertad de asociación de los trabajadores.</i></p> <p>The company does not violate the rights of freedom of association and collective bargaining.</p> <p><i>La compañía no viola los derechos de libertad sindical y negociación colectiva.</i></p> | | | | | | | | |
| <p>Indicator: Employees have access to</p> | | | | | | | | |

| | | | | |
|---|--|----------|--|---|
| <p>freedom of association and collective bargaining Requirement: Yes Applicability: All</p> | <p>c. Trade union representatives have access to their members in the workplace at reasonable times on the premises.</p> <p>d. Explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all.</p> <p>e. If trade unions exist, they are able to access/inform all workers directly (posters, pamphlets, visits).</p> | <p>x</p> | <p>In the company does not exist any trade union or workers representation <i>En la empresa no existe ninguna representación sindical o de los trabajadores</i> There are not explicit communications from the company regarding the commitment with freedom of association <i>No hay comunicaciones explícitas de la empresa en relación con el compromiso con la libertad de asociación.</i> In the company does not exist any trade union or workers representation <i>En la empresa no existe ninguna representación sindical o de los trabajadores</i></p> | <p>En el capítulo XII del Reglamento Interno de trabajo se indican los procedimientos disciplinarios. Fines or deductions as disciplinary measures are not apply in any moment <i>Las multas o deducciones como las medidas disciplinarias no se aplican en ningún momento.</i> In the chapter XII of the Internal Rules of work are indicated the disciplinary procedures. <i>En el capítulo XII del Reglamento Interno de trabajo se indican los procedimientos disciplinarios.</i></p> |
| <p>7.6.1.</p> | <p>7.7. Criteria: Non-abusive disciplinary practices</p> | <p>x</p> | <p>In the company does not exist any trade union or workers representation <i>En la empresa no existe ninguna representación sindical o de los trabajadores</i></p> | <p>In the chapter XII of the Internal Rules of work are indicated the disciplinary procedures. <i>En el capítulo XII del Reglamento Interno de trabajo se indican los procedimientos disciplinarios.</i></p> |
| <p>Indicator: Incidences of abusive disciplinary practices occurring on the farm Requirement: 0 Applicability: All</p> | <p>a. There is never any use of support for (e.g. subcontractors using) corporal punishment, mental or physical coercion, or verbal abuse.</p> <p>b. Fines or wage deductions shall not be acceptable as a method for disciplining workers (indicated by policy statements, as well as evidence from worker testimony).</p> <p>c. Procedures exist for situations in which disciplinary action is required, and they establish the use of progressive verbal and written warnings. Aim should always be to improve the worker before letting him/her go. (Indicated by policy statements as well as evidence from worker testimony).</p> | <p>x</p> | <p>In the company does not exist any trade union or workers representation <i>En la empresa no existe ninguna representación sindical o de los trabajadores</i></p> | <p>In the chapter XII of the Internal Rules of work are indicated the disciplinary procedures. <i>En el capítulo XII del Reglamento Interno de trabajo se indican los procedimientos disciplinarios.</i></p> |
| <p>7.7.1.</p> | <p>7.8. Criteria: Working hours</p> | <p>x</p> | <p>No deductions from salary are done as disciplinary measures. <i>No deducciones de salario como medidas disciplinarias.</i> Every worker received a document with the information of how is calculated the salary. <i>Cada trabajador recibió un documento con la información de cómo se calcula el salario</i> The apprentice figure does not exist, only workers with a legal contract work in the company <i>La figura de aprendiz no existe, sólo los trabajadores con un contrato de trabajo legal en la empresa.</i> Every worker received a document with the information of how is calculated the salary. <i>Cada trabajador recibió un documento con la información de cómo se calcula el salario.</i></p> | <p>No deductions from salary are done as disciplinary measures. <i>No deducciones de salario como medidas disciplinarias.</i> Every worker received a document with the information of how is calculated the salary. <i>Cada trabajador recibió un documento con la información de cómo se calcula el salario.</i></p> |
| <p>Indicator: Incidences, violations or abuse of working hours and overtime laws or expectations</p> | <p>a. No deductions in pay for disciplinary actions.</p> <p>b. Wage and benefits are clearly articulated to employees and rendered to employees in a convenient manner; e.g. no need to travel to collect benefits, no promissory notes, coupons or merchandise; payment in cash or check.</p> <p>c. Labor-only contracting or false apprenticeship schemes are not accepted, including: revolving/consecutive labor contracts used to deny benefit accrual.</p> <p>d. Clear, transparent mechanism for wage setting known to employees.</p> | <p>x</p> | <p>No deductions from salary are done as disciplinary measures. <i>No deducciones de salario como medidas disciplinarias.</i> Every worker received a document with the information of how is calculated the salary. <i>Cada trabajador recibió un documento con la información de cómo se calcula el salario</i> The apprentice figure does not exist, only workers with a legal contract work in the company <i>La figura de aprendiz no existe, sólo los trabajadores con un contrato de trabajo legal en la empresa.</i> Every worker received a document with the information of how is calculated the salary. <i>Cada trabajador recibió un documento con la información de cómo se calcula el salario.</i></p> | <p>No deductions from salary are done as disciplinary measures. <i>No deducciones de salario como medidas disciplinarias.</i> Every worker received a document with the information of how is calculated the salary. <i>Cada trabajador recibió un documento con la información de cómo se calcula el salario.</i></p> |

