ASC-MSC Seaweed (Algae) Audit Announcement Template

[Surveillance]

Version 1.0 (Issued 8 December 2017)

Scheme documents:
ASC-MSC Seaweed (Algae) Standard
ASC-MSC Seaweed (Algae) Certification and Accreditation Requirements

This document is to be cited as:
ASC-MSC Seaweed (Algae) Audit Announcement Template v1.0

<table>
<thead>
<tr>
<th>Version no.</th>
<th>Date</th>
<th>Description of amendment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>08-12-17</td>
<td>N/A - new document</td>
</tr>
</tbody>
</table>
Instructions for using the ASC-MSC Seaweed (Algae) Audit Announcement Template

This template details the information required from conformity assessment bodies (CABs) when formally announcing the entry of a production and/or assessment, re-assessment or surveillance, which will be published on the ASC-MSC website. The template should be submitted by email, together with:

1. Completed client document checklist, and
2. Pre-audit report (if one exists and was written by the CAB doing the audit).

Please complete all unshaded fields. Where instructions are included in brackets or italics, please delete and replace with your specific information.

Corporate branding

The production unit Audit Announcement Template may be formatted to comply with the CAB corporate identity. It is the structure and content of the template sections below that must be followed.

Examples of appropriate amendments are:

a. A company header used throughout the report.
b. A company footer replacing the current ASC-MSC footer.
c. Inclusion of contact details for the assessment team members in relation to consultation.
d. Deletion of the instruction tab.
<table>
<thead>
<tr>
<th>Production unit details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the production unit</td>
</tr>
<tr>
<td>Target species common name/s</td>
</tr>
<tr>
<td>Species Latin name</td>
</tr>
<tr>
<td>Production system</td>
</tr>
<tr>
<td>Location of the production unit</td>
</tr>
<tr>
<td>Stock Region</td>
</tr>
<tr>
<td>Receiving water body</td>
</tr>
<tr>
<td>Clients part of the production unit</td>
</tr>
<tr>
<td>Facilities</td>
</tr>
<tr>
<td>Unit of Certification (if different)</td>
</tr>
<tr>
<td>Harvest season</td>
</tr>
<tr>
<td>Management system</td>
</tr>
<tr>
<td>Seaweed category</td>
</tr>
<tr>
<td>Statement that the production unit is within scope</td>
</tr>
<tr>
<td>Production unit operators</td>
</tr>
<tr>
<td>Information to identify Micro family business</td>
</tr>
<tr>
<td>Harvest/production data</td>
</tr>
<tr>
<td>Other production unit in the area</td>
</tr>
<tr>
<td>Main commercial market</td>
</tr>
<tr>
<td>Any other information the CAB wishes to provide (including any specific issues within the production unit that need to be highlighted)</td>
</tr>
</tbody>
</table>
## Audit details

**Conformity Assessment Body (CAB)**

Name of the CAB: AMITA Corporation

Name of assessment team leader: Naoya Ogawa

Name of first point of contact for the assessment (if different to the assessment team leader): same as above

Email address: ninsho@amita-net.co.jp

Phone Number: +81-3-5296-9372

Mailing address: 3-6-7, Kanda Kaji-machi, Chiyoda-ku, Tokyo 101-0045, Japan

**Client**

euglena Co.,Ltd.  
(Name of company)

Yuta Asayama  
(Name of first point of contact for the assessment (if different to the assessment team leader))

Manager, Production Technology Development Department Quality Assurance Division  
(Position in the client organisation)

asayama@euglena.jp

090-6587-4027

5-29-11 Shiba, minato-ku, TOKYO, 105-0014 japan

**Type of audit**

Surveillance

**Estimated length of the audit and timeline**

Site visit: 15th July, 2021


**Team Leader**

Naoya Ogawa: He will be the Team Leader and will lead the audit. He is an Environmental science expert. He has been a ASC farm certification auditor for five years and has experience of ASC farm audit more than 30. He completed ASC-MSC seaweed auditor training. He will also be a social auditor. He participated the social audit of ASC more than 20 and completed SA8000 advanced course training. He has no conflicts of interest in relation to the production unit under assessment.

