

ASC Audit Report

Tilapia ☐ Pangasius ☐ Shrimp ☐

Initial ☐ Surveillance ☐ Recertification ☐

Name client	FEIN CATCH LTD.
Client number	839887
Name contact person	Mr. Michael Feinstein
Address client	PO Box 1843 #3 Eyrie Street Belize Central America
Telephone, fax, e-mail	501-6101007 mike@feinsteingroupbz.com
Certificate code	CUP-C839887-ASC-01-2015
Date of issue of certificate	13/11/2015
Date and length of audit	July 21 th to 22nd 2015
Name of auditor(s)	Jose Renato Recalde (principles 1-6) Jose Gabriel Rosales (principle 7)
Inspected unit (s)	Fein Catch Farm
Number and % of members evaluated (in case of group certification)	n/a
Issued by	Control Union Peru SAC
Address	Av. Rivera Navarrete 762, piso 15, San Isidro, Lima Peru
Telephone	+ 5117190400
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Website	www.cuperu.com www.controlunion.com
Certifier	Pilar Kuriyama
Date	13/11/2015
Signature	

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 (MSC) to carry out inspection and certification according to the ASC farm certification standards.

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

Based on the information provided by the auditor and by the client, the certifier reviews and evaluates all information provided 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.

2. REPORT

This certification report is made in accordance with the ASC Certification and Accreditation requirements, Standard Version: ASC Tilapia Standard_v1.0.

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

Fein Catch Ltd. is dedicated to the production, processing and marketing of fresh tilapia (*Oreochromis niloticus*) fillet to the US market & Whole Tilapia for Mexico and Guatemala. The total annual production Capacity is 3,500 Metric Tons.

Production is vertically integrated from brood stock to market size. Two production programs are available on the farm: Semi Intensive – Big fish for fillet & semi intensive - medium size for whole fish. Farm is responsible for producing fish weighing around 900 grams.

The total owned land is 250 hectares on 3 Phases; Semi-Intensive – 91 hectares of green water ponds, total green water area 110 hectares and 143 ponds Backup system & aeration.

Premium fillet are of standard sizes weighing around 5 to 7 ounces. They can be available with skin when requested.

Whole fish weights around 450 to 500 grams while biggest available fishes are around 900 grams.

Semi Intensive Ponds size are from 0.4 to 1 hectare. There is 5% Water Exchange per Day and the production per hectare is 30 MT/Year and there is up to 11 HP/hectare aeration. Nowadays, it is stated at the farm, three feedings a day

The water is received from Sibun River, pumping only covers the loss by evaporation. There is 1, 200 cm/h pump in the river. Moreover, a fully recirculation system is available; 2 recirculation pumps of 4500 cm/h. All the water moves through 2 reservoirs (16 hectares) before going back into the ponds.

Drainage canal collects the water from all the ponds, back to be pumped into the 2 reservoirs.

2.2 Summary

1. OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS

Fein Catch Ltd. complies with the Belizean legislation relating to the operation of aquaculture farms having in order and updated: ministerial agreements, Aquaculture registration, paying taxes at IRS and compliance with safety and health of workers.

2. MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY

Fein Catch Ltd. farm at La Democracia Village has been granted by the Belizean Ministry of Environment, MAE, the correspondent environmental license. The values for diurnal difference of dissolved oxygen, secchi disk are:

DDDO average: 12,53 %

DDDO audit: 1.1%

SD average: 2,40

SD audit: 2,60

Samples from the 3 receiving water points were collected and sent to independent laboratory Bowen and Bowen.

3. CONSERVE WATER RESOURCES

Water Received from Sibun River, pumping only to cover the loss by evaporation. 1200 cm/h pump in the river

Fully recirculation system: 2 recirculation pumps 4500 cm/h. All the water moves through 2 reservoirs (16 hectares) before going back into the ponds.

Drainage canal collects the water from all the ponds, back to be pumped into the 2 reservoirs.

Even that there is no discharges to the Sibun River, P and N values were calculated and showed to be in compliance with the following results:

P added: 15,74 Kg/TM
P "released": 8,24 Kg/TM
N added: 94,87 Kg/TM
N "released": 73,67 Kg/TM

Ground water salinization was not assessed as there is no use of wells in the farm and the water source is freshwater.

4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS

At farm were observed all measures to reduce escapes events as maintenance of mesh screens, use of escapes monitoring devices and secured transport of fish at the farm.

There was no evidence of GMO fish nor mortality and risks to IUCN red list species.

5. USE RESOURCES RESPONSIBLY

All information related to fish meal and fish oil was available with declarations from feed providers, the species declared are: YELLOWFIN (*Thunnus albacares*), SKIPJACK TUNA (*Katsuwonus pelamis*), *Engraulis ringens* (Anchoveta); *Dosidicus gigas* (Jumbo Flying Squid).

Wild catch species are not in IUCN red-list and compliance with the fish source scoring was reviewed with all values over 6.

6. MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER

Feincatch no use antibiotics to manage fish health. All procedures and records for mortalities collection and disposal were complete and available. Recovery value is 74%

7. BE SOCIALLY RESPONSIBLE

Social compliance is complete in relation to working hours, salaries, working conditions, forced labour. Some minor non conformities were raised and the detail is available in the non conformities forms attached to this report.

2.3 Decision

Fein Catch Ltd. farm at La Democracia Village is granted for ASC Tilapia certification.

The scope is:

ASC Tilapia Standard_v1.0.

*Specie: Tilapia (*Oreochromis niloticus*)*

Certification unit: Fein Catch farm

2.4 Audit background

Author(s): Jose Renato Recalde

Audit dates: July 20th to 22nd, 2015

Report finished at: 04-09-15

Report reviewed at: 19-09-15

Date of the certification decision: 13/11/2015

Persons involved in the audit:

Roberto Salas, Farm Manager;

Willie Chan, Assistant Manager;

Mark Leslie, Accountant;

Nestor Valle, Plant Manager;

Oscar Fuentes, Quality Control;

Ramesh Tummalu, Commercialization

8 workers interviewed

1 community member from La Democracia village

Activities audited:

Harvest, feeding, predator control, chemical storage, water pumping, escapes prevention procedures.

Stakeholder participation:

No comment made for the announcement period and the public draft consultation.

Previous Audits (if applicable): N/A

Other activities:

Contracting: may 2015

Public announcement: june 2015

Audit dates: July 20th to 22nd 2015

Public draft reports submission: October 2015

2.5 Scope

ASC standard version: ASC Tilapia Standard_v1.0.

Species: Tilapia (*Oreochromis niloticus*)

Scope of audit:

Production Unit name	Production Unit number (assigned by CUSI)	Address and geographical positions	Receiving water
Fein Catch Ltd.	PRD 061980	PO Box 1843 #3 Eyrie Street Belize Central America Latitude 17°19'33.69"N Longitud 88°32'8.70"W	Sibun river

Receiving water:

The receiving water body is Sibun River.

2.6 Description of the start of the Chain of Custody.

Tilapia produced at fein Catch Ltd. could enter on certified chain of custody and eligible to apply for carrying ASC label.

Considerations for the decision:

- **Tracking, tracing and segregation systems within the aquaculture operation:**
Harvest records are kept for production department and the fish is immediately transported to the processing plant in the same premises than farm. The traceability system is enough considering that is the only farm in the area and the fish is moved from pond to processing line in matter of minutes.
- **Use of transshipment:**
Not applicable, farm is allocated inside the farm and all ponds are included in ASC the assessment no other tilapia farms in the area.
- **Eligible operators and point(s) of landing:**
Fein catch Processing plant allocated at Farm.
- **The opportunity of substitution of certified with non-certified product within the unit of certification:**
Very low risk as the fish is harvested and immediately processed. Only product from Fein Catch Ltd. are handled within the production and processing units.
- **Point from which Chain of Custody certification is required:**
Chain of custody is needed after harvest in Fein Catch processing plant.

2.7 Evaluation results

See audit checklist attached

2.8 Findings.

After the review of evidence for settling and action plans for non-conformities, its decided to grant the ASC certification to Fein Catch Farm

2.9 Non-conformity report(s)

See NC forms attached

2.10 Confidential annexes


No confidential annexes

Name and signature of authorized representative: Mr. Michael Feinstein

Position: Company's representative

Date: November 11, 2015

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

ASC audit checklist							
ASCASS-TIL.F02(04)							
Report number:		839887-ASC-2015-01-RR					
1.1 Client contact data							
CU number:		839887					
Company name:		Fein Catch Ltd.					
Contact person:		Mr. Michael Feinstein					
Address:		#3 Eyrie Street Belize Central America					
Postal code:		PO Box 1843					
City:		Belize District					
Country:		Belize					
Telephone number:		501-6101007					
e-mail:		mike@feinsteingroupbz.com					
1.2 Audit information							
Date of last external audit:		Initial audit					
Audit date:		July 21st-22nd, 2015					
Full name of the lead auditor:		Jose Renato Recalde					
Audit team:		Jose Renato Recalde (Environmental Auditor) - Jose Gabriel Rosales (Social Auditor)					
Type audit:		Announced/Unannounced			Initial/Surveillance/Recertification		
1.3 Scope of ASC							
Scope:		Standard Version: ASC Tilapia Standard_v1.0					
		Specie: <i>Oreochromis niloticus</i>					
Production units							
Production units	Company name	Address and GPS coordinates		Receiving water body	Province	Country	Products
Ponds	Fein Catch Ltd.	La Democracia Village Latitude: 17°19'33.69"N Longitude: 88°32'8.70"W		Sibun River	Belize District	Belize	Tilapia
Changes since last audit							
initial audit							
1.4 Other information							
Brand name of the company:				Fein Catch Ltd.			
Mention other existing certification schemes of licensee:				Certificate of Belize Agricultural Health Authority Food Safety Services; Certificate of Incorporation by Belize Companies And Corporate Affairs Registry (Belmopan, Belize); Certificate of Registration by the U.S. Food and Drug Administration			
Lead Auditor: Jose Renato Recalde				Company representative: Mr. Michael Feinstein			