Requirement: None
Applicability: All

| | | | | | |
|--|--|----------|--|----------|--|
| <p>Every worker received at least the minimum salary indicated by the law S /750 per month</p> | | | | <p>x</p> | <p>e. Employer shall comply with applicable laws and industry standards related to working hours. "Normal workweek" can be defined by law but shall not on a regular basis (constantly or majority of the time) exceed 48 hours. Only if f. All overtime shall be paid at a premium and should not exceed 12 hours per week.</p> |
| <p>There is evidence of some activities were the overtime exceed the 12 hours per week in the weeks of sample during the audit weeks 7 and 8). The workers in this situation are security and cook.</p> <p><i>Hay evidencia de algunas actividades exceden las 12 horas semanales en las semanas observadas durante la auditoria (semanas 7 y 8). Los trabajadores en esta situación son la seguridad y el cocinero.</i></p> | | <p>x</p> | | | |
| <p>The overtime hours are voluntary and workers like to have them to increment their incomes.</p> <p>Las horas extras son voluntarias y los trabajadores les gusta tenerlas para incrementar sus ingresos.</p> | | | | <p>x</p> | <p>g. Overtime work shall always be voluntary.</p> |

7.8.1.

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 001 |

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

| | |
|--|--|
| Found non-conformity * Mention failing and audit finding and evidence | <p>a. No se tiene evidencia de video o imágenes para demostrar que la operación no se encuentra sobre <i>habitats</i> que provean una función esencial biológica o ecológica en el ecosistema.</p> <p>b. No se cuenta con un mapa que ubique estos ecosistemas en las proximidades de la operación si los hubiere.</p> |
| Section number of checklist/ Reference to standard | 2.1.5 a y b: Prepare results from video or seabed imaging survey of the farm. Summarize information about sensitive habitats in proximity to farming operations |
| Deadline for corrective actions / Fecha limite para cierre | Cierre efectivo: 16 de agosto 2014 |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|--|
| Root Cause / Causa Raíz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | <p>Este registro filmico no se realizó nunca, por existir información oficial y tener conocimiento proporcionado por nuestros especialistas desde el inicio de nuestras actividades, de no existir hábitats que provean una función esencial biológica, o ecológica en el ecosistema del fondo marino ocupado.</p> <p>En el momento de la auditoría, no se tuvieron las evidencias filmicas, ni bibliográficas para demostrarlo.</p> |
| Correction / Corrección Actions take to solve the punctual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento punctual detectado durante la auditoria | <ul style="list-style-type: none"> - Adquirir una cámara de filmación submarina con ubicación satelital. - Tomar vistas fotográficas y filmicas del fondo marino de las concesiones de las empresas mediante buceo. - Registrar los resultados anteriores y graficarlos en mapas de ubicación. - Adjuntar Bibliografía especializada de la descripción del Fondo Marino del Norte del Perú. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | <ul style="list-style-type: none"> - El Equipo Técnico de las empresas incluirá dentro de sus actividades el seguimiento semestral de los fondos marinos de las concesiones, mediante evidencias filmicas, o fotográficas. - Se implementará el uso de una cámara acuática en las operaciones de buceo, con la finalidad de detectar cualquier cambio que se presente en el fondo marino. - Se llevará un registro con las evidencias encontradas durante este seguimiento. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | <ul style="list-style-type: none"> - Registro de implementación del uso de la Cámara filmadora con ubicación satelital operada por el buzo (Anexo 1) - Bibliografía oficial que describe la conformación y textura del fondo marino en la costa norte del Perú, incluyendo nuestras zonas de producción. (Anexo 2) - Registro visual del fondo marino (Anexo 3) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 002 |

