

# ASC Audit Report

Tilapia \_\_\_ Pangasius \_\_\_ Bivalves

Initial  Surveillance \_\_\_ Recertification \_\_\_

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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 certificados 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:

ACUACULTURA Y PESCA SAC, SCALLOPS PERU SAC AND PREMIUM FISH SAC are 3 legal entities related with ACUAPESCA group that applied to the ASC Bivalves CLUSTER OF SITES certification. These 3 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 the Los Chimus bay, Casma, Ancash region. 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.

**ACUACULTURA Y PESCA SAC, SCALLOPS PERÚ SAC Y PREMIUM FISH SAC son 3 entidades jurídicas relacionadas con el grupo ACUAPESCA que aplican a la certificación CLUSTER DE SITIOS ASC Bivalvos. Estas 3 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 Ancash, Casma, Bahía Los Chimus. 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 3 legal entities and resources like workers, boats, seed and procedures are shared. This farms are certified with the standard Friend Of The Sea for scallops aquaculture.

**La gestión de la calidad y operaciones es común a las 3 entidades legales y recursos, como los trabajadores, los barcos, las semillas y los procedimientos son compartidos. Este 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 3 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 3 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  $\mu\text{M}$  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  $\mu\text{M}$  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 area 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 sent to a burial area included in the approved environmental management plan. The wastes volumes are monthly reported to Production Ministry

**Todos los residuos que se recogen de una manera apropiada, los residuos biológicos de los sistemas de cultivo son enviados a una zona de enterramiento incluido en el plan de manejo ambiental aprobado. Los volúmenes de desechos se informan mensualmente al Ministerio de la Producción**

There is a procedure to handle fuel spillages and the worker are trained in the procedure, how ever this procedure don't establish the quantities of absorbent material to be used during a fuel spillage in water.

**Existe un procedimiento para manejar los derrames de combustible y el trabajador está capacitado en el procedimiento, sin embargo este procedimiento no establece las cantidades de material absorbente que se utilizarán durante un derrame de combustible en el agua.**

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.**

#### **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 major non-conformity was raised regarding standard 6.1.4 because the liquids that can filtrate from the trucks that transport biological wastes to the burial were not considered as a source of bad odors that cause discomfort to the habitants of community Comandante Noel.

**Se planteó una no conformidad mayor con respecto al estándar 6.1.4 debido a que los líquidos que se filtran de los camiones que transportan los desechos biológicos para el relleno sanitario no eran considerados como una fuente de malos olores que causan molestias a los habitantes de la comunidad de Comandante Noel.**

A conflict resolution procedure is operative and have the formats and records of complaints, follow up and closing. In the area there are no indigenous populations.

**Un procedimiento de resolución de conflictos es operativo y tienen los formatos y registros de quejas, seguimiento y cierre. 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.**

**2.3 Decision**

Based on the result of the assessment and the settling and action plans sent by the applicant, ACUAPESCA GROUP: ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC is granted the ASC certification under the Bivalves standard.

**Basado en el resultado de la evaluación y el cierre y envío de los planes de acción por el aplicante ACUAPESCA GROUP: ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC se otorga la certificación ASC bajo el estándar de Bivalvos.**

**2.4 Audit background**

**Author(s):** Efrain Calderón

**Audit dates:** May 13<sup>th</sup> and 14<sup>th</sup> 2014 / Mayo 13 y 14 del 2014

**Report finished at:** September 12<sup>th</sup> 2014 / Septiembre 12 del 2014

**Report reviewed at:** September 13<sup>th</sup> 2014 / Septiembre 13 del 2014

**Date of the certification decision:** 17-03-15

**Persons involved in the audit:**

Jorge Saz, General manager

Jose Luis Bellina, operations manager

Alexis Trejo, Culture Technician

Oleg Kriljenko, Production manager

Marco Hidalgo, Director

Comandante Noel Community representatives

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 periodo 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:**

<i>Production Unit name</i>	<i>Production Unit number</i>	<i>Address and geographical positions</i>	<i>Receiving water</i>
Acuacultura y Pesca SAC	PRD 046645	Playa Guaynuma y Playa Salinas, Casma, Ancash S9°20'55.9" W78°25'43.8" S9°20'42.4" W78°26'07.8" S9°21'23.4" W78°25'50.8" S9°20'28.4" W78°26'02.8"	Los Chimus bay
Premium Fish SAC	PRD 046646	Playa Guaynuma y Playa Salinas, Casma, Ancash S9°20'02.4" W78°27'05.8"	Los Chimus bay
Scallops Peru SAC	PRD 046647	Playa Guaynuma y Playa Salinas, Casma, Ancash S9°21'08.4" W78°27'02.8" S9°20'40.1" W78°27'17.3"	Los Chimus bay

**Receiving water:** Los Chimus bay is natural receiving water located at the Guaynumá and Salinas Beach, Casma, Ancash Region. Its waters have tidal influence with a good primary productivity.

**La Bahía los Chimus es un cuerpo de agua natural localizada en la playa Guaynumá y Salinas, Región de Ancash. Sus aguas tienen influencia de las mareas con una buena productividad primaria.**

## 2.6 Description of the start of the Chain of Custody.

Scallops harvested at ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC can enter into further MSC CoC certified chains of custody and are eligible to carry the ASC ecolabel.

**Los scallops cosechados en ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC 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 3 farms are landed in the dock owned by the applicant, 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 3 fincas se desembarcan en el muelle propiedad del aplicante, aqui se registran el origen de los scallops como finca y linea. Una guía 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 lanternas 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 of 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 after transportation from the farm of harvested product.  
**Se requiere cadena de custodia despues del transporte de la finca del producto cosechado.**

## 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 ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC.

Después de la revisión de evidencia y planes de acción par alas no conformidades, se decide otorgar la certificación ASC a ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC

## 2.9 Non-conformity report(s)

<b>Standard item/Item Del standard</b>	<b>Grading/C ategoria</b>	<b>NC Status</b>	<b>Falling</b>	<b>Corrective action</b>
2.1.5	Major / Mayor	Closed / Cerrada	<p>a. There is not appropriate video evidence to show the seabed habitan and biological community. <b>No hay pruebas de vídeo apropiado para mostrar el habitat de los fondos marinos y la comunidad</b></p> <p>b. There is not sufficien evidence or information about the sensitive</p>	<p>Video recording of the sea bottom in 21 points. No sensitive habitas observed. IMARPE study of Ancash coast reporting no presence of sensitive biogenic habitats</p> <p><b>Video grabación del fondo marino en 21 puntos. No se observaron habitats sensitivos. Estudio del IMARPE en las</b></p>

<b>Standard item/Item Del standard</b>	<b>Grading/C ategoria</b>	<b>NC Status</b>	<b>Falling</b>	<b>Corrective action</b>
			habitats in the proximity of farm operations. <b>No hay evidencia o información suficiente sobre los hábitats sensibles en la proximidad de las operaciones agrícolas. biológica.</b>	<b>costas de Ancash reportando la no presencia de habitats biogenicos sensibles.</b>
2.3.1.b	Minor / menor	Closed / Cerrada	Map of location of threatened species in reference to farms not available. <b>Mapa de localización de las especies amenazadas, en referencia a las fincas no esta disponibles.</b>	Maps from Agriculture ministry, Direction of forest and wild fauna, ( <a href="http://www.natureserve.org">http://www.natureserve.org</a> ) y la IUCN Red List of Threatened Species ( <a href="http://www.iucnredlist.org">http://www.iucnredlist.org</a> ), shows the distribution along the peruvian coast  <b>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 (<a href="http://www.natureserve.org">http://www.natureserve.org</a>) y la IUCN Red List of Threatened Species (<a href="http://www.iucnredlist.org">http://www.iucnredlist.org</a>) mostrando la distribución geográfica a lo largo del territorio peruano (litoral costero)</b>
5.1.4 a	Minor / menor	Closed / Cerrada	there are no references that there is sufficient material to retain spillage. <b>no se tienen referencias de que el material es suficiente para retener derrames</b>	Purchasing of more absorbent material based on the volumes of the biggest possible spillage and the absorption rates of the absorbent material  <b>Compra de mas material absorbente basado en los volúmenes del mayor derrame posible y las tasas de absorción del material absorbente.</b>
5.1.4 c	Minor / menor	Closed / Cerrada	There is available a fuel spillage plan, how ever the procedure does not include a format to record de spillage, cleaning and material handling and equipment that have been in contact with the fuel spillage. <b>Se tiene disponible un procedimiento de manejo de derrames de hidrocarburos, sin embargo el procedimiento no incluye un formato para registrar el derrame, limpieza y manejo de los materiales y equipos que han entrado en contacto con el derrame de hidrocarburos</b>	Record of Hidrocarbon Incidents is included in the procedure for Hidrocarbon Spillage Control SA 001  <b>Se ha incluido el Registro de Incidentes con Hidrocarburos en el Procedimiento para Control de Derrames de Hidrocarburos SA001</b>
6.1.4	Major / Mayor	Closed / Cerrada	1. Lixiviates from the biological waste generated as fouling cleaning are not considered as waste in the waste management plan. 2. During transportation of biological waste this lixiviate is not contained by the transport used to move from the area of cleaning to the landfill owned by the company.	1. It was implemented the procedure SA-002 "Hidrobiologic residues and deactivated systems evacuation" in order to standardize a transport methos more efficient. 2. There were developed improvements to the transport chamber to increase hermeticity:

<b>Standard item/Item Del standard</b>	<b>Grading/C ategoria</b>	<b>NC Status</b>	<b>Falling</b>	<b>Corrective action</b>
			<p>During interviews with community declared that the lixiviates generated odors and are poured on the way to the landfill.</p> <p><b>1. Lixiviados provenientes de los desechos biológicos como el fouling generado de la limpieza de los sistemas de cultivo no son considerados como residuos en el plan de manejo de desechos.</b></p> <p><b>2. Durante el transporte de los desechos biológicos estos lixiviados no son contenidos por el transporte usado al moverlos desde el área de limpieza hasta el relleno sanitario propiedad de la empresa. Durante entrevistas a comunidad se declaró que estos lixiviados generan malos olores y son derramados en el camino hacia el relleno sanitario.</b></p>	<p>- Change of edges in the doorframes.</p> <p>- Installation of drain pipes in every corner.</p> <p>- Replacement of walls and doors deteriorated.</p> <p><b>1. Se ha implementado el Procedimiento SA-002 "Evacuación de Residuos Hidrobiológicos y Sistemas de Cultivo Desactivados" a fin de estandarizar un método de transporte más eficiente.</b></p> <p><b>2. Se han efectuado las siguientes mejoras técnicas en las cámaras de transporte para mejorar la hermeticidad:</b></p> <p>- Cambio de frisas (jebes) en los marcos de las compuertas.</p> <p>- Instalación de drenes con válvulas seccionales en cada ángulo inferior (4).</p> <p>- Reemplazo de planchas de pisos y paredes deterioradas.</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><b>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 al sitio se observó que los compresores de buceo no tienen filtro para retener los vapores de aceite.</b></p>	<p>1. The meetings of committees of safety and health of the 3 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><b>1. Se realizaron las reuniones de los comités de Seguridad y Salud de las 3 empresas durante el mes de Mayo. Se planearon reuniones mensuales</b></p> <p><b>2. Se adquirieron 2 filtros de carbón para las compresoras de las embarcaciones de buceo.</b></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><b>No hay comunicaciones explícitas de la empresa en relación con el compromiso con la libertad de asociación.</b></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 the bulletin board of the checkpoint personnel entry.</p> <p><b>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 el periódico mural de la garita de ingreso del personal.</b></p>
7.8.1 f	Minor / menor	Open / Abierta	<p>There is evidence of some activities where the overtime exceed the 12 hours per week in the weeks of sample during the audit weeks 7</p>	<p>Was determined that the cause of exceed the overtime limit of 12 hours for the truck drivers is the transportation and cleaning of</p>



<b>Standard item/Item Del standard</b>	<b>Grading/C ategoria</b>	<b>NC Status</b>	<b>Falling</b>	<b>Corrective action</b>
			<p>and 8). The workers in this situation are bus and truck drivers. The Peruvian Labor Regulation don't establish an overtime limit.</p> <p><b>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 los choferes de buses y camiones. La Legislación Laboral Peruana no tiene un limite de sobretiempo</b></p>	<p>culture gears away from the production site. It's planned to build a cleaning facility in the production site and progressively reduce the overtime to the maximum permitted by the standard.</p> <p><b>Se determinó que la causa de superar el límite de horas extras de 12 horas para los conductores de camiones es el transporte y la limpieza de los sistemas de cultivo es lejos del lugar de producción. Está prevista la construcción de una instalación de limpieza en el lugar de producción y reducir progresivamente las horas extraordinarias hasta el máximo permitido por la norma.</b></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.

<b>ASC audit checklist</b>						
ASCASS-BIV.F01(01)						
<b>Reportnumber:</b>			<b>831442.ASC.2014.01.EC</b>			
<b>1.1 Client contact data</b>						
CUC number:		831442				
Company name:		ACUAPESCA GROUP: ACUACULTURA Y PESCA SAC / SCALLOPS PERU SAC / PREMIUM FISH SAC				
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				
<b>1.2 Audit information</b>						
Date of last external audit :		n/a first audit				
Audit date :		May 13th and 14th 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				
<b>1.3 Scope of ASC</b>						
Scope: <b>ASC BIVALVES</b>		Standard Version: V 1.0 Jan 2012			Specie: <i>Argopecten purpuratus</i>	
<b>Production units</b>						
	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
F-01	ACUACULTURA Y PESCA SAC	Acuicultura y Pesca SAC Playa Guaynuma y Playa Salinas, Casma, Ancash S9°20'55.9" W78°25'43.8" S9°20'42.4" W78°26'07.8" S9°21'23.4" W78°25'50.8" S9°20'28.4" W78°26'028"	BAHIA LOS CHIMUS	Playa Guaynuma-Casma	PERU	Live whole scallops
F-02	PREMIUM FISH SAC	Premium Fish SAC Playa Guaynuma y Playa Salinas, Casma, Ancash S9°20'02.4" W78°27'05.8"	BAHIA LOS CHIMUS	Playa Guaynuma-Casma	PERU	Live whole scallops
F-03	SCALLOPS PERU SAC	Scallops Peru SAC Playa Guaynuma y Playa Salinas, Casma, Ancash S9°21'08.4" W78°27'02.8" S9°20'40.1" W78°27'17.3"	BAHIA LOS CHIMUS	Playa Guaynuma-Casma	PERU	Live whole scallops
<b>Changes since last audit:</b>						
<b>YES</b> <input type="checkbox"/>	<b>NO</b> <input type="checkbox"/>	<b>If YES, Description:</b>		n/a first audit		
<b>1.4 Other information</b>						
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**

		Compliance			Finding
1.1 Criteria: All applicable legal requirements and regulations where farming operation is located		Yes	Major NC	Minor NC	
1.1.1	<b>Auditor Evaluation (Required CB Actions):</b>				
	A. Verify compliance with applicable land and water use laws.	x			All documentation in accordance with Law of promoting and development of the aquaculture and its modification No. 27460A  <i>Toda la documentación de acuerdo a Ley de promoción y desarrollo de la acuicultura y sus modificaciones. Ley. 27460A</i>
	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			Sea sites: Concesion by Production Minister and General Captain and safeguard numbers: <i>Sitios en mar: Concesion Ministerio Produccion y Direccion General de Capitania y Guardacostas numeros:</i> Acuapescas: 004-2002-pe/dna, 080-2002, 086-2012, 007-2012, 008-2014. Premium: 019-2002 Scallops: 018-2004, 010-2003 Validity/Validez: 30 años/years  Land Site: Owned, Public land title 3995 and 4004 <i>Sitio en tierra: Propio, Escritura publica titulos de propiedad: 3995 y 4004</i>
C. Verify that inspection records comply with national and local laws and regulations (as applicable).	x			Ministry of production: unannounced visits to verify concessions vertices, and verify that the operating grant. 9 and 10/05/2013, proper placement of vertices and use of the grant was demonstrated. Act revised assessment of compliance with commitments to develop scallop aquaculture resource documents. Sanipes: Technical protocols or veterinary Habilitacion grant, biennial. Technical Protocol sanitary authorization of landing. Discharge point bivalve molluscs. Operation Permit 016-2000  <i>Ministerio de la produccion: Visitas no anunciadas para verificar vertices de concesiones, y verificar que la concesion este operando. 9 y 10-05-2013, 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> <i>Sanipes: Protocolos técnicos Habilitacion o registro sanitario concesion, biannual. Protocolo Técnico sanitario de autorizacion de desembarcadores. Punto de descarga de moluscos bivalvos vivos, anual. Permiso de operacion 016-2000</i>	
	<b>Indicator:</b> 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) <b>Requirement:</b> Yes <b>Applicability:</b> All				

<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>	x				<p>Sea sites: Consecion by Production Minister and General Captain and safeguard numbers:          Sitos en mar: Concecion Ministerio Produccio y Direccion Genearal de Capitania y Guardacostas numeros:          Acuapesca: 004-2002-pe/dna, 080-2002, 086-2012, 007-2012, 008-2014.          Premium: 019-2002          Scallops: 018-2004, 010-2003          Validity/ Validez: 30 años/years</p> <p>Land Site: Owned, Public land title 3995 and 4004          Sitio en tierra: Propio, Escritura publica titulos de propiedad: 3995 y 4004</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>	x				<p>Complete maps and coordinares available of all concessions. Checking protectedplanet.org the sites are not in protected areas.</p> <p><i>Mapas completos y coordenadas disponibles de todas las concesiones. Comprobacion 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>				x	<p>No protected areas near the production zones</p> <p><i>No existen zonas de reserva cercanas</i></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.