2. ASSESSMENT OF ASC TILAPIA STANDARDS							
Scope: Species of the Family Cichlidae commonly referred as Tilapia (Oreochromis niloticus, O. mossambica, O. aureus and O. hybrids)							
PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS							
1.1 Criteria: Evidence of legal compliance		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Compliance			Finding
				Yes	No	N/A	
1.1.1	Indicator: Presence of documents proving compliance with local and national authorities on land and water use (e.g., permits, evidence of lease, concessions and rights to land and/or water use) Requirement: Yes Applicability: All Farms, Farm-Wide	a. Maintain copies of applicable land and water use laws.	A. Review compliance with applicable land and water use laws.	x			codes of documents that proving: PRO/AOUA/01/64/14 (7); copy of environmental clearance available. Issue and expire date: April 25th, 2014 'Environmental Clearance' The Environmental Clearance according to interview to the Fisheries Officer, Rigoberto Quintana (bertointana@gmail.com) lasts for five (5) years, nevertheless if there is a change, improvement or extension on the farm, this must be informed immediately to the Department of the Environment (DOE) to proceed with the environmental clearance scope upgrade. On the document 'Environmental Compliance Plan written by The Department of The Environment and prepared for Fein Catch Ltd., on the page 6 of 16, it is possible to see the characteristics of the production pond water.
		b. Maintain original lease agreements or land titles on file.	B. Confirm client holds original lease agreements or land titles.	x			lease agreements/land titles code:LTU-201400513, filed: 3/27/2014 holding time: Fein Catch Ltd. Is the owner of the land. Conveyance between Pricewaterhouse Coopers EC Inc (Receiver) and First Caribbean International Bank (Cayman) (Mortgagees) and Fein Catch Ltd (Purchaser) lease agreements/land titles code: holding time:
		c. Keep records of inspections for compliance with national and local laws and regulations (only if such inspections are legally required in the country of operation).	C. Review inspection records for compliance with national and local laws and regulations (as applicable).	x			inspection record code: U.S. FDA Registration N°.: 11221066632; Belize Companies And Corporate Affairs Registry Belmopan, Belize Certificate N°- 13973; Belize Agricultural Health Authority Food Safety Services Certificate N°: BAH-ERC/15 (011) inspection date: November 4, 2014; February 18, 2014; April 1st, 2015 entity that conducted the inspection: Registrat Corp.; Belize Companies And Corporate Affairs Registry Belmopan, Belize;
		d. Obtain permits and maps showing that farm does not conflict with national preservation areas	D. Verify facility does not conflict with national preservation areas.	x			Is there exist any conflict?No codes of documents that proving:c. Environmental Compliance Plan written by The Department of the Environment and prepared for Fein Catch Limited on April 2014 (page 4 of 16, Environmental Compliance Plan) Search at protectedplanet.net shows no conflict with PAs
1.1.2	Indicator: Presence of documents proving compliance with all tax laws Requirement: Yes Applicability: All Farms, Farm-Wide	a. Keep records of tax payments.	A. Verify client has records of tax payments to appropriate jurisdiction(s).	x			tax payments code: Even the condition of Fein Catch qualified them to be exempted of Tax payments, there is a registration in order to receive back the added value taxes included on purchases at the farm, especially from Feeds. record date: February 1, 2015 tax payments code: 195996 record date: Certificate issued by Department of General Sales Tax and the effective date of registration was February 01, 2015
		b. Maintain copies of tax laws for jurisdiction(s) where company operates.	B. Confirm client has a basic knowledge of tax requirements for farm.	x			During the interview to the Accountant (Mr. Mark Leslie), the knowledge was sufficient on requirements of tax payments.
		c. Register with national or local authorities as an "aquaculture activity".	C. Verify client is registered with local or national authorities.	x			Is client registered? Yes Code of records related to taxes: 195996 record date: February 01, 2015
1.1.3	Indicator: Presence of documents proving compliance with all labor laws and regulations Requirement: Yes Applicability: All Farms, Farm-Wide	a. Maintain copies of national labor codes and laws applicable to farm.	A. Confirm client has specified documentation.	x			Code of records related to all labor laws and regulations:Digital version of Belize labor act chapter 297, revised edition 2000, showing the law as at 31st of December, 2000 record date: 31st of December, 2000
		b. Keep records of farm inspections for compliance with national labor laws and codes (only if such inspections are legally required in the country of opera)	B. Review inspection records for compliance with national labor laws and codes (as applicable).	x			Was there a inspection related to labor laws?: Yes entity that conducted the inspection: Social Security Board code of inspection records: BMP/Gen/1/2015(14) inspection date: July 23, 2015; Subject: Request for Confirmation of Social Security's Presentation to Staff at Fein Catch Ltd.
1.1.4	Indicator: Presence of documents proving compliance with regulations or permits concerning water quality impacts Requirement: Yes Applicability: All Farms, Farm-Wide	a. Obtain permits for water quality impacts where applicable.	A. Verify that client obtains permits as applicable.	x			does client have permits?: Yes codes of documents that proving: N°.: 11221066632; Certificate N°- 13973; N°: BAH-ERC/15 (011) entity related: U.S. FDA Registration; Belize Companies And Corporate Affairs Registry Belmopan, Belize; Belize Agricultural Health Authority Food Safety Services Certificate.
		b. Comply with all discharge laws or regulations.	B. Review evidence of compliance with discharge laws or regulations.	x			Law regulation number: NATIONAL INTEGRATED WATER RESOURCES ACT, 2010 ARRANGEMENT OF SECTIONS; NATIONAL INTEGRATED WATER RESOURCES MANAGEMENT POLICY (INCLUDING CLIMATE CHANGE) FOR BELIZE Prepared for the Caribbean Community Climate Change Centre Belmopan, Belize Finalized by the Belize Enterprise for Sustainable Technology (BEST) SEPTEMBER 2008; National Environmental Guidelines on Overwater structures prepared by the Department of Environment (DOE), Ministry of Natural Resources and The Environment, January 2010. Is in compliance?: Yes

		c. Maintain records of monitoring and compliance with discharge laws and regulations as required	C. Verify that records show compliance with discharge laws and regulations.	x			Does client have any water analysis record?: Yes Record code: Report N° - 116-2015 (Surface Water, Bowen & Bowen, Ltd - Water & Waste Water Analysis Laboratory, June 04, 2015); Report N° - 124-2015 (Surface Water, Bowen & Bowen, Ltd - Water & Waste Water Analysis Laboratory, June 19, 2015); Report N° - 118-2015 (Surface Water, Bowen & Bowen, Ltd - Water & Waste Water Analysis Laboratory, June 11, 2015); record date: June 04, 2015; June 19, 2015; June 11, 2015 entity that performs the analysis: Bowen & Bowen, Ltd - Water & Waste Water Analysis Laboratory
PRINCIPLE 2. MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY				Compliance			Finding
2.1 Criteria: Site information		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
2.1.1	Indicator: Site location, history and stewardship activities matrix located in Appendix 1, Table 1 is completed and validated Requirement: Yes Applicability: All Farms, Farm-Wide	a. Complete the Receiving Water Information Checklist in Audit Reference 2 (Table 1 in Appendix 1 of the Standard).	A. Do not schedule on-site audit of client until checklist review is complete.	x			Was the "receiving Water Information Checklist" used before the onsite audit?: Yes, Water parameters Fein Catch Ltd, Excel file. use date of checklist: January 15/2015; February 18/2015; March 18/2015; April 15/2015; May 13/2015; June 6/2015
		b. Submit checklist and attachments to CB before the on-site audit.	B. Review client submission for completeness, accuracy, and currency of information. Request clarification if needed.	x			What documents were sent to CB?: Preaudit data, maps, feed information, inlet, outlet information,etc Sending date: July 6, 2015
		-	C. Verify client information by cross-checking with independent sources (e.g. local authorities).	x			sources of confirmation: Rigoberto Quintana (bertoquintana@gmail.com), Fisheries Officer, Belize Fisheries Department, Ministry of Forestry, Fisheries & Sustainable Development.
2.2 Criteria: Presence of natural or established tilapia species		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
2.2.1	Indicator: Demonstration that the tilapia species cultured is established[1] and naturally reproducing in the receiving waters[2], of the operation on or before 1 January 2008[3] Requirement: Yes Applicability: All farm locations outside Africa (see 2.2.2), Farm-Wide	a. Collect documentary evidence that cultured species was established in receiving waters on or before 1 January 2008, or Collect first hand accounts showing evidence for natural reproduction of tilapia species in receiving waters on or before 1 January 2008. Submit evidence with checklist (Audit Reference 2).	A. Review evidence for compliance with the Requirement. Acceptable documentary evidence: peer-reviewed literature; verifiable Environmental Impact Assessment; and government certification. Acceptable first hand accounts: community testimonials and direct evidence for multiple size classes of tilapia species in receiving waters captured with cast nets, trapping devices or fishing.	x			tilapia cultured is established and naturally reproducing in the receiving waters of the operation on or before 1 January 2008?: FISH COMMUNITIES AND CONSERVATION OF AQUATIC LANDSCAPES IN NORTHEASTERN MESOAMERICA by Peter C. Esselman, A dissertation submitted in partial fulfillment of the requirements for the degree of Doctor of Philosophy (NATURAL Resources and Environment in The University of Michigan) 2009 page 45, established the presence of tilapia since 1981. sources of confirmation: Rigoberto Quintana (bertoquintana@gmail.com), Fisheries Officer, Belize Fisheries Department, Ministry of Forestry, Fisheries & Sustainable Development.
		b. If system does not have receiving waters according as defined in this requirement [2] then the requirements of Indicator 2.2.1 are not applicable.	B. If system does not have receiving waters according as defined in this requirement, Auditor response to 2.2.2 is "not applicable" (NA).	x			Receiving water body: Sibun River; however on the farm, it is also implemented a closed system which is formed by a reservoir, all supply canals and discharge ended on this point.
		c. If water is discharged into municipal water systems, show that there is a mechanism for treating effluent to eradicate/eliminate macro-biological organisms such as fish.	C. If water is discharged into municipal water systems, show that there is a mechanism for treating effluent to eradicate/eliminate macro-biological organisms such as fish. Review evidence to confirm compliance.			x	Is water discarded into municipal water? No what are the devices/mechanism used to eradicate/eliminate macro-biological organisms such as fish: n/a
Footnote	[1] "A non-indigenous species is considered established if it has a reproducing population within the basin, as inferred from multiple discoveries of adult and juvenile life stages over at least two consecutive years. Given that successful establishment may require multiple introductions, species are excluded if their records of discoveries are based on only one or a few non-reproducing individuals whose occurrence may reflect merely transient species or unsuccessful invasions." (National Oceanic and Atmospheric Administration)						
Footnote	[2] "Receiving water" is defined as all distinct bodies of water that receive runoff or waste discharges, such as streams, rivers, ponds, lakes and estuaries (adapted from World Health Organization). This does not include farm-constructed water courses, impoundments or treatment facilities.						
Footnote	[3] Where there are no-discharge systems, or no discharge to receiving waters, requirements 2.2.1 and 2.2.2 are not applicable.						
2.2.2	Indicator: In Africa, demonstration that the tilapia species and strain cultured is established and naturally reproducing in the receiving waters of the operation or before 1 January 2008 Requirement: Yes Applicability: Farms located in Africa only (see 2.2.1), Farm-Wide	a. Collect documentary evidence that cultured species and strain was present in receiving waters on or before 1 January 2008 or Collect first hand accounts showing evidence for natural reproduction of tilapia species and strain in receiving waters on or before 1 January 2008. Submit evidence with checklist (Audit Reference 2)	A. Review evidence for compliance with the Requirement. Acceptable documentary evidence: peer-reviewed literature; verifiable Environmental Impact Assessment; and government certification. Acceptable first hand accounts: community testimonials and direct evidence for multiple size classes of tilapia species in receiving waters captured with cast nets, trapping devices or fishing			x	farm in Belize
		b. If system does not have receiving waters as defined in this Requirement [2] then the requirements of Indicator 2.2.2 are not applicable.	B. If system does not have receiving waters according as defined in this requirement, Auditor response to 2.2.2 is "not applicable" (NA).			x	farm in Belize
		c. If water is discharged into municipal water systems, show that there is a mechanism for treating effluent to eradicate/eliminate macro-biological organisms such as fish.	C. If water is discharged into municipal water systems, show that there is a mechanism for treating effluent to eradicate/eliminate macro-biological organisms such as fish. Review evidence to confirm compliance.			x	farm in Belize
2.3 Criteria: The effects of eutrophication		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
		Instruction to Clients for Indicator 2.3.1 - Diurnal Difference in Dissolved Oxygen (DDDO)					
		a. Collect ≥12 months of DDDO samples if farm was built after December 2009 (farms built before December 2009 need only 6 months of data).	A. Do not schedule on-site audit until client provides baseline DDDO data.	x			Has client provided DDDO data before the audit?: Initial audit, the client has provided six-month data. How old are this data: 6 months; 1/15/2015, 2/18/2015, 3/18/2015, 4/15/2015, 5/13/2015, 6/6/2015 DDDO value: 12.53%