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

| | |
|--|---|
| Found non-conformity * Mention failing and audit finding and evidence | No se tiene disponible un mapa que ubique localización de especies amenazadas o en peligro en las cercanías de la finca |
| Section number of checklist/ Reference to standard | 2.3.1 b: Provide a map showing location of the farm relative to the known distribution of endangered species or critical habitats in the area |
| Deadline for corrective actions / Fecha limite para cierre | Envío de Plan de acción: 16 de agosto 2014 Cierre efectivo: Siguiendo auditoria de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|---|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | No se obtuvieron mapas más específicos de la ubicación general de las especies en peligro relacionadas a la zona donde se encuentra la granja. |
| Correction / Correccion Actions take to solve the punctual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | Se obtuvieron mapas generales provistos a través de la Dirección Forestal y de Fauna Silvestre del Ministerio de Agricultura del Perú según los siguientes sitios Web: NatureServe (http://www.natureserve.org) y la IUCN Red List of Threatened Species (http://www.iucnredlist.org) mostrando la distribución geográfica a lo largo del territorio peruano (litoral costero) de las 4 especies en peligro detectadas en el momento de la auditoría. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | Mantener en nuestra base de datos los mapas de la distribución geográfica de las especies amenazadas relacionadas con nuestra zona y buscar más información sobre el hábitat de estas en páginas web especializadas. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | Se adjunta mapas (Anexo 4) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 003 |

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

| | |
|--|---|
| Found non-conformity * Mention failing and audit finding and evidence | No se mantienen registros de eliminación de residuos biológicos que son entregados como compost, ni autorización o registros que respalden la disposición de valvas y algo de fouling en carretera de tierra entre caleta Bayovar y empresa Nemo. |
| Section number of checklist/ Reference to standard | 5.1.2 b: Maintain records to show how the farm disposes of dead bivalves and other forms of biological waste. |
| Deadline for corrective actions / Fecha limite para cierre | Presentación de plan de acción: 16 de agosto 2014 Cierre efectivo: próxima auditoría de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|---|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | No se prepararon los registros de envío a una zona agrícola del material orgánico seco producido por el cultivo "Biofouling", producto del lavado de las linternas y trabajos de los desdoble en las balsas. El equipo se concentró en los buenos resultados obtenidos, mas no en la formalidad de evidenciar los envíos a la zona agrícola de Sechura. |
| Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | <ul style="list-style-type: none"> - Nombrar a un responsable del manejo de los residuos biológicos del cultivo. - Registrar el flujo completo del manejo de los residuos biológicos. - Registrar la entrega del Biofouling Seco (Compost) al asociado agricultor beneficiario de este abono orgánico. - Registrar el empleo de las valvas producto de los desdobles en algunas partes de la trocha carrosable. - Emplear registros fotográficos en todos los casos. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | <ul style="list-style-type: none"> - Se dio la indicación a todas las jefaturas de las empresas, que se deben registrar todas las acciones que se realizan en sus áreas. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | <ul style="list-style-type: none"> - Acta de reunión en la cual se nombra al responsable del cultivo para el manejo de los residuos biológicos de los cultivos. (Anexo 5) - Elaborar el protocolo de manejo y registro de los residuos biológicos del cultivo. (Anexo 6) - Registros fotográficos del manejo actual. (Anexo7) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 004 |