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

2.1.1	<p><b>Indicator:</b> 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><b>Requirement:</b> ≤ 1500 µM, monitoring every five years is required, ≥ 1500 µM and ≤ 3000 µM, monitoring every year is required</p> <p><b>Applicability:</b> 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>	x			x	<p>Not non-depositional bottom, soil is sand and silt.</p> <p><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>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>	x			x	<p>Results 7th May 2014 Available All values are below 1500 µM. Range: 464.39 to 7.51µM. The resulting sample period is five years. Analysis conducted by National University of Engineering Faculty of Science. Result number: 625, 626, 627.</p> <p>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: 7.51µM to 464.39 µM. El Periodo de muestreo resultante es 5 años. Analisis realizados por Universidad Nacional de Ingenieria Facultad de ciencias. Resultados numero: 625, 626, 627.</i></p> <p><i>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>						
Footnote	<p>[2] Sampling design and sulfide methodology are included in Appendix IV &amp; V of the Bivalve Standard</p>						
2.1.2	<p><b>Indicator:</b> Unacceptable levels of total 'free' sulfide in surficial sediment measured beneath the farm in comparison to control sites</p> <p><b>Requirement:</b> ≥ 3000 µM</p> <p><b>Applicability:</b> 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>				x	<p>Sulfide Concentrations are lower than 3000 µM</p> <p><i>Concentraciones de sulfuro menores a 3000 µM</i></p>

2.1.3	<p><b>Indicator:</b> In cases where natural background sulfide levels exceed 3000 µM, the annual S concentrations should not significantly<sup>[3]</sup> exceed levels measured at reference sites located outside the farm<sup>[4]</sup></p> <p><b>Requirement:</b> Yes</p> <p><b>Applicability:</b> Off-bottom and suspended methods over depositional substrate</p>	A. Verify comparison with natural background levels if presented.				x	Sulfide Concentrations are lower than 3000 µM <i>Concentraciones de sulfuro menores a 3000 µM</i>
<i>Concentraciones</i>							
Footnote	[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						
Footnote	<p><b>Instructions for Indicator 2.1.4 - Replacement of Direct Free Sulfide Measurements with a Biotic Approach</b></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>						

2.1.4

**Requirement:** Yes

**Applicability:** Off-bottom and suspended methods over depositional substrate

**Requirement:** Yes

**Applicability:** Off-bottom and suspended methods over depositional substrate

A. Record whether the farm replaced the sulfide analysis with a direct analysis of benthic community structure. If yes, confirm that the farm's benthic community analysis complies with requirements [5].

B. Review farm datasets for benthic community structure to confirm that the farm has established equivalency of indices with sulfide levels.

C. Verify that the farm correctly used the equivalent S concentrations to determine the next action (i.e. whether to establish monitoring frequency, or to compare to reference sites).

x

No alternative methods used  
*No se usaron métodos alternativos*

x

No alternative methods used  
*No se usaron métodos alternativos*

x

No alternative methods used  
*No se usaron métodos alternativos*

[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)

*For all farms using off-bottom and suspended method*

<p><b>Indicator:</b> Allowance for bivalve aquaculture over areas that provide a particularly significant or essential biological or ecological function within the broader ecosystem<sup>(6)</sup></p> <p><b>Requirement:</b> None</p> <p><b>Applicability:</b> 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 vídeo apropiado para mostrar el hábitad de los fondos marinos y la comunidad biológica.</i></p>			
<p>2.1.5</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>Footnote <sup>(6)</sup> 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><b>Instructions to Clients for Criteria 2.2: Pelagic effects</b></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"> <li>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.</li> <li>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"> <li>- If less than 10%, Indicators in Criteria 2.2. must not be applied. Proceed to 2.3.1.</li> <li>- 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).</li> </ul> </li> <li>3) Two-tiered "Pelagic effects" indicators: <ul style="list-style-type: none"> <li>- Calculate the ratio between clearance time and retention time (CT / RT).</li> <li>- If CT / RT is &gt;1, farm is certifiable. Proceed to 2.3.1.</li> <li>- If CT / RT is &lt;1, proceed to 2.2.2. Farm must calculate the ratio of clearance time over primary production time (CT / PPT).</li> <li>- If CT / PPT is &gt;3, farm is certifiable. Proceed to 2.3.1.</li> <li>- If CT / PPT is &gt;3, farm is not certifiable</li> </ul> </li> </ol> <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><b>2.2 Criteria: Pelagic effects</b></p>					
<p><b>Auditor Evaluation (Required CB Actions):</b></p>					

<p>2.2.1</p>	<p><b>Indicator:</b> The ratio of clearance time<sup>(7)</sup> (CT) over retention time<sup>(8)</sup> (RT)  <b>Requirement:</b> &gt; 1  <b>Applicability:</b> 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>	<p><b>Instructions for Indicator 2.2.1. Example calculations of clearance and retention times</b></p> <p><b>1)</b> 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" (Ri) 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 * Ri^2) * 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><b>2)</b> Calculate the clearance time (CT):  <b>CT (days) = Vt / (N x C)</b>  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><b>3)</b> Calculate the retention time (RT):  - If the farm is located an easily definable inshore water body and has tidally-dominated water exchange:  <b>RT (days) = -1 x P / ln (Vi / Vt)</b>  Where P is the tidal periodicity, the length of the tidal cycle (days) (e.g. ~0.5 days for semidiurnal 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:  <b>RT = 24 hours</b></p> <p><b>4)</b> 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>A. Verify the accuracy of values used in the defining the areas of the farm and water body.</p> <p>B. Verify this conclusion and document in the audit report.</p> <p>Map available of the Los Chimus bay and the concessions operating in the water body, the production zone cover more than 50% of the area.  Mapa disponible de la bahia Los Chimus y las Concesiones que operan en el cuerpo de agua, la zona de producción abarca más del 50% de la superficie.  Production area is more than 10%  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=54.35</p> <p>Water body area and Biomass correctly estimated by owned animals and animals of other farm operating in the area. 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 y los animales de otra explotación que operan en la zona. La tasa de depuración por animal es 50.4 Lt / ind / día. Valor obtenido de:</i></p> <p>Scallops: Biology, Ecology and Aquaculture, Volume 40, Second Edition by Sandra E. Shumway, Jay G.J. Parsons. RT= 17.98 CT/RT= 3.02 Tidal periodicity is 0,518 (12H 25 m) The farm comply with the standard <i>La periodicidad de las mareas es 0,518 (12H 25 m) 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>	x		
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</p>			
2.2.2	<p><b>Indicator:</b> Where clearance time is less than retention time, the ratio of clearance time over primary production time (PPT)</p> <p><b>Requirement:</b> &gt;3</p> <p><b>Applicability:</b> All farms not compliant with 2.2.1.</p>			<p><b>Instructions for Indicator 2.2.2.- Calculation of clearance time (CT) over primary production time (PPT)</b></p> <p>PPT is calculated as follows: <b>PPT (days) = B / PPP</b> Where: B is the yearly averages of phytoplankton biomass, PPP is the phytoplankton primary production (PPP) within the system (e.g. mg C / m<sup>2</sup> / day). *Note: 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. Phytoplankton biomass and primary production should be in the same units (e.g. mg C / m<sup>2</sup>). 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>
	<p>A. Verify the accuracy of all estimates and that values used represent yearly averages for the entire extent of the water body.</p>	x		<p>CT is greater than RT <i>CT es mayor que RT</i></p>
Footnote	<p>B. Verify that the ratio of CT / PPT &gt; 3.</p>	x		<p>CT is greater than RT <i>CT es mayor que RT</i></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>			

<p><b>Indicator:</b> 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  <b>Requirement:</b> Yes  <b>Applicability:</b> -</p>	<p>for farms demonstrating compliance with Indicators 2.2.1 and 2.2.2 using more comprehensive modeling estimates of carrying capacity.  <b>Instructions for Indicator 2.2.3. Carrying capacity estimate equivalency using comprehensive modeling</b>  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 <a href="http://ip-science.thomsonreuters.com/mj/">http://ip-science.thomsonreuters.com/mj/</a> for a listing of ISI journals.</p>				
2.2.3	A. Verify that the model has been published in a peer-reviewed journal and that it applies to the present state of water body and all associated aquaculture.			x	No use of alternative modeling <i>No se uso modelo alternativo</i>
	B. Verify that the model results clearly show that the farm does not exceed the ecological carrying capacity of the water body. CT/RT and PPT values must meet the levels indicated in 2.2.1 and 2.2.2, respectively.			x	No use of alternative modeling <i>No se uso modelo alternativo</i>
<p><b>2.3 Criteria: Critical habitat and species interactions</b></p>					
<p><b>Auditor Evaluation (Required CB Actions):</b></p>					
<p><b>Instruction to Clients for Indicator 2.3.1 - Presence of Species Listed as Threatened or Endangered on the IUCN Red List</b>  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].  In order to determine whether IUCN red list species are present in the region, perform a search as follows:  - go to <a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a>  - 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.  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><b>Indicator:</b> Allowance for harm to threatened/endangered species or the habitat on which they depend  <b>Requirement:</b> None  <b>Applicability:</b> 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.   <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>
	B. Verify that client is aware of these endangered species or critical habitats located near farm.		x		<p>Map of location of threatened species in reference to farms not available.   <i>Mapa de localización de las especies amenazadas, en referencia a las fincas no esta disponibles.</i></p>