2.3.1	Indicator: The percent change in diurnal dissolved oxygen of receiving waters relative to dissolved oxygen at saturation for the water's specific salinity and temperature	b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Calibrate daily if there is no manufacturer's recommendation	B. Verify that client calibrates equipment as required.	x			Date of the last calibrate: It is calibrated once a month according to operational manual (pdf file). Last calibration: Friday July 17, 2015. Information available on page 6 YSI operational manual; calibration in % saturation. method and frequency: According to operational manual (for concentration), once a month. responsible for calibration: Mr. Roberto Salas (Farm Manager), Willie Chan (Assistant Manager)
	Requirement: ≤ 65%	c. Adjust DO at saturation to reflect temperature, salinity and altitude during calibration or in calculations (see Audit Reference 6).	C. Verify that client adjusts for temperature, salinity and altitude through calibration or in calculations (Audit Reference 6).	x			Salinity and Height calibrated in the equipment, 0 ppt, 20m over sea level
	Applicability: All Farms, Farm-Wide	d. Calculate DDDO using equation 1 (Audit Reference 6) and oxygen saturation values (Audit Reference 5). Enter DDDO values into Water Quality Monitoring Matrix (Audit Reference 4).	D. Review Water Quality Monitoring Matrix. Verify that all DDDO measurements from the receiving water comply with the Requirement.	x			DDDO value was calculated?: Yes; 12.53 % DDDO values: 12.53% average
		e. Calculate average annual DDDO for the prior 12-month period. Enter result into Water Quality Monitoring Matrix (Audit Reference 4).	E. Review monitoring matrix and confirm that mean annual DDDO ≤ 65 %.	x			Is the DDDO calculated less than 65%?: 12.53%
		f. Arrange to take DO measurements while the auditor is at the farm	F. Witness client measuring DO. On-site values should fall within range of farm data for DDDO. If an out of range measurement is observed, raise a non-conformity.	x			all values are within range?: DO sunset 85.1 - DO sunrise 84%: 1.1%, values are inside dat range
2.4 Criteria: Water quality in oligotrophic receiving waters		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
2.4.1	Indicator: Secchi disk visibility[4] limit above which production is not certifiable	Instruction to Clients for Indicator 2.4.1 - Upper Limit of Secchi Disk Visibility (SD)					
	Requirement: 10 meters	a. Collect ≥12 months of SD readings at RWFA station (for first audits, farm must have ≥ 6 months of data). Enter SD values into Water Quality Monitoring Matrix (Audit Reference 4).	A. Review matrix to verify that average annual SD < 10 m. If average annual SD equals or exceeds 10 m, production is not certifiable.			x	RW average depth. 5m
	Applicability: All Farms, Farm-Wide	b. Arrange to take SD measurements at RWFA during the audit of the farm. The auditor will witness and replicate your SD measurements.	B. Witness client measuring SD. Repeat the SD measurement yourself at the same time and location. Record both sets of values.	x			value by client: 2.64 m value by auditor: 2.60 m
		-	C. Calculate percent error of farm data using Equation 2 (Audit Reference 6). If < 5% difference is observed between auditor and farm min and max SD readings, then accept the annual average from farm data. If > 5% difference is observed between auditor and farm min and max SD readings, then raise a non-conformity (see Audit Reference 3).	x			Percent error between auditor and farm lectures: difference: 0.04 m, 0,01% Annual average: 2,40 m (6 month data) Min value: 2,06 m Max value: 2,70 m Annual average accepted:yes
2.4.2	Indicator: Compliance with standards 2.4.3. & 2.4.4. when Secchi disk visibility[4] ≤ 5.0 meters	Instruction to Clients for Indicator 2.4.2 - Decision about Oligotrophy using SD					
	Requirement: Yes	a. If auditor measurement shows SD > 5.0 m and annual mean SD < 5.0 m, then (see next column -->)	A. If auditor measurement shows SD > 5.0 m and annual mean SD < 5.0 m, then Proceed to Indicator 2.4.3 and 2.4.4			x	Audit and average <5
	Applicability: All Farms, Farm-Wide	b. If auditor measurement shows SD > 5.0 m and annual mean SD > 5.0 m, then (see next column -->)	B. If auditor measurement shows SD > 5.0 m and annual mean SD > 5.0 m, then stop			x	Audit and average <5
		c. If auditor measurement shows SD ≤ 5.0 m and annual mean SD < 5.0 m, then (see next column -->)	C. If auditor measurement shows SD ≤ 5.0 m and annual mean SD < 5.0 m, then stop	x			audit value:2.60 Average value: 2,40
		d. If auditor measurement shows SD ≤ 5.0 m and annual mean SD > 5.0 m, then (see next column -->)	D. If auditor measurement shows SD ≤ 5.0 m and annual mean SD > 5.0 m, then Proceed to Indicator 2.4.3 and 2.4.4.			x	Audit and average <5
2.4.3.	Indicator: Total phosphorus concentration limit in receiving waters[4]	a. If required under Indicator 2.4.2, collect water samples at RWFA. Determine total phosphorus concentration.	A. Take duplicate water sample at RWFA. Have sample analyzed by a qualified independent laboratory for total phosphorus concentration (for handling, see Indicator 2.5.1)			x	Audit and average <5
	Requirement: ≤ 20 µg/L	b. Report results to CB.	B. Calculate percent error of farm data using Equation 2 (Audit Reference 6). If > 5% difference is observed between auditor data and farm min/max, raise a non-conformity (see Audit Reference 3).			x	Audit and average <5
	Applicability: All Farms, Farm-Wide	c. Analyze total phosphorus concentrations in all subsequent water samples from monthly water quality monitoring. Continue until instructed otherwise by the CB.	C. Verify that samples from receiving waters comply the Requirement.			x	Audit and average <5
	Indicator: Chlorophyll a concentration limit in receiving	a. If required under Indicator 2.4.2, collect water samples at RWFA. Determine chlorophyll a concentration.	A. Take duplicate water sample at RWFA. Have sample analyzed by a qualified independent laboratory for chlorophyll a concentration (for handling, see Indicator 2.5.1)			x	Audit and average <5

2.4.4	waters[4]	b. Report results to CB.	B. Calculate percent error of farm data using Equation 2 (Audit Reference 6). If > 5% difference is observed between auditor data and farm min/max, raise a non-conformity (see Audit Reference 3).		x		Audit and average <5
	Requirement: ≤ 4.0 µg/L Applicability: All Farms, Farm-Wide	c. Analyze chlorophyll a concentrations in all subsequent water samples from monthly water quality monitoring. Continue until instructed otherwise by the CB.	C. Verify that samples from receiving waters comply the Requirement.			x	Audit and average <5
Footnote	[4] Measurements shall be taken at the Receiving Water Farm Afar (RWFA) sampling station. See Appendix II for RWFA definition.						
2.5 Criteria: Receiving water monitoring		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
2.5.1	Indicator: Receiving water quality monitoring matrix completed and validated (Appendix II) Requirement: Yes (6 months data, pre-audit, required) Applicability: All Farms, Farm-Wide	Instruction to Clients for Indicator 2.5.1 - Water Quality Monitoring					
		a. Conduct ≥6 months of water quality monitoring before first audit.	A. Do not schedule the on-site audit until client has monitoring dataset.	x			Information dataset period: January to June 2015.
		b. Complete the Water Quality Monitoring Matrix (Audit Reference 4) and submit to CB.	B. Review Matrix to verify that client monitored all required parameters at the required frequency.	x			Parameters monitored: The following parameters have been tested; turbidity, conductivity, Ammonia Nitrogen (NH3-N), Phosphorus (P), chlorophyll, SD, DO turbidity frequency: six (6) times every month
		c. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Calibrate daily if there is no manufacturer's recommendation.	C. Verify that client calibrates equipment as required.			x	Date of the last calibration: Client sends samples to external laboratory (Bowen & Bowen Ltd.) Method and frequency: Not applicable since the client sends samples to external laboratory (Bowen & Bowen Ltd.) Responsible for calibration: Not applicable since the client sends samples to external laboratory (Bowen & Bowen Ltd.)
		d. During the audit of the farm, arrange to conduct water quality monitoring. The auditor will witness and replicate water sampling	D. Witness client conducting water quality monitoring. Repeat on-site measurements at the same time and location. Record both sets of values.	x			Auditor witnessed client conducting water quality monitoring? Yes, during the water sampling at RW, it was taken two (2) samples on simple plastic bottles and send to Bowen & Bowen for analysis. Samples taken sent to: Bowen & Bowen Ltd.
		e. Collect water samples and prepare them for shipment as applicable	E. Collect duplicates of water samples for independent analyses performed by either the CB or an independent laboratory (i.e. not by farm staff). At a minimum, the independent analyses shall include determination of: chlorophyll a (ug/L), phosphate-phosphorus (ug/L), ammonia-nitrogen (ug/L), and turbidity (NTU). Keep samples in a sealed cooler at < 10°C.	x			Parameters in criteria tested? All parameters tested, samples was taken and sent o independant laboratory Bowen and Bowen, after sampling in styrofoam box with ice.
		f. Perform routine analysis of water samples (i.e. done in the same manner as for previous months of water quality monitoring).	F. Keep samples under auditor control until analyses are complete or until samples are placed into custody of a qualified independent laboratory.	x			Samples storage: Container with ice Date of sending: July 23rd, 2015, samples were sent to Bowen & Bowen Ltd. (independent laboratory)
		g. Record values for each parameter and submit results to CB.	G. Calculate percent error of farm data using Equation 2 (Audit Reference 6). If > 5% difference is observed between auditor and farm data, raise a non-conformity (see Audit Reference 3).	x			Farm reading: NA Auditor reading: NA Error %: For the present report, there is no comparison between farm readings and auditor's. All samples were taken to independent lab (Bowen & Bowen Ltd.). Results reports: report N°- 118-2015
2.6 Criteria: Wetland conservation		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding