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

| | |
|--|---|
| Found non-conformity * Mention failing and audit finding and evidence | No se han realizado entrenamientos al personal acerca del procedimiento de manejo de derrames de quimicos y combustibles. |
| Section number of checklist/ Reference to standard | 5.1.4 b: Maintain documentation regarding the training history of all employees in the proper disposal of waste and in the prevention and management of chemical and hydrocarbon spills as described in the above plan (5.1.4.a). |
| Deadline for corrective actions / Fecha límite para cierre | Presentación de plan de acción: 16 de agosto 2014 Cierre efectivo: próxima auditoría de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|---|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | Hasta la fecha de la auditoría, no se había contemplado un posible derrame accidental de alguna sustancia química ó combustible, por habernos habituado sin medir las consecuencias de este posible accidente. |
| Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | <ul style="list-style-type: none"> - Se procedió a buscar asesoramiento a un experto en manejo de derrames menores de combustible y otras sustancias químicas. - Se realizó una primera capacitación a las personas que manejan directamente los combustibles y otras sustancias químicas en el campamento. - Se registró la capacitación y se elaboró un acta de la misma, evidenciándose mediante una planilla firmada la asistencia del personal seleccionado. - Los capacitadores entregaron un certificado del entrenamiento realizado. - Se registró el compromiso de realizar más capacitaciones en estos temas de seguridad. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | <ul style="list-style-type: none"> - Se evaluarán todas las operaciones de la empresa, para trabajar mas de manera preventiva que correctiva |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | <ul style="list-style-type: none"> - Lista de los trabajadores participantes en la capacitación “manejo de derrames de combustibles y sustancias químicas”. (Anexo 8) - Certificado de haberse realizado la capacitación. (Anexo 9) - Registros visuales de la campaña de capacitación realizada. (Anexo 10) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 005 |

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

| | |
|--|--|
| Found non-conformity * Mention failing and audit finding and evidence | Registros de mantenimiento disponibles pero no son exactos al plan establecido, Se observaron registros de mantenimiento anuales pero el plan establece que son mensuales. |
| Section number of checklist/ Reference to standard | 5.2.2 b: Maintain records of equipment maintenance. A minimum of 12 months of continuous maintenance records must be provided for the first audit. |
| Deadline for corrective actions / Fecha limite para cierre | Presentación de plan de acción: 16 de agosto 2014 Cierre efectivo: próxima auditoria de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|---|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | La costumbre de llevar un registro de mantenimiento por mes día de trabajo llevado de manera regular, no concuerda con el mantenimiento de los motores fuera de borda, los cuales en el tiempo se vio por conveniente realizarlos por "horas de trabajo", no habiéndose corregido este cambio en los registros del Plan de Mantenimiento. |
| Correction / Correccion Actions take to solve the punctual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento punctual detectado durante la auditoria | <ul style="list-style-type: none"> - Actualizar en el Plan de Mantenimiento que los motores fuera de borda serán por horas de trabajo. - Actualizar los registros a horas de trabajo. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | <ul style="list-style-type: none"> - Evaluación continua de los procedimientos y registros de la empresa. - El Gerente de la empresa revisará y evaluará los formatos de manera periódica. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | <ul style="list-style-type: none"> - Programa de mantenimiento por horas de todos los equipos de la empresa. (Anexo 11) - Formato de registro del mantenimiento por horas. (Anexo 12) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 006 |