										<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>Not declared cases of harm to endangered species at interviews with workers and Comandante Noel community.</p> <p><i>No se declararon casos de daño a las especies en peligro de extinción en las entrevistas con trabajadores y comunidad de Comandante Noel.</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.									
<b>3.2 Criteria: Environmental awareness</b>											
<b>Auditor Evaluation (Required CB Actions):</b>											
<b>Instructions for Indicator 2.4.1. - Evidence of training, compliance to regional codes of practices or implementation of environmental management plans</b>											
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.											
2.4.1	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							<p>Entrenamientos en manejo ambiental, recolección de derrames 12-05-13 y aguas residuales, 05-04-14</p> <p><i>Entrenamientos en manejo ambiental, recolección de derrames 12-05-13 y aguas residuales. 05-04-14</i></p> <p>Plan de manejo de residuos sólidos, actualizado anualmente. Último entregado el 22 de enero del 2014, uno por cada concesión, se muestra lista de residuos entregados en 2013 y proyección 2014.</p> <p><i>Plan de manejo de residuos sólidos, actualizado anualmente. Último entregado el 22 de enero del 2014, uno por cada concesión, se muestra lista de residuos entregados en 2013 y proyección 2014.</i></p> <p>2014 environmental management plan for the 3 units available</p> <p>plan de manejo ambiental 2014 para las 3 unidades esta disponible</p>	
		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								
		C. Verify that the farm has an environmental management plan and that the plan is implemented.	x								
<b>PRINCIPLE 3. - AVOID ADVERSE EFFECTS ON THE HEALTH AND GENETIC DIVERSITY OF WILD POPULATIONS</b>											
<b>3.1 Criteria: Introduced pests and pathogens</b>											
<b>Auditor Evaluation (Required CB Actions):</b>											
		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>	
		Indicator: Allowance for the illegal introduction of a non- native species, pest									



	<p>B. Verify that documentation is available that shows wild seed collected is procured from an area that falls under existing regulatory schemes</p>	<p>x</p>				<p>Concession areas and regional amounts reported monthly To Regional Production Direction. Report from May 2014 was available.</p> <p><i>Areas concionadas y cantidades reportadas mensualmente a Direccion regional de produccion. Reporte de mayo 2014 estaba disponible.</i></p>
<p>3.3 Criteria: <i>Introduced non-native cultivated species</i></p>	<p><b>Auditor Evaluation (Required CB Actions):</b>  <b>Instructions for Indicator 3.3.1 - Evidence of responsible<sup>[1]</sup> introduction of non-native cultivated species</b>          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)<sup>*</sup> which covers considerations, recommended procedures, and guidelines for the implementation of new species introductions.          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.  <sup>*</sup> document link: <a href="http://info.ices.dk/pubs/Miscellaneous/Codeofpractice.asp">http://info.ices.dk/pubs/Miscellaneous/Codeofpractice.asp</a></p>	<p>x</p>				
<p>Footnote</p>	<p><sup>[1]</sup> 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>x</p> <p>Argopecten purpuratus is a native specie in Peru coast.  <i>Argopecten purpuratus es una especie nativa en la costa de Perù</i></p>
<p>3.4 Criteria: <i>Native species cultivation</i></p>	<p><b>Auditor Evaluation (Required CB Actions):</b>  <b>Instruction to Clients for Indicator 3.4.1 - Addressing Genetic Concerns Associated with Native Species Cultivation</b>          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:          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          and age at first maturation) are well-below the size and reproductive potential of the natural population within a reasonable "dispersal kernel" from the farm.          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.</p>					

3.4.1	<p><b>Indicator:</b> 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  <b>Requirement:</b> Required  <b>Applicability:</b> 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>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>C. Verify the existence of a breeding program that produces altered sterile seed for out- planting (OR)</p> <p>D. Verify that the farm’s breeding program is in coordination with existing restoration efforts in the geographic region.</p>	x				<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 eclosion.</i>  E.strategy a. Is used.  <i>Se usa estrategia a.</i></p>	x		
3.5 Criteria: Transgenic animals										
<b>Auditor Evaluation (Required CB Actions):</b>										
3.5.1	<p><b>Indicator:</b> Allowance for farming of transgenic[12] animals  <b>Requirement:</b> None  <b>Applicability:</b> 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>B. Verify that farm records for cultured stock (3.5.1-A) clearly indicate that the stock is not transgenic.</p>	x				<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>  All traceability records from stocking to harvest available shown 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>	x		



4.1.4	farmed animals <b>Requirement:</b> None <b>Applicability:</b> All	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>
4.1.3	<b>Indicator:</b> Only non-lethal management (e.g., exclusion, deterrents and removal) of critical species <sup>[13]</sup> that are pests or predators <b>Requirement:</b> Yes <b>Applicability:</b> All	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>
Footnote	<sup>[13]</sup> As defined by national law or as found in the IUCN Red List of Threatened Species.	<b>Instructions to Clients for Indicator 4.1.3 - Non-lethal Management of Critical Species that are Pests or Predators</b> When the management of pests or predators includes species identified as threatened or endangered (as identified by Indicator 2.3.1), their management shall be through non-lethal methods only. In order to ensure compliance with Indicator 4.1.3, farms must provide a description of all methods of pest or predator management used at the site. Additionally, clients shall provide a list of all species of pests removed by lethal measures. If a farm cannot comply with indicator 4.1.3 because the ASC requirement stands in conflict with local or national regulations, the farm should inform the CAB and provide relevant documentary evidence. In such situations, farms may request a variation from ASC provided there is full and satisfactory justification to show how the farm will meet the intent of the Standard in an equivalent way.					No critical species that require management, pest control are focused in rodents and insects <i>No hay especies en estado crítico que requieran manejo, control de plagas esta enfocado en roedores e insectos</i> 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>
4.1.4	<b>Indicator:</b> Allowance for the use of headline or lead sinkers on predator netting <b>Requirement:</b> None <b>Applicability:</b> All	A. Verify through site inspection that these materials are not located on or used by the farm.	x				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>
4.1.5	<b>Indicator:</b> Allowance for the use of explosives <b>Requirement:</b> None <b>Applicability:</b> All	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.	x				No evidence of use of explosives No evidencia de uso de explosivos
<b>PRINCIPLE 5. USE RESOURCES EFFICIENTLY</b>							
5.1 Criteria: Waste management/pollution control							
<b>Auditor Evaluation (Required CB Actions):</b>							



5.1.1	<p><b>Indicator:</b> Evidence of waste reduction (e.g. reuse and recycling) programs  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p>A. During the on-site inspection look for evidence of recycling of waste materials</p>	x			<p>List of available waste disposal and delivery records, annual report of delivery of hazardous and non-hazardous wastes. Not hazardous wastes as plastics, paper are delivered for recycle.   <i>Lista de desechos disponible con registros de eliminación y entrega. reporte anual de entrega de desechos peligrosos y no peligrosos. Desechos no peligrosos como plásticos y papel son entregados para reciclaje</i>   Procedure to handle biological wastes is available and implemented. Collection was witnessed during audit.   <i>Procedimiento para manejar los desechos biológicos está disponible y aplicado. Colección fue observada durante la auditoría.</i></p>
5.1.2	<p><b>Indicator:</b> Evidence of appropriate storage and/or disposal of biological waste  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p>A. Verify that the farm has a plan for the proper disposal of biological waste.   B. Verify from farm records that disposals follow the farm's plan.   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			<p>Available record of delivery from January 14th 2014 for all farms   <i>Registros disponibles entregado 14 de enero del 2014 para todas las fincas.</i>   Waste Collection evidenced in audit records available   <i>Recolección de desechos evidenciada en auditoría, registros disponibles</i></p>
5.1.3	<p><b>Indicator:</b> Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p>A. Verify through farm inspection that disposal is done according to local law and MSDS descriptions. e.g. no disposal of waste at sea or in any watercourse, burning of plastics and other synthetic materials</p>	x			<p>Hydrocarbon Waste disposal is performed by authorized companies. EPS Anival and Walter Aguinaga. Records available of collection of materials delivered in 2013 and 2014.   <i>La eliminación de residuos de hidrocarburos se realiza por empresas autorizadas. EPS Anival y Walter Aguinaga. Los registros disponibles de la colección de los materiales entregados en 2013 y 2014.</i></p>
5.1.4	<p><b>Indicator:</b> Spill prevention and response plan for chemicals/hydrocarbons originating from farming operations  <b>Requirement:</b> Required  <b>Applicability:</b> 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.   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.   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.</p>	x	x	x	<p>Area of sea pollution clearance procedure, version 1.9. actions to be taken in the presence of an oil spill and lubricants are detailed. However there are no references that there is sufficient material to retain spillage.   <i>Procedimiento anticontaminación área de mar, versión 01/09, se detallan las acciones a tomar ante la presencia de un derrame de hidrocarburos y lubricantes. Sin embargo no se tienen referencias de que el material es suficiente para retener derrames</i>   Training to workers in the fuel spillage action plan at april 25th   Formación a los trabajadores en el plan de acción el derrame de combustible al 25 de abril   No fuel spillages reported until know but there is no form to record this events   <i>No se han reportado derrames hasta ahora no se tiene un ofrmato para registrar estos eventos</i></p>