2.6.1.	Indicator: Hectares of allowable wetland[5] conversion since 1999[6] Requirement: 0 ha Applicability: All Farms, Farm-Wide	a. Provide a map delineating all wetlands currently within a 5-km radius of the farm	A. Evaluate whether there is evidence for any wetland conversion occurring within a 5-km radius of the farm since 1999.	x			Wetland conversion since 1999? Taken from An Environmental Impact Assessment of Feincatch Limited April 2001 prepared by Thom Grwshaw (Aquaculture & Environmental Consulting) and confirmed by aerial view on Google Earth Pro. On page 68 of the Environmental Impact Assessment, it is stated; 'The primary indirect, negative impact from the development concerns its potential disturbance of the Belize Biological Corridor System, which runs along the eastern margin of the proposed development site'. No wetland conversion on the area the direct impact to flora included the removal of evergreen broadleaf scrub with much Miconia Spp. Source of confirmation:Aerial view on Google Earth Pro version 7.1.5.1557. Near wetland: No wetland near the project; the nearest water source is represented by the Sibun River
		b. Prepare a map showing pre- and post-1999 wetland coverage at farm site.	B. Evidence shows that farm siting or related activities have resulted in loss of wetland habitat since 1999, then the client is not certifiable.	x			Wetland conversion since 1999?No wetland conversion on the area the direct impact to flora included the removal of evergreen broadleaf scrub with much Miconia Spp.
Footnote	[5] "Wetland is defined as lands where saturation with water is the dominant factor determining the nature of soil development and the types of plant and animal communities living in the soil and on its surface." (United States Environmental Protection Agency)						
Footnote	3ee						
PRINCIPLE 3. CONSERVE WATER RESOURCES				Compliance			Finding
3.1 Nutrient utilization efficiency		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
3.1.1	Indicator: The total amount of phosphorus added to the culture system per metric ton of fish produced per year. Use equations from Appendix III. Requirement: ≤ 27 kg Applicability: All Farms, Unit of Certification Only	a. Calculate total weight of feed used. Keep invoices.	A. Review invoice to confirm the total weight of feed used	x			Were the invoices checked? Yes from Cargill and Areca Code of checked invoices:Tax invoice N°- 032083, Company EPZ Code FCLT, Company Tax Identification Number 195996, Areca invoice N°- 13127 Total weight of feed used : 534,727 TM
		b. Calculate total weight of all fish purchased. Keep invoices.	B. Review invoices to confirm the total weight of fish purchased.	x			Were the invoices checked?:Yes, Invoice 5061501, June 5, 2015 Code of checked invoices: Invoice 5061501 Total weight of all fish purchased: 31,415.55 lbs.
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	C. Review invoices to confirm the total weight of fish sold or shipped.	x			Were the invoices checked? Yes, Waybill; B.A.H.A. seal# W/101282 Code of checked invoices:Waybill; B.A.H.A. seal# W/101282 Total weight of all fish produced: 274,85 TM
		d. Obtain a signed letter from feed manufacturer stating phosphorus content of the feed.	D. Confirm that a letter from the feed manufacturer states phosphorus content.	x			Farm provided signed letter from feed manufacturer stating phosphorus content and nitrogen of the feed?: Yes from Cargill and Areca Phosphorus content: Total Phosphorus; 38%: 0.88, 32%0.84, 28%0.78, 45%1.04 Letter date signature:May 2015
		e. Complete nutrient budget worksheet (Audit Reference 8).	E. Review nutrient budget worksheet for accuracy	x			Is the nutrient budget worksheet completed and accurate?: Yes completed in audit reference 8
		-	F. Confirm that total phosphorus does not exceed the requirement	x			Does the added total phosphorus exceed 27 kg?:No Total added phosphorus: Total Phosphorus:15.74
3.1.2A	Indicator:The total amount of phosphorus released from the culture system per metric ton of fish produced per year. Phosphorus loading will be either calculated using equations from Appendix III or measured in effluent if there is post-culture treatment. Requirement:≤ 20 kg Applicability: Farms with no post-culture treatment for phosphorus, Unit of Certification Only. Clients may omit/delete pricing details from purchase documents.	Farms without post-culture treatment for phosphorus		Yes	No	N/A	Finding
		a. Calculate total weight of feed used. Keep invoices.	A. Calculate total weight of feed used. Keep invoices.	x			Were the invoices checked? Yes from Cargill and Areca Code of checked invoices:Tax invoice N°- 032083, Company EPZ Code FCLT, Company Tax Identification Number 195996, Areca invoice N°- 13127 Total weight of feed used : 534,727 TM
		b. Calculate total weight of all fish purchased. Keep invoices.	B. Calculate total weight of all fish purchased. Keep invoices.	x			Were the invoices checked?:Yes, Invoice 5061501, June 5, 2015 Code of checked invoices: Invoice 5061501 Total weight of all fish purchased: 31,415.55 lbs.
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	C. Review invoices to confirm the total weight of fish sold or shipped.	x			Were the invoices checked? Yes, Waybill; B.A.H.A. seal# W/101282 Code of checked invoices:Waybill; B.A.H.A. seal# W/101282 Total weight of all fish produced: 274,85 TM
		d. Complete nutrient budget worksheet (Audit Reference 8)	D. Review nutrient budget worksheet for accuracy.	x			Is the nutrient budget worksheet completed and accurate?: Yes completed in audit reference 8

		-	E. Confirm that phosphorus released does not exceed requirement.	x			Does the released total phosphorus exceed 20 kg?: no Total released phosphorus: 8,24
		<i>Farms with post-culture treatment for phosphorus</i>	<i>Farms with post-culture treatment for phosphorus</i>	Yes	No	N/A	Finding
		f. Complete steps a-d (above) for Indicator 3.1.2A.	F. Complete steps A-D (above)	x			Steps A-D completed? Yes
		g. Describe method for treatment (e.g. sludge removal for fertilizer, water treatment facilities, etc.) and means of quantifying phosphorus capture.	G. View evidence for effective post-culture treatment.	x			Describe the post culture treatment: There was evidence at the farm, Fein catch does not discharge to the Sibun river, the outlets are collected on the reservoir and it remains more than 72 hours to fulfill sedimentation process, after that period, the water initiates the cycle (recirculation) once more. The water at reservoir is not treated on any form, the process of sedimentation is propered of water containment.
		h. Keep records of the quantity of phosphorus captured by treatment.	H. Review records for phosphorus capture.			x	Phosphorus before treatment:recirculation system but farm complies with the standard 3.2.1 a Phosphorus after treatment: recirculation system but farm complies with the standard 3.2.1 a Records reviewed: recirculation system but farm complies with the standard 3.2.1 a
		i. Subtract net phosphorus captured in treatment facility from total output of phosphorus, expressed as kg P/mt fish produced over prior 12-month period	I. Review calculations for accuracy.			x	Was the value correctly calculated?: recirculation system but farm complies with the standard 3.2.1 a Value in kg P/mt fish produced over prior 12-month period: recirculation system but farm complies with the standard 3.2.1 a
		-	J. Confirm that the total amount of phosphorus released does not exceed requirement.			x	Does the released total phosphorus exceed 20 kg?: no Total released phosphorus: recirculation system but farm complies with the standard 3.2.1 a
		a. Calculate total weight of feed used. Keep invoices.	A. Review invoices to confirm the total weight of feed used.	x			Were the invoices checked? Yes from Cargill and Areca Code of checked invoices:Tax invoice N°- 032083, Company EPZ Code FCLT, Company Tax Identification Number 195996, Areca invoice N°- 13127 Total weight of feed used : 534,727 TM
		b. Calculate total weight of all fish purchased. Keep invoices.	B. Review invoices to confirm the total weight of fish purchased.	x			Were the invoices checked?:Yes, Invoice 5061501, June 5, 2015 Code of checked invoices: Invoice 5061501 Total weight of all fish purchased: 31,415.55 lbs.
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	C. Review invoices to confirm the total weight of fish sold or shipped.	x			Were the invoices checked? Yes, Waybill; B.A.H.A. seal# W/101282 Code of checked invoices:Waybill; B.A.H.A. seal# W/101282 Total weight of all fish produced: 274,85 TM
		d. Obtain a signed letter from feed manufacturer stating nitrogen content of the feed.	D. Confirm that a letter from the feed manufacturer states nitrogen content.	x			Farm provided signed letter from feed manufacturer stating phosphorus content and nitrogen of the feed?: Yes, information related to feeds; 38% starter, 32% Grower, 28% Finisher and 45% industrial Cargill diets used by Fein Catch during October 2014 to March 2015 timeframe. Phosphorus content: Total Nitrogen (%): 38%: 6,1, 32%: 5,2, 28%: 4,5, 45%: 7,2 Letter date signature: May 2015
		e. Complete nutrient budget worksheet (Audit Reference 8)	E. Review nutrient budget worksheet for accuracy.	x			Is the nutrient budget worksheet completed and accurate?: Yes completed in audit reference 8 N input: 94,87 Kg/TM
		a. Calculate total weight of feed used. Keep invoices.	A. Review invoices to confirm the total weight of feed used.	x			Were the invoices checked? Yes from Cargill and Areca Code of checked invoices:Tax invoice N°- 032083, Company EPZ Code FCLT, Company Tax Identification Number 195996, Areca invoice N°- 13127 Total weight of feed used : 534,727 TM
		b. Calculate total weight of all fish purchased. Keep invoices.	B. Review invoices to confirm the total weight of fish purchased.	x			Were the invoices checked?:Yes, Invoice 5061501, June 5, 2015 Code of checked invoices: Invoice 5061501 Total weight of all fish purchased: 31,415.55 lbs.
		c. Calculate total weight of fish produced. Keep invoices for all fish sold or shipped.	C. Review invoices to confirm the total weight of fish sold or shipped.	x			Were the invoices checked? Yes, Waybill; B.A.H.A. seal# W/101282 Code of checked invoices:Waybill; B.A.H.A. seal# W/101282 Total weight of all fish produced: 274,85 TM