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

| | |
|--|---|
| Found non-conformity * Mention failing and audit finding and evidence | No se tienen registros del entrenamiento a operadores de botes fuera de borda acerca de las reglas y procedimientos de navegación |
| Section number of checklist/ Reference to standard | 6.1.5 b: Maintain records of the training of relevant farm staff in local navigational rules and regulations. |
| Deadline for corrective actions / Fecha limite para cierre | Presentacion de plan de accion: 16 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|--|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | No existe en el Perú una escuela técnica para la preparación de motoristas de embarcaciones menores, como las que se operan en nuestra actividad acuícola. El entrenamiento se realiza internamente por cuenta de las empresas a través de nuestro personal de mayor antigüedad que vienen a ser "Prácticos" en estas labores dentro del cultivo. Asimismo no hay exigencias de las autoridades competentes en este requisito de tener una calificación especial para laborar como motorista dentro de un cultivo acuícola. |
| Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | Se buscó y encontró una institución del Estado, como es el "Centro de Entrenamiento Pesquero de Paita", que pertenece al Fondo de Desarrollo Pesquero – FONDEPES - PRODUCE, quienes capacitaron a pedido nuestro a los motoristas que laboran en la empresa en el tema de navegación de embarcaciones menores como las que utilizamos en nuestra actividad. Se coordinó la capacitación a nuestro personal en un módulo intensivo teórico - práctico de 3 días dentro de nuestra concesiones de mar. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | <ul style="list-style-type: none"> - Evaluación a los motoristas para identificar sus posibles carencias en el manejo de las embarcaciones asignadas. - Realizar un programa de evaluaciones periódicas. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | <ul style="list-style-type: none"> - Actas de capacitación a los motoristas los días 18, 19 y 20 de Junio del presente. (Anexo 13) - Certificados de capacitación. (Anexo 14) - Registros visuales de capacitación. (Anexo 15) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 007 |

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

| | |
|--|---|
| Found non-conformity * Mention failing and audit finding and evidence | Durante entrevistas con representantes de poblaciones cercanas y dirigentes de asociaciones de Pescadores no se declaró que haya quejas o conflictos con la operación acuícola. Sin embargo no se tiene un formato en donde se registren adecuadamente en un formato que establezca las respuestas y tiempos de resolución de la empresa. |
| Section number of checklist/ Reference to standard | 6.1.10 C. Verify from the record that past complaints, when brought to farm attention, were dealt with swiftly. Confirm through interviews with representatives from the local community. |
| Deadline for corrective actions / Fecha limite para cierre | Cierre efectivo: 16 de agosto del 2014 |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|---|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | La relación con las poblaciones cercanas durante el tiempo que venimos desarrollando la actividad acuícola en Nonura (12 años), ha sido siempre prioritaria, siendo nuestra política dar las primeras opciones de trabajo a sus pobladores, y apoyar iniciativas locales, como Posta Médica y Bomberos entre otras, no habiendo previsto un protocolo de manejo que contemple el registro de quejas o conflictos. |
| Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | - Preparar un Plan de manejo de conflictos sociales, para registrar posibles futuras quejas por sentirse afectadas por alguna actividad de la empresa. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | - Trabajar de forma preventiva, siempre mediante el diálogo y el saber escuchar permanentemente a los habitantes de las poblaciones cercanas, adelantándonos a cualquier posible conflicto que se pueda generar. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | - Presentar el Plan de manejo de conflictos sociales. (Anexo 16) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 008 |

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

| | |
|--|---|
| Found non-conformity * Mention failing and audit finding and evidence | 1. Existe un comité de seguridad y salud designado para reunirse mensualmente y tratar temas de minimización de riesgos en la empresa. El comité no se ha reunido hasta el momento de su elección en marzo del 2014, la misma situación se dio en 2013 donde no se realizó ninguna reunión del comité de seguridad y salud. 2. Durante operaciones de buceo se observó que los compresores no tienen filtros en la salida de aire que prevengan la inhalación de vapores del aceite que es usado para el funcionamiento del compresor. |
| Section number of checklist/ Reference to standard | 7.4.2 a Minimization of hazards/risks in the working environment, including documented systemic procedures and policies to prevent workplace hazards and their risks, shall exist and the information shall be available to employees. |
| Deadline for corrective actions / Fecha límite para cierre | Presentación de plan de acción: 16 de agosto 2014 Cierre efectivo: próxima auditoria de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