Criteria 5.2: Energy efficiency						
Auditor Evaluation (Required CB Actions):						
<p>Indicator: Evidence of energy use monitoring relative to production and ongoing effort to improve efficiency</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	A. Verify the farm maintains records.	X				Records and calculations available for electricity, Diesel, Gasoline, Gas from May 2013 to April 2014, information is correct regarding invoices checked randomly  <i>Registros y calculos disponibles para: electricidad, Diesel, Gasoline, Gas desde mayo 2013 a abril 2014, informacion es correcta con respecto a facturas revisadas aleatoriamente.</i>  Calculation is correct according to the standard reference calculations  <i>Calculo es correcto de acuerdo a calculos referenciales del standard</i>
	B. Verify the accuracy of the calculated annual energy consumption.	X				The result of energy use per MT produced is:  <i>El resultado de uso de energia por TM producida es:</i>  Acuacultura y pesca SAC: 2764880 kj/MT Scallops Peru SAC: 1055770 kj/MT Premium Fish SAC: 3335900 kj/MT  Changing diesel generators for public power network and gasoline engines to gas. Efficiency report.  Decrease fuel consumption is observed.  <i>Cambio de generadores a diesel por energia de red publica y de motores a gasolina por gas. Informe de eficiencia. Se observa disminucion de gasolina consumida.</i>
	C. Verify the accuracy of the calculated energy consumption relative to production.	X				Maintenance plan for all equipments and engines of 2 and 4 strokes.  <i>Plan de mantenimiento disponible para todos los equipos, motores 4 y 2 tiempos</i>
	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				Records of compliance of the maintenance plan available from may 2013 to april 2014  <i>Registro de cumplimiento del plan de mantenimiento disponibles de mayo 2013 a abril 2014</i>
5.2.1						
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):						
	A. If applicable, verify through site inspection that floats are uniformly colored.	X				All floatation devices are gray or dark blue  <i>Todos los dispositivos de flotacion son grises o azul oscuro.</i>
	Indicator: Visible floats must be of a uniform color, except where otherwise specified by law (if applicable to growing					

6.1.1	<p>area)  <b>Requirement:</b> Required  <b>Applicability:</b> All</p>	<p>B. Verify that lights and bright colored buoys are minimized in comparison to those required for navigational safety</p>	x				<p>Colored buoys are only used in the vertices of concession limits.  <i>Boyas de colores solo son usadas en los vertices de los limites 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>
6.1.2	<p><b>Indicator:</b> Uniform positioning and orientation of visible farm structures, except where specified by law (if applicable to growing area)  <b>Requirement:</b> Required  <b>Applicability:</b> All</p>	<p>A. Verify through site inspection</p>	x				<p>No styrofoam floats observed  <i>No se observaron flotadores de styrofoam</i></p>
6.1.3	<p><b>Indicator:</b> Allowance for floats made out of open-cell Styrofoam  <b>Requirement:</b> None  <b>Applicability:</b> All</p>	<p>A. Verify through site inspection that open-cell Styrofoam is not located on or used by the farm.</p>	x				
6.1.4	<p><b>Indicator:</b> Noise, light and odor originating from the farm are minimized in areas where it may impact others (if applicable to growing area)  <b>Requirement:</b> Required  <b>Applicability:</b> 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.</p>				x	<p>Lixiviates from biological wastes are not considered in residues management as a source of bad odors that can cause discomfort from community.  <i>Lixiviados a partir de residuos biológicos no se consideran en la gestión de residuos como una fuente de malos olores que pueden causar incomodidad de la comunidad.</i></p>
		<p>B. Verify through site inspection that storage areas and containers for materials that may create odor exist and are clearly designated.</p>					<p>Representative from Community Comandante Noel commented about water with bad odors filtrates from transportation of biological residues, containers are not properly sealed to retain liquids during transportation.  <i>Representante de la Comunidad Comandante Noel comentó sobre el agua con los malos olores filtrados desde el transporte de los residuos biológicos, los contenedores no están sellados adecuadamente para retener líquidos durante el transporte.</i></p>
6.1.5	<p><b>Indicator:</b> Evidence of compliance with all applicable navigational rules and regulations  <b>Requirement:</b> Required  <b>Applicability:</b> Sea-based Farms</p>	<p>A. The farm maintains a copy of local navigational rules and regulations.</p>	x				<p>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.</i>  <i>Certificados de matriculas de naves y artefactos navales. Embarcaciones grandes y pequeñas cuentan con matriculas actualizadas que son inspeccionadas anualmente.</i>  Boats pilots were trained at 07/05/14 in international regulations to prevent collision.  <i>Pilotos de embarcaciones fueron capacitados 7-05-14 en reglamento internacional para prevenir abordaje.</i></p>
		<p>B. Verify from records that all relevant staff have been trained.</p>	x				<p>Boat pilots showed knowledge of the navigation rules during interview.  <i>Pilotos mostraron conocimiento durante entrevista de las reglas de navegación</i></p>
		<p>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.</p>	x				

6.1.6	<p><b>Indicator:</b> Documented cleanup of receiving shoreline in response to gear loss based on local conditions  <b>Requirement:</b> Required  <b>Applicability:</b> All</p>	<p>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.</p>	x				<p>Registro de recuperacion de boyas en mar y tierra diario sumariizado mensualmente desde mayo 2013 a abril 2014.</p> <p><i>Record recovery buoys offshore and land daily summarized monthly from May 2013 to April 2014.</i></p>
6.1.7	<p><b>Indicator:</b> Substantial gear (e.g., floats, cages, bags, predator nets and racks) is identifiable to farm (if applicable to growing area)  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p>A. Verify through site inspection that any farm equipment is attributable to farm.</p>	x				<p>Culture lanterns are identifiable by its manufacture, buoyes are identifiable by a number.</p> <p><i>Linternas son identificables por su fabricacion, boyas son identificables por numeracion</i></p>
6.1.8	<p><b>Indicator:</b> Provision of equipment for gear recovery (e.g., scoop nets and grapple hooks)  <b>Requirement:</b> Required  <b>Applicability:</b> All</p>	<p>A. Verify through site inspection that the farm has recovery equipment and/or mechanisms for recovering lost gear.</p>	x				<p>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.</p> <p><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></p>
6.1.9	<p><b>Indicator:</b> A mechanism (e.g., insurance or an industry agreement to collect derelict gear) is in place for the decommissioning of abandoned farms  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p>A. Verify the existence of a mechanism for the collection and decommissioning of gear.</p>	x				<p>For material damaged by conditions or not to continue using is recovered and dismantled, it is discarded by authorized and registered company.</p> <p><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></p>
		<p>A. Verify the existence of a farm protocol for responding to complaints lodged by stakeholders, community members, and organizations.</p>	x				<p>The company has a document called: Policies of armonie convivencia with neighbour communities</p> <p><i>La compania tiene un documento llamado: Politicas de convivencia armonica con las comunidades aldeñas.</i></p>
		<p>B. Verify that the farm implements its policy for handling stakeholder complaints as evidenced by farm documentation.</p>	x				<p>Complaints from community were reviewed and the procedure is followed.</p> <p><i>Quejas de las comunidades han sido recibidas y el procedimiento se ha seguido</i></p>