**Proposed assessors**

**Site visit Date**

15th July 2021

**Location and date of site visit**

Production site: 24.34653 N, 124.235802 E on 15th July 2021

**Stakeholders**

Company staff, Stockholder, consumer, processing company, logistics provider, local people, researchers

**Risk Based Framework**

RBF will not be used.

**Invitation for stakeholders**

“A key purpose of the site visit is to collect information and speak to stakeholders with an interest in the production unit. For those parts of the assessment involving the Risk-Based Framework (RBF) we will be using a stakeholder-driven, qualitative and semi-quantitative analysis during the site visit. To achieve a robust outcome from this consultative approach, we rely heavily on participation of a broad range of stakeholders with a balance of knowledge of the production unit. We encourage any stakeholders with experience or knowledge of the production unit to participate in these meetings.”

Stakeholders that do not wish or are not able to be interviewed at the site visit may send written information to the team. [CAR, 17.6.6.1]
Chain of Custody information

<table>
<thead>
<tr>
<th>Identify if the following risks are currently or potentially applicable</th>
<th>Description of risk factor if present.</th>
<th>Describe any traceability, segregation, or other systems in place to manage the risk.</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, produced within the same UoA.</td>
<td>There is no risk because only certified algae is to be produced within the UoA.</td>
<td>Only certified algae is to be produced within the UoA.</td>
</tr>
<tr>
<td>b. The possibility of mixing or substitution of certified and non-certified product, type of production/harvest, including product of the same or similar appearance or species, present during production, harvest, transport, storage, or processing activities.</td>
<td>Produced Euglena and Chlorella is dried and stored at the same facilities. There is a separate potential risk when processing operations are carried out in outsourced factories.</td>
<td>Only certified algae is to be dried and stored within the UoA after harvest. If processing is done in an outsourced factory, the processing factory must be independently CoC certified.</td>
</tr>
<tr>
<td>c. The possibility of subcontractors being used to handle, transport, store, or process certified products.</td>
<td>Dried Euglena and Chlorella are processed to be final product at outsourced factories, but currently, the product is not manufactured and sold as a certified product.</td>
<td>Outsourced factories will undergo independent CoC certification audits where necessary.</td>
</tr>
<tr>
<td>d. Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product enters the Chain of Custody.</td>
<td>No opportunities</td>
<td>No opportunities</td>
</tr>
</tbody>
</table>
A. PERSONAL DATA
Name: Sayaka Ogawa

B. WORK EXPERIENCE
May 2017 – present  Contract auditor of ANITA Corporation
Apr. 2012 – Apr. 2017 ANITA Corporation, Japan
- Administrative Real-ability Council (ARC) certification auditor for Risking
  - Internal Real-ability Council (IRC) certification auditor for Board of Directors (BC)
  - Financial Real-ability Council (FRC) certification auditor for Financial Management (FM)
  - Internal Control Committee (ICC) and Board of Directors (BC)
- Program for the Promotion of Public Certification (PPC) auditor for Board of Directors (BC)

Skills:
- More than 20 years of experience in audit and risk management in the financial and business sectors
- More than 20 years of experience in audit and risk management in the pharmaceutical and healthcare sectors
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- More than 20 years of experience in audit and risk management in the pharmaceutical and healthcare sectors

Languages:
- Fluent in English and Japanese

C. EDUCATION
Dec. 2007  SAKUS Advanced Audit Course
May 2017  SAKUS Introduction and State Auditor Training Course
May 2017  SAKUS Auditor – Lead Auditor Training Course (SCCA 137799)
March 2012  M.S. in Agricultural and Life Sciences, The University of Tokyo, Japan
March 2005  B.S. in Agriculture, The University of Tokyo, Japan
Major: Ecology

D. QUALIFICATIONS
Professional Engineer in Environmental Sciences