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|--|---|
| Root Cause / Causa Raíz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | 1.- Todos los integrantes del Comité convivimos durante la semana dentro de las instalaciones del campamento Nonura, teniendo la oportunidad de pasar muchas horas al día juntos, recibiendo y transmitiendo siempre como parte de nuestro trabajo novedades, e inconvenientes a solucionar, habiéndose desarrollado una serie de acciones tanto en la gestión, como en las mejoras continuas de: Instalaciones, como el tópico médico y su equipamiento, cocina, comedor, evaluación organoléptica de los víveres que recibimos, condiciones de habitabilidad del personal 2.- Nos hemos preocupado siempre de las condiciones de buceo para nuestros buzos, mandando preparar los tanques de almacenamiento de aire en acero inoxidable, utilización de aceite vegetal especial para el compresor, no habiendo considerado el uso de filtros a la salida de las mangueras por desconocimiento. |
| Correction / Corrección Actions take to solve the punctual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | 1.- Realizar de manera inmediata la primera reunión formal con los miembros del Comité para darles a conocer la observación recibida y la regularización de lo actuado. 2.- Se buscó y compró los filtros recomendados para la retención de los posibles gases tóxicos que se puedan generar y aspirar por el buzo durante su trabajo. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | Revisar periódicamente todos los procedimientos de la empresa, teniendo énfasis en la seguridad y salud de todos los que laboramos en la empresa, para ello el responsable de esta área designado por el Comité, evaluará haciendo visitas inopinadas a las distintas zonas de trabajo, para detectar situaciones de posibles riesgos, las cuales se registrarán para su acción correctiva durante la reunión de comité. |

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| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | Se adjunta: <ul style="list-style-type: none"> - Acta de la primera reunión del Comité de Seguridad y Salud. (Anexo 17) - Acta de la segunda reunión del Comité de Seguridad y Salud. (Anexo 18) - Detalle del filtro de aire adquirido. (Anexo 19) - Registro gráfico del empleo del filtro de aire. (Anexo 20) |
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Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 009 |

| |
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| Classification of non-conformity |
|----------------------------------|

ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 09 |

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

| | |
|--|--|
| Found non-conformity * Mention failing and audit finding and evidence | No se ha realizado comunicación explícita del compromiso de la empresa de no impedir la libertad de asociación y derecho a la negociación colectiva. |
| Section number of checklist/ Reference to standard | 7.6.1 d. Explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all. |
| Deadline for corrective actions / Fecha límite para cierre | Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|--|---|
| Root Cause / Causa Raíz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | Convivimos con nuestro personal tanto profesional, como operario durante la semana dentro de las instalaciones del campamento Nonura, teniendo la oportunidad de pasar muchas horas al día juntos, llamándonos por nuestros nombres por el trato directo que mantenemos, recibiendo y transmitiendo siempre la mejor disposición y cordialidad al estar integrados. No habíamos contemplado realizar una comunicación expresa sobre la libertad de negociación colectiva y libertad de asociación al no haberla considerado necesaria como, el sí haber difundido e implementado como política de la empresa el tema de la discriminación en cualquiera de sus formas. |
| Correction / Correccion Actions take to solve the punctual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | - Se elaboró un comunicado firmado por los representantes legales de ambas empresas, en el cual se manifiesta el compromiso de no impedir la libertad de asociación y de los derechos de negociación colectiva de todo nuestro personal. |
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | - Documentar y registrar toda reunión que se mantenga con los trabajadores de nuestras empresas. |

| | |
|---|--|
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | <ul style="list-style-type: none"> - Comunicado a todo el personal sobre el tema de la libertad de asociación y derechos a la negociación colectiva. (Anexo 22) - Registros visuales de los comunicados en las diferentes áreas de trabajo. (Anexo 23) |
|---|--|

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!
ASC Non-Conformity and Re-assessment form

| | |
|--------------------------|----------------------------------|
| Client number and name | CU 831440 |
| Production unit | MARNOR – NEMO CORPORATION |
| Number of non-conformity | 010 |