<p><b>Indicator:</b> Conflict resolution protocol, including publicly available registry of complaints and evidence of due diligence to resolve them <b>Requirement:</b> Required <b>Applicability:</b> All</p>	<p>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.</p>	<p>x</p>			<p>Complaint records available detailing date of reception and actions taken to solve the conflicts. Was reviewed the case of a complaint from fishermen that want to collect scallops in the bottom inside the concessioned area, a mediator from Production Ministry explained the legal terms of the concession and that is not possible to fish in the concessioned area. However the company agreed with fishermen to provide a quantity of seed so they can develop their own scallop culture.</p> <p><i>Registros de la queja disponible detallando fecha de recepción, y medidas adoptadas para resolver los conflictos. Se revisó el caso de una queja de los pescadores que quieren recolectar scallops en el fondo dentro del área concesionada, un mediador del Ministerio de Producción, explicó los términos legales de la concesión y que no es posible pescar en la zona concesionada. Sin embargo, la empresa acordó con los pescadores para proporcionar una cantidad de semillas para que puedan desarrollar su propio cultivo de scallops</i></p>
<p>6.1.10</p> <p><b>Indicator:</b> Evidence of outreach (e.g., meeting records, newsletters, consultation with communities and indigenous groups, or membership in association with documented outreach program) <b>Requirement:</b> Required <b>Applicability:</b> All</p>	<p>A. Verify that the client has documentary evidence of community outreach</p>	<p>x</p>			<p>The company has a document called: Policies of armonio convivencia with neighbour communities, this document establish the ways of communication with community like meetings and information sharing. Annual meetings 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 comunicación con la comunidad como reuniones o entrega de información. Reuniones anuales son registradas</i></p>
<p>6.1.11</p> <p><b>Indicator:</b> Evidence of acknowledgment of indigenous groups' rights (if applicable to growing area) <b>Requirement:</b> Required <b>Applicability:</b> All</p>	<p>A. Verify that records of agreement or proof of acknowledgement are evident and available.</p>			<p>x</p>	<p>No indigenous groups next to the farm. <i>No habitan grupos indígenas cerca de la finca.</i></p>

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**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)**

***Interviews with farm workers and others will be part of this audit.***

***It will be up to the auditor's (random) discretion who will be interviewed and when and how this will be done.***

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**Compliance Criteria (Required Client Actions):**

7.1.1.	Footnote	<p>a. Minimum age of permanent workers is 15 or higher (per national legal minimum age).</p>	x				<p>Were review the list of active workers of the 3 legal companies inside the audit scope. A total of 306 workers, identifying the youngest one with 19 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. Also the company has a Procedure to recruit, select and hire workers (APER 0001, version 01-2010)  <i>Se reviso la lista de trabajadores activos de las 3 empresas legales dentro del alcance de la auditoría. Un total de 306 trabajadores, la identificación de la más joven, con 19 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. Además la empresa cuenta con un procedimiento para reclutar, seleccionar y contratar a los trabajadores (APER 0001, versión 01-2010)</i></p>
	<p><b>Indicator:</b> Incidences of child [14] labor [15] <b>Requirement:</b> 0 <b>Applicability:</b> All</p>	<p>b. System exists to monitor hours and conditions of young workers and light work by children.</p>			x		<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)  <i>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)</i></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>			x		<p>The company does not hire young workers, the minimum require age is 18 years old.  <i>La empresa no contrata a los trabajadores jóvenes, el requisito es ser mayor de 18 años</i></p>
		<p>d. Children under 15 perform only light work. Light work &amp; school not to exceed 7 hours/day.</p>			x		<p>The company does not hire young workers, the minimum require age is 18 years old.  <i>La empresa no contrata a los trabajadores jóvenes, el requisito es ser mayor de 18 años</i></p>
		<p>e. Equal treatment for children of migrant workers.</p>			x		<p>The company does not hire young workers, the minimum require age is 18 years old.  <i>La empresa no contrata a los trabajadores jóvenes, el requisito es ser mayor de 18 años</i></p>
7.1.1.	Footnote	<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>					
	Footnote	<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>					
	Footnote	<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>			x		
	Footnote	<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>					
7.2.	Criteria:	<p><i>Forced, bonded, compulsory labor</i></p>					
		<p><b>Compliance Criteria (Required Client Actions):</b></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>	X			<p>Contracts signed at the moment of entrance. Every worker hire has a formal contract with the company. <i>Los contratos firmados en el momento de entrada. Cada ingreso de trabajador tiene un contrato formal con la empresa.</i></p> <p>In the internal rules of the company are clearly indicated the rights and indications of each worker. They are free to leave at the end of the work day. The company give them transportation <i>En el reglamento interno de la empresa se indican claramente los derechos y las indicaciones de cada trabajador. Son libres de irse al final de la jornada de trabajo. La empresa les da transporte</i></p>
	<p><b>Indicator:</b> Incidences of forced [18], bonded [19], or compulsory labor <b>Requirement:</b> 0 <b>Applicability:</b> All</p>	<p>c. Employer does not withhold employee's original identity papers.</p>	X			<p>The company does not keep with original documents of any workers. At the entrance of the company workers must present an ID document to mark the entrance and the exit. <i>La compañía no mantiene los documentos originales de cualquier trabajador. A la entrada de los trabajadores de la empresa deberá presentar un documento de identidad con motivo de la entrada y la salida.</i></p> <p>Workers do not have any discounts by the employer <i>Los trabajadores no tienen ningún descuento por el empleador</i></p>
7.2.1.		<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>	X			<p>Workers just work during the working day with the establish hours and in the assigned activities since the morning. <i>Los trabajadores sólo trabajan durante la jornada laboral con el horario de establecer y en las actividades asignadas desde la mañana.</i></p>
Footnote	<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>					
Footnote	<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>					
7.3. Criteria: Discrimination						

**Compliance Criteria (Required Client Actions):**

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

The company has a Memo 04-2014/GG of April 08th, 2014, communicating the Policy of No Discrimination. In the document is easy to identify the sign of reception of all the chiefs of the differentes areas.

*La empresa cuenta con un Memo 04-2014 / GG de April 08th, 2014, la comunicación de la Política de No Discriminación. En el documento es fácil de identificar la señal de recepción de todos los jefes de las áreas.*

**Indicator:** Incidences of discrimination  
[20]

7.3.1.	<p><b>Requirement:</b> U <b>Applicability:</b> All</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>	X				<p>During the interviews workers mention their satisfaction with the company for the equitable treatment and prohibition of discrimination.</p> <p><i>Durante las entrevistas los trabajadores mencionan su satisfacción por la compañía para el tratamiento equitativo y la prohibición de la discriminación.</i></p>
Footnote	[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.						
<b>7.4. Criteria: Health and safety</b>							
7.4.1.	<p><b>Indicator:</b> All health and safety related accidents and violations are recorded and corrective action is taken when necessary <b>Requirement:</b> Yes <b>Applicability:</b> 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> <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>	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> <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>
7.4.1.			x				



7.4.2.	<p><b>Indicator:</b> Occupational health and safety training is available for all employees  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p>b. Emergency response procedures shall exist and be known by employees.</p>	x			<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>
7.4.3.	<p><b>Indicator:</b> Employer responsibility and proof of insurance (accident or injury) for employee medical costs in a job-related accident or injury, unless otherwise covered  <b>Requirement:</b> Yes  <b>Applicability:</b> 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>Fuels, lubricants and other materials are property stored</p> <p><i>Combustibles, lubricantes y otros materiales están correctamente almacenados.</i></p> <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	<p><b>Indicator:</b> Payment of fair and decent wages  <b>Requirement:</b> Yes  <b>Applicability:</b> All</p>	<p><b>Compliance Criteria (Required Client Actions):</b></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>	x			<p>The salaries are define by activity, everyone knows and understand how the wage is calculated.</p> <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>

7.5.1.		d. Ratio of lowest wage rate to basic needs wage always exceeds 100%.	x					the lowest wage complies with the indication for minimum salary in Peru, S750 per month. <i>El salario más bajo cumple con la indicación para el salario mínimo en el Perú, S750 por mes.</i>
<b>7.6. Criteria: Freedom of association and collective bargaining</b>								
<b>Compliance Criteria (Required Client Actions):</b>								
7.6.1.	<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> <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>x</p> <p>x</p> <p>x</p> <p>x</p>					<p>The company does not have any policies to limit 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>In the company does not exist any trade union or workers representation</p> <p><i>En la empresa no existe ninguna representación sindical o de los trabajadores</i></p> <p>There are not explicit communications from the company regarding the commitment with freedom of association</p> <p><i>No hay comunicaciones explícitas de la empresa en relación con el compromiso con la libertad de asociación.</i></p> <p>In the company does not exist any trade union or workers representation</p> <p><i>En la empresa no existe ninguna representación sindical o de los trabajadores</i></p>	
<b>7.7. Criteria: Non-obusive disciplinary practices</b>								
<b>Compliance Criteria (Required Client Actions):</b>								
7.7.1.	<p>a. There is never any use of or 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>x</p> <p>x</p>					<p>In the chapter XI of the Internal Rules of work are indicated the disciplinary procedures.</p> <p><i>En el capítulo XI del Reglamento Interno de trabajo se indican los procedimientos disciplinarios.</i></p> <p>Fines or deductions as disciplinary measures are not apply in any moment</p> <p><i>Las multas o deducciones como las medidas disciplinarias no se aplican en ningún momento.</i></p> <p>In the chapter XI of the Internal Rules of work are indicated the disciplinary procedures.</p> <p><i>En el capítulo XI del Reglamento Interno de trabajo se indican los procedimientos disciplinarios.</i></p>	
<b>7.8. Criteria: Working hours</b>								
<b>Compliance Criteria (Required Client Actions):</b>								