	Applicability: All Farms, Unit of Certification Only						
	Clients may omit/delete pricing details from purchase documents.	d. Use equation from Audit Reference 6 to calculate total amount of nitrogen released. D. Confirm calculation.	D. Confirm calculation.	x			Was the value correctly calculated?: yes N released: 73,67 kg/TM
		e. Complete nutrient budget worksheet (Audit Reference 8)	E. Review nutrient budget worksheet for accuracy.	x			Is the nutrient budget worksheet completed and accurate?: Yes completed in audit reference 8
3.2 Groundwater salinization		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
3.2.1	Indicator: Percent change in specific conductance of freshwater from a drilled well at the time of drilling and the time of audit. This is required when freshwater wells are used in combination with brackish surface water for the culture of tilapia. Freshwater aquifers are defined as having a specific conductance less than 1,300 µS/cm. Requirement: ≤ 10 %	Only applicable if brackish water is used for the culture of tilapia (if surface water used is less than 1,300 µS/cm or if initial well water measure is greater than 1,300 µS/cm – standard is not applicable and no non-conformance issued)					
		a. Inform CB if brackish water is used for tilapia culture (3.2.1 applies only to farms where surface water is > 1,300 µS/cm or initial well water is < 1,300 µS/cm).	A. Confirm whether client uses brackish water for tilapia culture. If not, then auditor response to 3.2.1B-E is “not applicable” (NA).			x	water system conductivity:NA Brackish water? NA
		b. Show well locations on map of farm.	B. Confirm well locations.			x	Well locations are accurate in a map? NA
		c. Record date of drilling and initial specific conductance (µS/cm) at each well.	C. Retain a record of location and initial specific conductance for wells.			x	Initial conductivity: NA
		d. Measure specific conductance of all wells less than 4 weeks before audit.	D. Review updated measurements of specific conductance. Compare values to initial measurements taken from the same wells.			x	Conductivity values range:NA Last conductivity data:NA
		-	E. Verify that specific conductance at wells did not change by > 10 %.			x	There is change >10%-NA
PRINCIPLE 4. CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS				Compliance		Finding	
4.1. Escapes from aquaculture facilities		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	
4.1.1	Indicator: Presence of net mesh or grills/screens, barriers on inlets and outlets of culture vessels (e.g., tanks, ponds and raceways), and mesh on all netted confinement units (e.g., cages and impoundments), appropriately sized to retain the stocked fish	a. Install net mesh, screens and barriers in required locales.	A. Inspect site to verify that net mesh, screens and barriers are in place.	x			Devices used (net mesh or grills/screens, barriers): Fein catch Ltd possesses the Screens/meshes Inspection Register. There was information available on Jan-13-2015, Jan-30-2015, Feb-13-2015, Feb-28-2015, Mar-6-2015, Mar-28-2015, Apr-11-2015, Apr-27-2015, May-5-2015, May-28-2015, Jun-4-15, June 20, 2015 and July 6, 2015 devices details : In general, on the excel file, the screens presented a good condition. On June 20, 2015, there were four ponds (6, 24, 34, 35) which screens were not in use on this timeframe. On July 6, 2015, there were four (4) ponds (6, 24, 34, 35) which screens were not in use.
	Requirement: Yes Applicability: All Farms, Farm-Wide	b. Use meshes that are appropriately sized to retain stocked fish.	B. Inspect site to verify meshes are appropriately sized to retain stocked fish.	x			are the devices appropriated? According to inspection, there was screen (mesh) on the critical areas (water inlet and outlet on every pond), furthermore, there were gillnets allocated on critical points at drainage canal Device size: 2-5 mm
4.1.2	Indicator: Presence of net mesh, or grills/screens and permanent barrier inspection register recording dates, findings and actions taken, including mitigation or fish containment structure repairs Requirement: Yes Applicability: All Farms, Farm-Wide	a. Establish program for regular inspection of permanent barriers.	A. Inspect site to verify effectiveness of inspection program.	x			Is there a inspection program? Yes, Screens/meshes Inspection Register (excel file) Code of inspection program: Screens/meshes Inspection Register, no code available. Inspection frequency: twice a month Inspection responsible: Willie Chan (Farm manager assistant)
		b. Record the dates, findings and actions taken in an 'Inspection Register'.	B. Review records.	x			record dates: There was information available on Jan-13-2015, Jan-30-2015, Feb-13-2015, Feb-28-2015, Mar-6-2015, Mar-28-2015, Apr-11-2015, Apr-27-2015, May-5-2015, May-28-2015, Jun-4-15, June 20, 2015 and July 6, 2015 Findings: In general, on the excel file, the screens presented a good condition. On June 20, 2015, there were four ponds (6, 24, 34, 35) which screens were not in use on this timeframe. On July 6, 2015, there were four (4) ponds (6, 24, 34, 35) which screens were not in use. Actions taken : Not any necessary actions taken on the farm.
		c. Collect data for 6 months before first audit.	C. Do not schedule the first audit until client submits 6 months of inspection data.	x			Has the client submitted 6 months of data before the audit? There was information available on Jan-13-2015, Jan-30-2015, Feb-13-2015, Feb-28-2015, Mar-6-2015, Mar-28-2015, Apr-11-2015, Apr-27-2015, May-5-2015, May-28-2015, Jun-4-15, June 20, 2015 and July 6, 2015
4.1.3	Indicator: Presence of trapping devices placed in effluent/drainage canals or in between cages to sample for escapees, and a record of findings and actions taken	a. Establish program for monitoring escapes with trapping devices	A. Inspect farm to verify that trapping devices are used in an effective and representative way for monitoring escapees.	x			Is there a program for monitoring escapes? Yes, word document “Monitoring escapees” digital version delivered to Auditor; no code available for the document Trapping device: Screens/meshes and fish traps (gillnets allocated at critical points in drainage. frequency: two times per month.
		b. Record all traps used, findings and actions taken.	B. Review records	x			record dates: There was information available on Jan-13-2015, Jan-30-2015, Feb-13-2015, Feb-28-2015, Mar-6-2015, Mar-28-2015, Apr-11-2015, Apr-27-2015, May-5-2015, May-28-2015, Jun-4-15, June 20, 2015 and July 6, 2015 Findings: no findings until audit Actions taken : Not necessary actions in farm.
		c. Collect data for 6 months before first audit.	C. Do not schedule the first audit until client submits 6 months of monitoring data.	x			Has the client submitted 6 months of data before first audit? Yes, There was information available on Jan-13-2015, Jan-30-2015, Feb-13-2015, Feb-28-2015, Mar-6-2015, Mar-28-2015, Apr-11-2015, Apr-27-2015, May-5-2015, May-28-2015, Jun-4-15, June 20, 2015 and July 6, 2015