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

| | |
|--|--|
| Found non-conformity * Mention failing and audit finding and evidence | Las horas de sobretiempo de todos los trabajadores son registradas y pagadas con un valor adicional de acuerdo a ley laboral peruana. Sin embargo trabajadores de actividades como seguridad y cocina exceden el maximo de 12 horas que establece la norma. Cabe mencionar que la legislacion peruana no impone un limite de horas de sobretiempo semanales. |
| Section number of checklist/ Reference to standard | 7.8.1 f. All overtime shall be paid at a premium and should not exceed 12 hours per week. |
| Deadline for corrective actions / Fecha limite para cierre | Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia |

ACTION PLAN / PLAN DE ACCION (To be filled by client / Llenado por el cliente)

| | |
|---|---|
| Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde | Se tuvo en cuenta la legislación peruana, así mismo se conversó con los trabajadores del área observada de Seguridad, llegándose a un mutuo acuerdo de que para ellos era más productivo estando en un campamento, sin otras actividades sociales, ni familiares, realzar voluntariamente las horas extras aceptadas con un incremento de sus ingresos. El caso de los trabajadores del área de Cocina, fue un caso aislado, por lo general no deberían tener mayores horas extras, su jornada les permite tener horas de descanso durante el día, en el caso encontrado solo fue uno y esto se corrigió de inmediato reordenando los horarios de trabajo. |
| Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria | <ul style="list-style-type: none"> - En el tema del área de Seguridad se incrementó el número de personas para que ocupen los puestos de seguridad, esto conllevó a la reducción de su jornada laboral, mas no de sus ingresos, se tomó esto como un incentivo a los trabajadores que ya tienen tiempo trabajando con nosotros. - En el tema de la Cocina, se revisó la programación y se ordenó la misma, quedando con un mínimo de horas extras a la semana. En algunos casos no se genera ninguna hora extra. |

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|--|--|
| Corrective action / Accion correctiva Actions taken to prevent that the causes that conducted to the failing happen again / Acciones tomadas para prevenir que las causas que condujeron al incumplimiento se vuelvan a repetir | - Revisar con más detalle los Criterios de la certificación ASC, poniendo énfasis en las normas que se manifiestan y la forma de aplicarlas en la empresa. |
| Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fotos enviados para mostrar las correcciones y acciones correctivas | - Programación de trabajos en el área de Cocina. (Anexo 24) - Acta de reunión en la cual se manifiesta la solicitud del personal de mantener sus horas extras. (Anexo 25) - Programación de los agentes de seguridad. (Anexo 26) |

Re-assessment (To be filled by Certifier)

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!

Lista de anexos:

1. Registros de implementación de la primera cámara con ubicación satelital en uno de los buzos de las empresas.
2. Bibliografía oficial que describe los fondos marinos de la zona.
3. Registros visuales del fondo marino.
4. Mapas de la distribución de las especies amenazadas.
5. Acta de reunión en la cual se nombra al responsable de los registros del manejo de los residuos biológicos del cultivo.
6. Protocolo del manejo y registros de los residuos sólidos del cultivo.
7. Registros fotográficos del manejo actual.
8. Lista de asistencia de los trabajadores a la capacitación “manejo de derrames de combustibles y sustancias peligrosas”.
9. Certificado por parte de los capacitadores.
10. Registros visuales de la campaña de capacitación.
11. Registros de mantenimientos por horas de todos los equipos de las empresas.
12. Formato de registros de mantenimientos por horas.
13. Actas de capacitación Marinero de Pesca.
14. Certificados de capacitación Marineros de Pesca.
15. Registros visuales de capacitación Marineros de Pesca.
16. Plan de manejo de conflictos sociales.
17. Acta de la primera reunión del comité de seguridad y salud.
18. Acta de la segunda reunión del comité de seguridad y salud.
19. Detalle de filtro adquirido para actividades de buceo.
20. Registro grafico del empleo del filtro adquirido para actividades de buceo.
21. Registros fotográficos de la barrera construida, área de combustibles.
22. Comunicado a todo el personal sobre la libertad de asociación y derechos a la negociación colectiva.
23. Registros visuales de los comunicados en las diferentes zonas de trabajo.
24. Programación de trabajos en el área de cocina.
25. Acta de reunión con los trabajadores del área de seguridad.
26. Programación de los agentes en el área de seguridad de las dos empresas.