7.8.1.	<p><b>Indicator:</b> Incidences, violations or abuse of working hours and overtime laws or expectations  <b>Requirement:</b> None  <b>Applicability:</b> All</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>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>g. Overtime work shall always be voluntary.</p>	<p>x</p> <p>x</p> <p>x</p> <p>x</p> <p>x</p> <p>x</p> <p>x</p>					<p>No deductions from salary are done as disciplinary measures.</p> <p><i>No deducciones de salario como medidas disciplinarias.</i></p> <p>Every worker received a document with the information of how is calculated the salary.</p> <p><i>Cada trabajador recibió un documento con la información de cómo se calcula el salario</i></p> <p>The apprentice figure does not exist, only workers with a legal contract work in the company</p> <p><i>La figura de aprendiz no existe, sólo los trabajadores con un contrato de trabajo legal en la empresa.</i></p> <p>Every worker received a document with the information of how is calculated the salary.</p> <p><i>Cada trabajador recibió un documento con la información de cómo se calcula el salario.</i></p> <p>Every worker received at least the minimum salary indicated by the law S /750 per month</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 truck drivers.</p> <p><i>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 los choferes de camiones.</i></p> <p>The overtime hours are voluntary and workers like to heve them to increment their incomes.</p> <p>Las horas extras son voluntarias y los trabajadores les gusta tenerlas para incrementar sus ingresos.</p>
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Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
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 suficiente para demostrar que la operación no se encuentra sobre hábitats que provean una función 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	Cierre efectivo: 14 de agosto 2014

#### ACTION PLAN (To be filled by client)

Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde	Las condiciones de baja visibilidad en el fondo marino impidieron realizar videofilmación submarina en el área del cultivo. Asimismo no se pudo obtener algún informe científico que corrobore la no existencia de hábitats de estructuras biogénicas en los fondos marinos de la zona.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se procedió a efectuar la videofilmación submarina una vez que las condiciones oceanográficas mejoraron, se filmó un total de 21 puntos en el fondo marino distribuidos en tres transectos ubicados uno en cada concesión acuícola, verificándose la no existencia de hábitats de estructuras biogénicas debajo de la operación. Asimismo se logró obtener un reporte científico del Instituto del Mar del Perú realizado en diciembre del año 2013 en el cual se muestran los resultados del inventario de especies marinas no vertebradas realizado en la costa de Ancash (en donde se encuentra la operación) el cual no registra este tipo de estructuras en la zona del cultivo o en zonas aledañas.
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	Las videofilaciones efectuadas asi como el reporte científico, demuestran que la operación no se encuentra sobre hábitats que provean una función biológica o ecológica en el ecosistema.
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 entregó en las oficinas de ControlUnion en Lima, al Sr Edwin Velasquez, copia de las videofilaciones submarinas realizadas asi como del reporte del Instituto del Mar del Perú y el mapa con la ubicación geográfica de los transectos y los respectivos puntos de filmación.

#### 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						
		Closed						
		Outstanding: fill in a new non-conformity form.						



**ASC Non-Conformity and Re-assessment form**

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
Number of non-conformity	005

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

Found non-conformity * Mention failing and audit finding and evidence	1. Lixiviados provenientes de los desechos biológicos como el fouling generado de la limpieza de los sistemas de cultivo no son considerados como residuos en el plan de manejo de desechos. 2. Durante el transporte de los desechos biológicos estos lixiviados no son contenidos por el transporte usado al moverlos desde el área de limpieza hasta el relleno sanitario propiedad de la empresa. Durante entrevistas a comunidad se declaró que estos lixiviados generan malos olores y son derramados en el camino hacia el relleno sanitario.
Section number of checklist/ Reference to standard	6.1.4 a: Prepare a list of all sources of noise, light and odor originating on the farm and include actions taken to reduce them 6.1.4 b: Ensure that designated storage areas and containers exist for the materials that create odors.
Deadline for corrective actions	Cierre efectivo: 14 de agosto 2014

**ACTION PLAN (To be filled by client)**

Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde	1.La normativa del gobierno peruano no considera los lixiviados como parte de los planes de manejo de residuos sólidos para la industria acuícola, solamente considera residuos líquidos peligrosos tales como hidrocarburos y aceites usados. 2.Se han presentado casos de derrames de lixiviados durante el transporte de residuos hidrobiológicos y sistemas de cultivo desactivados (usados) debido a problemas de falta de hermeticidad en los vehículos de transporte.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	1.No obstante que la normativa peruana no considera lixiviados como parte de los planes de manejo de residuos acuícolas, se procederá a minimizar y/o eliminar la posibilidad de derrame de lixiviados durante el transporte de residuos hidrobiológicos y sistemas de cultivo desactivados estableciendo un procedimiento escrito interno. 2.Mejorar la hermeticidad de los vehículos de transporte de residuos hidrobiológicos y sistemas desactivados con problemas, efectuándoles las mejoras técnicas respectivas.
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	1.Se ha implementado el Procedimiento SA-002 "Evacuación de Residuos Hidrobiológicos y Sistemas de Cultivo Desactivados" a fin de estandarizar un método de transporte más eficiente. 2.Se han efectuado las siguientes mejoras técnicas en las cámaras de transporte para mejorar la hermeticidad: -Cambio de frisas (jebes) en los marcos de las compuertas. -Instalación de drenes con válvulas seccionales en cada ángulo inferior (4). -Reemplazo de planchas de pisos y paredes deterioradas.
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	1.Se adjunta Procedimiento SA-002 "Evacuación de Residuos Hidrobiológicos y Sistema de Cultivo Desactivados". 2.Se adjuntan tres (3) fotografías de los trabajos realizados en los vehículos de transporte: Foto1.Frisa negra en el borde de la compuerta trasera. Foto2.Dren con válvula seccional. Foto3.Plancha de piso nueva.

**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						

		Closed
		Outstanding: fill in a new non-conformity form.

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
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	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 realizo ninguna reunión del comité de seguridad y salud. 2. Durante operaciones de buceo se observo 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	Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia

### ACTION PLAN (To be filled by client)

Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde	1.Los comités de Seguridad y Salud fueron elegidos a fines del mes de Marzo cumpliéndose lo dispuesto en la Ley de Seguridad y Salud (elecciones cada 2 años). No fue posible efectuar la reunión del mes de Abril en razón a que las recargadas labores del cultivo impidieron el quórum mínimo considerando que los integrantes son de diferentes áreas operativas. 2.No se tenía conocimiento de la existencia de este tipo de filtros para las compresoras de buceo motivo por el cual no se encontraron instalados en las mismas.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	1.Se realizaron las reuniones de los comités de Seguridad y Salud de las 3 empresas durante el mes de Mayo. 2.Se adquirieron 2 filtros de carbón para las compresoras de las embarcaciones de buceo.
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	1.Se programarán las reuniones mensuales de los comités de Seguridad y Salud en horarios que permitan reunir el quórum mínimo. 2.Considerando que el material activo de los filtros requiere ser reemplazado anualmente (según la cotización del proveedor). Se reprogramarán su adquisición en forma anual aplicando el método logístico Just in Time (JIT).
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	1.Se adjuntan las Actas de los Comités de Seguridad y Salud de las 3 empresas efectuadas en el mes de Mayo 2014. 2.Se adjuntan escaneos de las facturas de los filtros para las compresoras de buceo y una copia de la cotización presentada por el proveedor.

### 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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

**A COPY OF EACH FORM STAYS WITH THE CLIENT!**



Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
Number of non-conformity	007

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 ha realizado comunicacion explicita del compromiso de la empresa de no impedir la libertad de asociacion y derecho a la negociaci3n 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	Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia

#### ACTION PLAN (To be filled by client)

Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde	Durante la revisi3n del Reglamento Interno de Trabajo (RIT) se verific3 que la empresa contempla la negociaci3n colectiva (inc.3 Art. 89° RIT) sin embargo no se especifica claramente el derecho a la "libertad de asociaci3n".
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se procedi3 a preparar un comunicado de cada empresa que complemente lo establecido en el RIT en el cual se informa a los trabajadores sobre su derecho de libertad de asociaci3n y se publicaron en el peri3dico mural de la garita de ingreso del personal durante una semana.
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	Los comunicados se publicaran en forma semestral durante 5 d3as en el peri3dico mural a fin de que los trabajadores nuevos tomen conocimiento de su derecho de libertad de asociaci3n y asimismo recordar a los antiguos tal derecho.
Evidence / Evidencia Records, procedures, photos sent that show the corrections and corrective actions implementation / Registros, procedimientos, fortos enviados para mostrar las correcciones y acciones correctivas	Se adjuntan cinco (5) fotos del peri3dico mural en donde se evidencia la publicaci3n de los comunicados sobre libertad de asociaci3n por empresa (Acuapesca, Scallops Per3 y Premium Fish).