4.4.2	Indicator: Mortality of IUCN red listed species Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Instruction to Clients for Indicator 4.4.2 - Presence of IUCN Red List Species Determine whether IUCN red list species are present in the region as follows: - Go to http://www.iucnredlist.org/ - Follow to "other search options" - Select "Taxonomy" - Select "Animalia" - Indicate appropriate "Location", "Systems", "Habitat", - Click on "run search" and record 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 4.4.2, species in the following IUCN categories may be excluded from further analyses: "Not evaluated", "Data Deficient", and "Least Concern".						
		a. Perform analysis. Record all IUCN red list species and farm-related threats. A. Repeat analysis to verify that client obtained an accurate result.	A. Repeat analysis to verify that client obtained an accurate result.	x			Does the client have all IUCN red list species and farm-related threats?: Yes, the client possesses the Environmental Impact Assessment and on page 68 The analysis was repeated again? Yes during audit Species detected: no species detected in the area Farm Threats: no threats to fauna detected or observed during audit	
		b. If an IUCN Red List species is identified in region of the farm (including receiving and source waters), take appropriate precautions	B. Verify that client takes appropriate precautions as required.	x			Measure to prevent impingment: no threats to fauna detected or observed during audit	
PRINCIPLE 5. USE RESOURCES RESPONSIBLY						Compliance		Finding
5.1 Criteria: Use of wild fish for feed (fishmeal and oil)						Yes	No	
5.1.1	Indicator: Feed Fish Equivalence Ratio (FFER). See Appendix IV for feed calculations. Requirement: ≤ 0.8 Applicability: All Farms, Unit of Certification Only	a. Obtain a signed letter from feed manufacturer stating percentage of fish meal and/or fish oil (Audit Reference 9) in feed used during the past 12 months.	A. Verify that values are stated in a letter from the feed manufacturer.	x			letter available: Yes, letter written by Cargill on May 2015 providers: Cargill's Representative: Brenda Knapp, Ph.D. (Technology Application Manager) Cargill Honduras letter code and signature date: No code available, only date and Technology Application Manager signature (Brenda Knapp, Ph.D.) values stated: Fish meal-wild catch: whole fish (%): 38% Starter: 0-06 %; 32% Grower: 0; 28% Finisher: 0; 45% Industrial Cargill: 9.88 %; Fish meal-Wild catch: By product (%): 38% Starter: 0 %; 32% Grower: 0; 28% Finisher: 0; 45% Industrial Cargill: 2.27 %; Fish meal-cultured spp. (%): 38% Starter: 5.9%; 32% Grower: 2.5%; 28% Finisher: 1.0%; 45% Industrial Cargill: 5.14%	
		b. For FFER calculations, exclude fish meal and fish oil derived from rendering of seafood	B. Verify client excludes rendered seafood byproducts from calculation of FFER	x			All rendered seafood by products were excluded to do the calculation? Yes, according to audit reference 6, it was delivered to auditor.	
		c. Calculate FFER using equations in Audit Reference 6 (also Appendix IV of Standard).	C. Verify that FFER calculations were done correctly.	x			FFER: (Audit reference 6) 1.95 fish meal accumulate %: (Fish meal-wild catch: Whole Fish (%)) 38% Starter: 0-06 %; 32% Grower: 0; 28% Finisher: 0; 45% Industrial Cargill: 9.88 fish oil accumulate %: (Fish oil from wild catch (%)) 38% Starter: 0 %; 32% Grower: 0; 28% Finisher: 0; 45% Industrial Cargill: 0% Calculation done correctly? Calculation done correctly and available for analysis on the audit reference 6 provided by Fein Catch Ltd.	
		b. For FFER calculations, exclude fish meal and fish oil derived from rendering of seafood	D. Confirm that FFER complies with the Requirement	x			FFER value: 0,03	
5.1.2	Indicator: Allowance for the use of fishmeal and fish oil in tilapia feed containing products from fisheries that are listed on the IUCN's Red List or the species list maintained by the Convention on the International Trade of Endangered Species of Wild Fauna and Flora Requirement: None Applicability: All Farms, Unit of Certification Only	a. Obtain a signed letter from feed manufacturer identifying the origin (genus, species and region harvested) of fish used in fish meal/oil (Audit Reference 9).	A. Verify that species used in fishmeal are identified in a letter from the feed manufacturer	x			letter available: Yes, letter signed by Technology Application Manager (Brenda Knapp, Ph.D.) letter code and signature date: No code available on the letter, dates of production: October 2014 to March 2015. Letters issued for 38% Starter, 32% Grower, 28% Finisher, 45% Industrial Cargill species: 38% starter, 32% Grower, 28% Finisher, 45% Industrial Cargill: <i>Engraulis ringens</i> (Anchoveta); <i>Dosidicus gigas</i> (Jumbo Flying Squid); By-products : <i>Thunnus albacares</i> (Yellowfin Tuna), <i>Katsuwonus pelamis</i> (Skipjack Tuna).	
		b. Determine if any of the species used in fish feed are on the IUCN's Red List following the instructions given for Indicator 4.4.2.	B. Repeat search of IUCN database to verify that client obtained an accurate result.	x			Has the client done the search of IUCN correctly? yes, there are letters issued by Cargill Honduras (March 2015) and CALVO CONSERVAS DE EL SALVADOR (January 7th, 2014). Species listed: species listed from CALVO: YELLOWFIN (<i>Thunnus albacares</i>), SKIPJACK TUNA (<i>Katsuwonus pelamis</i>). Species listed by Cargill: <i>Engraulis ringens</i> (Anchoveta); <i>Dosidicus gigas</i> (Jumbo Flying Squid); <i>Thunnus albacares</i> (Yellowfin Tuna), <i>Katsuwonus pelamis</i> (Skipjack Tuna). Wild catch species are not in IUCN red-list	
		c. Determine if any of the species used in fish feed are listed by CITES as follows: - go to http://www.cites.org/eng/resources/species.html - select option "Species" and click "find it"	C. Repeat search of CITES database to verify that client obtained an accurate result.	x			no threats to fauna detected or observed during audit	
5.1.3	Indicator: Timeframe for producers to source feed containing fishmeal or fish oil originating from fisheries deemed sustainable by an ISEAL member's accredited certification scheme Requirement: 5 years following the date of ISRTA publication Applicability: All Farms, Unit of Certification Only	a. Prepare a policy stating the organization's support of efforts to shift feed manufacturers to an ISEAL-accredited certification scheme for fish meal/oil origins.	A. Verify that the client's policy supports sustainable feed sourcing (e.g. programs at http://www.isealliance.org/portrait/full%20member).			x	not applicable at the moment according to direct communication with ASC	
		b. Prepare a letter stating the organization's intent to source feed containing fishmeal or fish oil originating from fisheries deemed sustainable by an ISEAL member's accredited certification scheme by 19 December 2014	B. Obtain a copy of client's letter of intent.			x	not applicable at the moment according to direct communication with ASC	
		c. Affirm support of the process through internal and external communications (e.g. correspondence with feed manufacturers)	C. Confirm client's support with documented evidence (letters, communications).			x	not applicable at the moment according to direct communication with ASC	

5.1.4	<p>Indicator: Prior to achievement of 5.1.3, the average FishSource score characterizing the fishery(ies) from which the fishmeal or fish oil is derived. See Appendix V for explanation of FishSource scoring.</p> <p>Requirement: ≥ 6.0 with no individual score < 6.0 or an N/A in the stock assessment category</p> <p>Applicability: All Farms, Unit of Certification Only</p>	<p>Instructions:</p> <p>- go to http://www.fishsource.org/</p> <p>- select "Species" drop down tab to the left</p> <p>- select the species that is utilized by the farm as a source of fish meal or oil</p> <p>- If the species is not on the FishSource website, and the fish meal or oil is not sourced from by-products (trimmings) of capture fisheries, farms are not in compliance. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment</p> <p>- if the species is assessed, select the top tab that reads "Scores"</p> <p>- If any scores is < 6.0 then the feed does not comply with the Requirement. If the average score is < 6.0 then the feed does not comply with the Requirement.</p> <p>- If an 'N/A' appears in the sock assessment category then the feed does not comply with the Requirement.</p>						
		a. Record FishSource scores for each species from which fishmeal or fish oil is derived.	A. Confirm that client has recorded scores for each species. Repeat FishSource analysis to verify that client obtained an accurate result.	x			Species: Jumbo Flying Squid (<i>Dosidicus gigas</i>), Peruvian Anchoveta (<i>Engraulis ringens</i>), Yellow Fin Tuna (<i>Thunnus albacares</i>), Skipjack Tuna (<i>Katsuwonus pelamis</i>) Capture zone: Southeast Pacific, 87, Southeast Pacific, 87, Pacific Eastern Central 77, Southeast Pacific 87 Scores: (Management strategy precautionary) >6 , >6 , >6	
		b. Confirm that average score is ≥ 6.0 with no individual score < 6.0 .	B. If any scores is < 6.0 then the feed does not comply with the Requirement. If the average score is < 6.0 then the feed does not comply with the Requirement.	x			Individual score values: Management strategy precautionary: >6 , >6 , >6 . Managers follow scientific advice: 10, 10.0, >6 , >6 . Fishers compliance: 10, <6 , >8 . Fish stock healthy: >8 , >6 , 7.9, >8 ; Fish stock healthy in the future: >8 , >6 , 8.7, >6 average score value: Between 6 and 8.7	
		c. Confirm that there is no 'N/A' in a stock assessment category.	C. If an 'N/A' appears in the sock assessment category then the feed does not comply with the Requirement.	x			Is N/A appears in stock assessment? NO	
		d. If the species is not on the website it means that a FishSource assessment is not available. Contact FishSource via Sustainable Fisheries Partnerships to identify the species as a priority for assessment.	D. If the species does not have a FishSource score then the fish feed does not comply with the Requirement.	x			All species assessed by fish source? Yes, Jumbo Flying Squid (<i>Dosidicus gigas</i>), Peruvian Anchoveta (<i>Engraulis ringens</i>), Yellow fin Tuna (<i>Thunnus albacares</i>), Skipjack Tuna (<i>Katsuwonus pelamis</i>).	
		e. In lieu of FishSource scores, a farm undergoing a first audit may substitute a signed letter of intent from their feed manufacturer stating commitment to provide feed complying with FishSource scoring requirements. However at the second audit, all farms shall demonstrate that they have used feed that complies with the FishSource scoring requirements for a minimum of 6 months	E. Verify that client has manufacturer's letter of intent as applicable to first audits. Thereafter, client must demonstrate that all feeds used are in compliance with the Requirement.	x			Commitment letter available? Yes, Letter prepared by Cargill dated March 2015, in which Cargill adheres to Standards of Fishmeal and Fish oil sourcing in accordance to guidelines set forth by Global Gap Aquaculture Standards and BAP Standards for Feed mill production of feeds used for Aquaculture particularly on traceability to species and country of origin, no use of material sourced from endangered species based on IUCN's red list, avoidance of fish sourced from illegal, unreported and unregulated fishing (IUU), preference for manufacturers with evidence of responsible sourcing through 3rd party accredited certification (59% minimum sourcing of MSC or IFFO RS certified fishmeal and fish oil).	
Criteria 5.2 Criteria: Preference for better feed manufacturers		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)		Yes	No	N/A	Finding
5.2.1	<p>Indicator: Timeframe for producers to provide evidence of preferential sourcing of feed products from feed manufacturers that have a sustainable sourcing policy for feed ingredients, and traceability of feed ingredients</p> <p>Requirement: 2 years following the date that the ISRTA are published</p> <p>Applicability: All Farms, Unit of Certification Only</p>	a. Compile a list of all feed suppliers with contact information.	A. Review feed supplier list and cross-check against feed purchases.	x			Suppliers name: Cargill Supplier address: Cargill Honduras Contact information: Brenda Knapp, Ph.D., Technology Application Manager	
		b. Prepare a letter of intent to preferentially source feed from suppliers who have a traceability and sustainability policy by 19 December 2011 (Audit Reference 9; also see Indicator 5.1.3B)	B. Verify that client has prepared the letter (it must cover traceability; see Indicator 5.1.3B).	x			Letter of intent to preferentially source available? Letter prepared by Cargill dated March 2015, in which Cargill adheres to Standards of Fishmeal and Fish oil sourcing in accordance to guidelines set forth by Global Gap Aquaculture Standards and BAP Standards for Feed mill production of feeds used for Aquaculture particularly on traceability to species and country of origin, no use of material sourced from endangered species based on IUCN's red list, avoidance of fish sourced from illegal, unreported and unregulated fishing (IUU), preference for manufacturers with evidence of responsible sourcing through 3rd party accredited certification (59% minimum sourcing of MSC or IFFO RS certified fishmeal and fish oil). Record date: March 2015	
		c. Communicate your organization's policy to each feed supplier.	C. Verify that client communicated policy to feed supplier	x			Have all suppliers recieved the organization's policy? Yes, Letter prepared by Cargill dated March 2015, in which Cargill adheres to Standards of Fishmeal and Fish oil sourcing in accordance to guidelines set forth by Global Gap Aquaculture Standards and BAP Standards for Feed mill production of feeds used for Aquaculture particularly on traceability to species and country of origin, no use of material sourced from endangered species based on IUCN's red list, avoidance of fish sourced from illegal, unreported and unregulated fishing (IUU), preference for manufacturers with evidence of responsible sourcing through 3rd party accredited certification (59% minimum sourcing of MSC or IFFO RS certified fishmeal and fish oil). Record date: March 2015	
		d. Request a traceability policy from each feed supplier (or letter of intent to establish one) before 19 December 2011.	D. Verify client requested documents from each supplier.	x			Records requested documents from each suppliers: yes, Fein Catch Fish meal and oil sources Oct 2014 March 2015, Fein Catch SOY and PALM Statement October 2014 March 2015, Fein Catch Wild Catch Marine FAO Fish score info October 2014 March 2015	
		e. Request sustainability policy from each feed supplier (or letter of intent to establish one) before 19 December 2011	E. Verify client requested documents from each supplier. Auditors shall allow clients one year (until 19 December 2012) to demonstrate full compliance with 5.2.1c-e in accordance with forthcoming ASC guidelines.	x			Sustainability and traceability policies available? yes, Letter prepared by Cargill dated March 2015, in which Cargill adheres to Standards of Fishmeal and Fish oil sourcing in accordance to guidelines set forth by Global Gap Aquaculture Standards and BAP Standards for Feed mill production of feeds used for Aquaculture particularly on traceability to species and country of origin, no use of material sourced from endangered species based on IUCN's red list, avoidance of fish sourced from illegal, unreported and unregulated fishing (IUU), preference for manufacturers with evidence of responsible sourcing through 3rd party accredited certification (59% minimum sourcing of MSC or IFFO RS certified fishmeal and fish oil). Record date: March 2015	
5.3 Criteria: Energy use		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)		Yes	No	N/A	Finding