#### 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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
Number of non-conformity	008

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 la ley laboral peruana. Sin embargo trabajadores de actividades como conductores exceden el máximo de 12 horas que establecen la norma. Cabe mencionar que la legislación peruana no impone un límite de horas de sobre tiempo 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	Presentación de plan de acción: 14 de agosto 2014 Cierre efectivo: próxima auditoria de vigilancia

**ACTION PLAN (To be filled by client)**

Root Cause / Causa Raiz Are the events that caused the failing. How, who, when, where / Eventos que causaron el incumplimiento, como, quien, cuando, donde	Durante la auditoria se verificó que los conductores de las movilidades de las empresas excedían en algunos casos las 12 horas de sobretiempo semanales debido a la exigencia de las actividades operativas del cultivo de Concha de Abanico. Se le explicó a la Srta. Auditora que la legislación peruana no pone restricciones al respecto siempre y cuando el sobretiempo sea voluntario y asimismo sea remunerado de acuerdo a lo dispuesto por las leyes laborales.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se verificó que el exceso de horas de sobretiempo estaba dado en gran medida por el tiempo que demandan las actividades de transporte de sistemas de cultivo sucios hacia la ciudad de Casma para su lavado. La solución para disminuir las horas de sobretiempo de los conductores es hacer que los sistemas de cultivo sean lavados en una zona cercana al campamento.
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	Se preparó un plan de acción que se remite por anexo mediante el cual se disminuirán progresivamente las horas de sobretiempo de los conductores a través de la puesta en funcionamiento del nuevo centro de lavado de sistemas de cultivo, localizado en las inmediaciones del campamento de la Empresa Acuapesca SAC.
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 adjuntan: <ul style="list-style-type: none"> <li>- El informe legal – laboral del estudio de abogados de Lima, que sustenta que no estamos obligados por las leyes peruanas a poner un límite a las horas de sobretiempo.</li> <li>- Un Plan de Acción resumido para reducir las horas de sobretiempo que realizan los conductores.</li> </ul>

**Re-assessment (To be filled by Certifier)**

Re-assessment done by:	<input checked="" 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 type="checkbox"/> Closed

		Outstanding: fill in a new non-conformity form.
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**ASC Non-Conformity and Re-assessment form**

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
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 localizacion de especies amenazadas o en peligro en las cercanias 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	14 de agosto 2014

**ACTION PLAN (To be filled by client)**

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 puntual 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 ( <a href="http://www.natureserve.org">http://www.natureserve.org</a> ) y la IUCN Red List of Threatened Species ( <a href="http://www.iucnredlist.org">http://www.iucnredlist.org</a> ) 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

**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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

**ASC Non-Conformity and Re-assessment form**

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
Number of non-conformity	003

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

Found non-conformity * Mention failing and audit finding and evidence	Se tiene disponible un procedimiento de manejo de derrames de hidrocarburos, sin embargo el procedimiento no menciona la cantidad de material absorbente necesario para contener el derrame. Durante auditoria del sitio se observo cerco de contencion de derrames insuficiente para los volúmenes de combustibles manejados en la operacion.
Section number of checklist/ Reference to standard	5.1.4 a: The plan shall outline the preventative maintenance of equipment exist and in place for the avoidance of fuel spills.
Deadline for corrective actions	Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia

**ACTION PLAN (To be filled by client)**

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 había determinado si el material disponible contra derrames de hidrocarburos existente en el campamento era suficiente para controlar el mayor derrame que podría presentarse en las operaciones.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se comparó la capacidad del material absorbente existente versus el máximo derrame que podría presentarse (colisión y hundimiento de las 2 embarcaciones de mayor tonelaje en la operación con subsiguiente derrame de hidrocarburo de sus tanques) resultando que el material existente era insuficiente.
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	Se adquirió material adicional para completar el existente: <ul style="list-style-type: none"> <li>- 1 paquete de 100 paños absorbentes 3M (HP-156)</li> <li>- 1 barrera absorbente adicional 3M (T-270)</li> </ul>
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 Procedimiento para Control de Derrame de Hidrocarburos SA001, que incluye el stock de materiales y su capacidad para controlar el mayor derrame que se podría presentar en las operaciones. Se adjunta factura de la compra de los materiales absorbentes N°14782

**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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

**ASC Non-Conformity and Re-assessment form**

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
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	Se tiene disponible un procedimiento de manejo de derrames de hidrocarburos, sin embargo el procedimiento no incluye un formato para registrar el derrame, limpieza y manejo de los materiales y equipos que han entrado en contacto con el derrame de hidrocarburos
Section number of checklist/ Reference to standard	5.1.4 c: Maintain documentation of equipment or structures that have come into contact with spilled chemicals and have been subsequently cleaned
Deadline for corrective actions	Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia

**ACTION PLAN (To be filled by client)**

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 contaba con un registro de incidentes que documentara los equipos o estructuras que hubieren estado en contacto con hidrocarburos derramados y las acciones tomadas para la limpieza de las mismas.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se ha implementado el Registro de Incidentes con Hidrocarburos
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	Se ha incluido el Registro de Incidentes con Hidrocarburos en el Procedimiento para Control de Derrames de Hidrocarburos SA001
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 el Procedimiento para Control de Derrame de Hidrocarburos SA001

**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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

**ASC Non-Conformity and Re-assessment form**

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
Number of non-conformity	003

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

Found non-conformity * Mention failing and audit finding and evidence	Se tiene disponible un procedimiento de manejo de derrames de hidrocarburos, sin embargo el procedimiento no menciona la cantidad de material absorbente necesario para contener el derrame. Durante auditoria del sitio se observo cerco de contencion de derrames insuficiente para los volúmenes de combustibles manejados en la operacion.
Section number of checklist/ Reference to standard	5.1.4 a: The plan shall outline the preventative maintenance of equipment exist and in place for the avoidance of fuel spills.
Deadline for corrective actions	Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia

**ACTION PLAN (To be filled by client)**

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 había determinado si el material disponible contra derrames de hidrocarburos existente en el campamento era suficiente para controlar el mayor derrame que podría presentarse en las operaciones.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se comparó la capacidad del material absorbente existente versus el máximo derrame que podría presentarse (colisión y hundimiento de las 2 embarcaciones de mayor tonelaje en la operación con subsiguiente derrame de hidrocarburo de sus tanques) resultando que el material existente era insuficiente.
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	Se adquirió material adicional para completar el existente: <ul style="list-style-type: none"> <li>- 1 paquete de 100 paños absorbentes 3M (HP-156)</li> <li>- 1 barrera absorbente adicional 3M (T-270)</li> </ul>
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 Procedimiento para Control de Derrame de Hidrocarburos SA001, que incluye el stock de materiales y su capacidad para controlar el mayor derrame que se podría presentar en las operaciones. Se adjunta factura de la compra de los materiales absorbentes N°14782

**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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

**ASC Non-Conformity and Re-assessment form**

Client number and name	CU 831442
Production unit	<b>ACUACULTURA Y PESCA, PREMIUM FISH, SCALLOPS PERU</b>
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	Se tiene disponible un procedimiento de manejo de derrames de hidrocarburos, sin embargo el procedimiento no incluye un formato para registrar el derrame, limpieza y manejo de los materiales y equipos que han entrado en contacto con el derrame de hidrocarburos
Section number of checklist/ Reference to standard	5.1.4 c: Maintain documentation of equipment or structures that have come into contact with spilled chemicals and have been subsequently cleaned
Deadline for corrective actions	Presentacion de plan de accion: 14 de agosto 2014 Cierre efectivo: proxima auditoria de vigilancia

**ACTION PLAN (To be filled by client)**

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 contaba con un registro de incidentes que documentara los equipos o estructuras que hubieren estado en contacto con hidrocarburos derramados y las acciones tomadas para la limpieza de las mismas.
Correction / Correccion Actions take to solve the puntual failing observed during audit. / Acciones tomadas para solucionar el incumplimiento puntual detectado durante la auditoria	Se ha implementado el Registro de Incidentes con Hidrocarburos
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	Se ha incluido el Registro de Incidentes con Hidrocarburos en el Procedimiento para Control de Derrames de Hidrocarburos SA001
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 el Procedimiento para Control de Derrame de Hidrocarburos SA001

**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 type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						