5.3.1	Indicator: Identification of the energy sources and calculation and verification of total energy used at the culture facility	Instructions to Clients for Indicator 5.3.1 - Calculating Total Energy used by Farm					
	Requirement: Measured in kilojoules/mt fish/year	Calculate the total energy consumption of the farm over the prior 12-month period by completing the Energy Budget Worksheet (Audit Reference 10). Include all sources of energy consumption on the farm site such as aeration, boat engines, electricity for housing, etc. Do not include off-site energy consumption such as transport of personnel to or from the farm, or transport of fish to or from the farm. Report energy consumption in kilojoules (Note: 1 megajoule = 1,000 kilojoules). The different energy units can be converted to kilojoules using the following website: http://tonto.eia.doe.gov/energyexplained/index.cfm?page=about . Report the grand total energy used as kilojoules/mt fish produced/year.					
	Applicability: All Farms, Farm-Wide	a. Complete the Energy Budget Worksheet (Audit Reference 10).	A. Verify that client completed the Energy Budget Worksheet.	x			Energy sources: Document available; excel file "energy consumption template". Energy sources; electrcity and fuels (gasoline and diesel) KJ / MT fish: 5,239 Mega joules/MT fish
PRINCIPLE 6. MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER				Compliance		Finding	
6.1 Criteria: Stocked tilapia recovery		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)		Yes	No	N/A
6.1.1	Indicator: Percent recovery of fish stocked in production stages after they have attained a size of 100 grams Requirement: ≥ 65 Applicability: All Farms, Unit of Certification Only	Instructions to Clients for Indicator 6.1.1 - Calculating Percent Recovery of Production Stages					
		Calculate the annual percent recovery of fish stocked in production stages after they have attained a size of 100 grams. All steps refer to quantities for the entire preceding 12- month period. 1) Stage of production where fish attain an average weight of 100 g (estimated) identified. 2) Estimated loss of fish (#) prior to average size of 100 g being achieved for all production cycles (in ponds, cages, tanks, etc.) for the prior 12-month period. 3) Standing stock of fish (#) after average size of 100 g achieved. 4) The number of fish harvested to market for the 12 month period divided by (#3 above) multiplied by 100 is equal to the percent recovery after 100 g. 5) Average percent recovery for prior 12-month period at grow-out site and verification of calculations from farm records. Note 1: The method presented above is the required formula for calculating annual percent recovery of fish stocked in production stages. It is acknowledged that some farms may have production cycles which make it difficult to accurately collect the information needed to complete this calculation. In such cases, the client may propose to modify the abovementioned formula provided that the client can show such change is justified. Written justification shall be submitted to the CB together with a detailed description of farm production cycles and a complete explanation showing how a modified formula will yield a more accurate calculation of annual percent recovery of fish stocked in production stages. Proposals must be reviewed and approved by the CB before the audit. Note 2: Recovery does not include recruitment of tilapia resulting from reproduction within the culture system.					
		a. Collect 12 months of data on recovery before the first audit.	A. Make sure client has collected 12 months of data on recovery before first audit.	x			Has client collected 12 months of data? Yes, Reference data taken from Excel file "Harvest report 2014"
		b. If the farm proposes to modify the formula for calculating percent recovery, submit written justification to the CB before the first audit.	B. Review justification for using an alternate calculation if applicable.	x			Stage where fish reach 100gr: According to table collected at farm, the excel file indicated Grow-2 phase. Estimated fish loss before 100 gr: Between 33 and 22 % #animals at 100g: 26,758 (# fish stocked) #animals harvested: 19,840 (# fish harvested) Grow out survival average: 74%
		c. Calculate percent recovery according to the instructions above.	C. Review calculations and verify that client's production records support the conclusions.	x			Was the calculation done according the instruction: Calculations at Excel file were performed according to instructions and results are plausible.
		-	D. Verify that percent recovery complies with Requirement.	x			Percent recovery: 74%
Footnote	[8] Recovery does not include recruitment of tilapia resulting from reproduction within the culture system.						
6.2 Chemicals		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)		Yes	No	N/A
6.2.1	Indicator: Allowance for the use of chemicals and therapeutants for disease and pest control that are banned in the importing or producing country Requirement: None Applicability: All Farms, Farm-Wide	a. Prepare a list of all chemicals used on the farm in the previous 12 months. [Note: The TAD considers any substance added by the producer to culture system - aside from water and feed - to be a chemical.]	A. Review list. Cross-check against purchases (6.2.2) and health events (6.2.4).	x			Is the list of all chemicals used on the farm in the previous 12 months?Yes, there was evidence of the Excel file "Chemicals used at Fein Catch" There is the list of the following chemicals crossed check on-site inspection of warehouses; Ethanol, "Dissolve hormone for mixing with feed in sex-reversal stage"; Formalin, "Treatment of ecto-parasite in sex-reversal stage"; 17 α-methyl-testosterone, "Hormonal treatment for sex-reversal stage to ensure >95% male culture"; Clove oil, "Sedative for safer fish handling and transfer in brood stock". The cross check was done correctly?: There was on-site inspection at warehouse on the farm, the list on the reference was verified with volumes and chemical data sheet. The reference list matched the chemicals declared on the reference.
		b. Prepare a list of suppliers of all chemicals or therapeutants used.	B. Review supplier list to identify the country of origin for each chemical.	x			Suppliers name: It was delivered to the auditor, the protocol on the formalin preparation; "Trichodinosis is treated via the use of Formalin which has a concentration of 37.7% of Formaldehyde gas and between 12% to 15% methanol to inhibit paraformaldehyde to form". Clove oil; "the substance apparently does not exert any toxic effect on the fish and humans. The active ingredient found in clove oil is eugenol which is in concentrations of 70-90%". On Fein Catch Limited, they use the method of sex reversal via the use of the hormone (17-α-methyl-testosterone) to obtain a culture of mostly males. In this method a sex reversal of 90% or more (males) is expected, above 97% being the optimum. Supplier address: Contact details on the supplier is available and the protocol and inventory details (total volumes and dosages) Contact information: provider contact details found on purchase orders.
		c. Prepare a list of all the countries where the product has been exported to in the prior 12-month period	C. Review list and cross-check against documentary evidence (e.g. sales documents).	x			Countries:United States of America
		d. Prepare a list of banned substances for the producing and exporting country and the national authority or regulating body in producing country (contact information required).	D. Review evidence and cross-check against published information.	x			Is the list of banned substances available?: The Environmental Protection Agency Approved Chemicals for Aquaculture Use' was available on-site during the inspection. The document dated from January 1, 2004. The cross check was done correctly?: Yes, it was checked the inventory list and on-site inspection of warehousing facilities at farm.

		e. Maintain records of voluntary and/or mandatory chemical residue testing conducted or commissioned by the farm from prior 12-month period.	E. Verify records.	x			Records available?: Inventory list (Excel file available on the farm). Only for Formalin, Sex reversal hormone and Clove Oil (Fish Anesthesia). No antibiotics present during on-site inspection. Records dates: September 2014 - July 2015. Only for formalin, clove oil and sex reversal hormone.
6.2.2	<p>indicator: Allowance for the prophylactic use of antibiotics, prior to any evidence of a disease problem</p> <p>Requirement: None</p> <p>Applicability: All Farms, Farm-Wide</p>	<p>a. Maintain records for all purchases of antibiotics (invoices, prescriptions).</p> <p>b. Maintain a log of all health related events. For each event record the duration and the requirements for use of antibiotics or therapeutants (see also 6.2.4)</p> <p>c. Determine the total amount of antibiotics used in prior 12-month period</p>	<p>A. Review purchase records and calculate total amount procured by client. Inspect storage area to verify quantities on site</p> <p>B. Review log of health events to verify that the quantity of antibiotic applied by the client does not suggest prophylactic use</p> <p>C. Verification that antibiotics used are related to corresponding and current health-related events.</p>		x		<p>Total purchased: verified no use of antibiotics</p> <p>Previous inventory: NA</p> <p>Invoices reviewed:NA</p> <p>Records date:NA</p> <p>Analyzed period stock: NA</p> <p>Stock on site at audit: NA</p> <p>NOTE:</p> <p>Antibiotic use is justified by a pathologic event? verified no use of antibiotics</p> <p>Total consumed: NA</p> <p>Records reviewed: NA</p> <p>dates:NA</p> <p>Example:NA</p> <p>Antibiotic use is justified by a pathologic event? verified no use of antibiotics</p> <p>Records reviewed: NA</p> <p>dates:NA</p> <p>Example:NA</p>
6.2.3	<p>Indicator: Minimum hold time required before any water in which fish have been fed with feed containing methyl or ethyl testosterone can be released</p> <p>Requirement: ≥ 48 hours</p> <p>Applicability: All Farms, Farm-Wide</p>	<p>a. Hatchery facility must have the capacity to retain any water that contains hormones for sex reversal for a period of ≥48 hours .</p>	<p>A. Inspect hatchery to verify effectiveness of the systems to retain any water that contains hormones for sex reversal.</p>	x			<p>Does the Hatchery have the capacity to retain any water containing hormones for a period of ≥48 hours?: There was evidence during on-site inspection about the water recirculation system used on the farm, there is a main drainage canal bordering the farm, after the cycle the water is retained on a reservoir, the water flows back to the system to restart the cycle once more, it is maintained on the reservoir three (3) days after using the water to initiate a new cycle.</p> <p>Put details about the system to retain any water: There is a main drainage canal bordering the farm, after the cycle the water is retained on a reservoir, the water flows back to the system to restart the cycle once more, it is maintained on the reservoir three (3) days after using the water to initiate a new cycle.</p>
6.2.4	<p>Indicator: Health records proving all therapeutants were used or are being used as prescribed by a veterinary or accredited fish health professional</p> <p>Requirement: Yes</p> <p>Applicability: All Farms, Farm-Wide</p>	<p>a. Keep a record of all therapeutants used for prior 12-month period.</p> <p>b. Maintain all prescriptions for therapeutants for prior 12-month period.</p> <p>c. If prescriptions are made by health professionals who are not veterinarians, obtain evidence of competency (e.g. accreditation) in the diagnosis of fish disease and drug therapy.</p>	<p>A. Review record of therapeutant usage.</p> <p>B. Verify that therapeutants were used only under prescription.</p> <p>C. If a non-veterinarian wrote prescriptions, confirm that the individual is qualified as an accredited fish health professional.</p>		x		<p>Record available: verified no use of therapeutants or antibiotics</p> <p>Record date:NA</p> <p>Cross check invoices and prescriptions (6.2.2) with therapeutants record:NA</p> <p>Are all prescription for therapeutants for prior 12 month available?:verified no use of therapeutants or antibiotics</p> <p>Therapeutants used: NA</p> <p>Were therapeutants used only under prescription? NA</p> <p>Documents to prove:NA</p> <p>Is the person accredited to carry out prescriptions?:verified no use of therapeutants or antibiotics</p> <p>Person name: NA</p> <p>Career: NA</p> <p>Put more details: NA</p>
6.2.5	<p>Indicator: Calculation and verification of the total amount of each antibiotic (active ingredient) used per mt fish produced per year.</p> <p>Requirement: Measured in kilograms of active ingredient of individual antibiotic/mt of fish produced/year</p> <p>Applicability: All Farms, Farm-Wide</p>	<p>a. Determine total amount of antibiotic used for prior 12-month period.</p> <p>b. Adjust total weight of antibiotic by the fraction of active ingredient.</p> <p>c. Determine total weight of fish produced for prior 12-month period. Calculate kg active ingredient/mt of fish produced/year.</p>	<p>A. Verify against record of antibiotic use (see 6.2.2C).</p> <p>1.1111E+49</p> <p>C. Verify that calculations are accurate.</p>		x		<p>Antibiotics used: verified no use of antibiotics</p> <p>period: NA</p> <p>Total consumed: NA</p> <p>Antibiotics used and fraction: verified no use of antibiotics</p> <p>Total antibiotic active ingredient used: verified no use of antibiotics</p> <p>Fish harvested:NA</p> <p>Total weight calculated in kg active ingredient/mt of fish produced/year:NA</p>
6.3 Criteria: Mortalities		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
6.3.1	<p>Indicator: Presence of records demonstrating that fish mortalities are removed consistently on a minimum daily basis</p> <p>Requirement: Yes</p> <p>Applicability: All Farms, Unit of Certification Only</p>	<p>a. Ensure that fish mortalities are removed from cultures on a daily basis.</p> <p>b. Maintain records of daily removals of fish mortalities.</p>	<p>A. Do site inspection to confirm there are no dead fish in cultures whose advanced state of decomposition would suggest mortality is > 1 day</p> <p>B. Verify client's records show daily removals of fish mortality for prior 12-month period.</p>	x			<p>Mortality of more than 1 day observed? No mortality for more than one day was observed during on-site inspection, there is a daily check-up of mortalities on the ponds and if there is mortality, it is removed and buried.</p> <p>Records of daily mortality available: Yes, Excel file 'Fish mortality record 2015' period: From January 1st to July 19th, 2015</p>
	Indicator: Evidence proving acceptable disposal of	a. Prepare a farm policy that addresses all requirements of the Standard in regards to the acceptable disposal of dead fish.	A. Review policy to verify it addresses all requirements of 6.3.2 of the Standard.	x			<p>Dead fish disposal procedure: Fish removal from ponds and it bury on a landfill, the landfill is located on the farm boundaries.</p> <p>Way of Mortality disposal: Landfill</p>

6.3.2	dead fish, (i.e., landfill receiving receipts, sales receipts, permits or approvals for onsite burial, and assurance if converted to animal meals not destined for the culture of tilapia)	b. Maintain records of mortality disposals as evidence of compliance.	B. Review disposal records to verify compliance.	x			records checked: Yes, 'Fish Mortality record 2015' records date: From January 1st to July 19th, 2015
	Requirement: Yes Applicability: All Farms, Farm-Wide	-	C. Do site inspection to confirm that farm policy towards mortality is implemented and mortality records are accurate.	x			Disposal location: Pits for fish disposal are located in a designated landfill adjacent to the farm, taken from procedure; PROCEDURE FOR ADEQUATE DISPOSAL OF FISH MORTALITIES Disposal site complies with procedure? Yes, all containers are properly covered during transportation to avoid spillage and contamination of farm premises, taken from procedure; PROCEDURE FOR ADEQUATE DISPOSAL OF FISH MORTALITIES Describe observations: An assigned employee collects daily mortality if there is any, all fish mortalities from the ponds using a dip net and temporarily stores them in a designated container. The dip net is disinfected in a 200 ppm chlorine/water solution prior to its use in each pond.
6.4 Criteria: Fish health management		Compliance Criteria (Required Client Actions)	Auditor Evaluation (Required CB Actions)	Yes	No	N/A	Finding
6.4.1	Indicator: Presence and evidence of implementation of a fish health plan that is site-specific and contains effective methods for 1) Protecting the farm from introduction of pathogens, 2) Preventing the spread of pathogens within the farm and to the receiving waters and 3) Reducing the potential for development of disease resistance by ensuring responsible therapeutant use Requirement: Yes Applicability: All Farms, Farm-Wide	a. Prepare a fish health plan that addresses all requirements of the Standard, including: 1) Protecting the farm from introduction of pathogens, 2) Preventing the spread of pathogens within the farm and to the receiving waters, and 3) Reducing the potential for development of disease resistance by ensuring responsible therapeutant use	A. Review fish health plan to verify it addresses all requirements of Indicator 6.4.1 of the Standard and that the plan is site-specific.	x			Is there a fish health plan in farm? Yes, it was reviewed the word document; 'Fish Health Management Plan 2015' for Fein Catch Ltd. With the following counteract methods: Providing staff training in fish health management and disease recognition, Identify the risks of contracting and spreading disease as a result of site procedures, Risk limitation measures, description of Personnel & Responsibilities. Record date: The title of the available document is; 'Fish Health Management Plan 2015' no specific date of document elaboration is recorded on the whole plan. Record code: No code available on the document only the title 'Fish Health Management Plan 2015.
		b. Obtain review and written approval of the fish health plan by the farm's veterinarian or health professional.	B. Confirm that the farm's veterinarian or health professional has reviewed and approved the fish health plan.	x			Who has reviewed the fish health plan?: On page 4 of the document Fish Health Management Plan 2015; it appears the chapter Personnel & Responsibilities in which it is stated the following staff responsible on the fulfillment of such plan; Farm Owner, Farm Manager, Maintenance Manager Farm Supervisors, General Staff Documents proving his qualifications: Yes, Aquaculture and fish health management certificate from farm manager and Farm Assistant.
		C. Do site inspection to verify that fish health plan is effectively implemented and understood by farm staff.	x			Document proving that fish health plan is effectively implemented and understood by farm staff: Yes, regulatory notice at entrance explaining biosecurity procedures on the farm. Record date: January 2015 Who were the participants: Farm Owner, Farm Manager, Maintenance Manager Farm Supervisors, General Staff (fish pond operators).	
***** This module is not assessed at this surveillance audit *****							
PRINCIPLE 7. BE SOCIALLY RESPONSIBLE				Compliance		Finding	
7.1 Criteria: Child labor		Compliance Criteria		Yes	No	N/A	
7.1.1	Indicator: Number of incidences of child[8] labor[9] Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	A. Minimum age of permanent workers is 15 or older (per national legal minimum age).		x			Minimum local legal age: 16 years labor laws of Belize. Number of workers over minimum and below 18: 3 workers below 18 years.
		B. System exists to monitor hours and conditions of young workers and light work by children.		x			There are records for hours worked by children? Records are kept with the rest of the workers. Records reviewed: 3 workers under 18. (17 and 18) average working hours: 8 hours.
		C. Young workers (from 15 to less than 18): have no conflicts between work and schooling; do not spend more than 10 hours/day on transportation time, school and work; do not perform hazardous work.		x			Children average working hours: 8 hours School time: 0 Transportation time: 1 hour
		D. Equal treatment for children of migrant workers.				x	There are migrant children? There was no evidence of migrant children working. Equal treatment evidenced by: NA.
Footno	[8] 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						
Footno	[9] "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.						
7.2 Criteria: Forced, bonded, compulsory labor		Compliance Criteria		Yes	No	N/A	Finding
7.2.1	Indicator: Number of incidences of forced[10] , bonded[11] or compulsory labor Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	A. Contracts clearly stated and understood by employees, no 'pay to work' schemes through labor contractors or training credit programs.			x		Are contracts clearly stated and understood by employees?: There was evidence of the contract of Marcelino Ack that was not clearly stated the daily rate to be paid, this was the only contract with this situation and is based on giving the worker the opportunity and he is changing places to work in different areas of the company. How many contracts were checked?: 8 All workers are paid? According to workers interviews, all workers are correctly paid.
		B. Employees free to leave workplace and manage their own time.		x			End of working hours: 5pm Workers are free to leave at free time: Workers leave the farm every day to their homes. Verified by: Workers interviews and hours registration.
		C. Employer does not withhold employee's original identity papers.		x			Is there any evidence proving the employer withhold the original ID papers?: There was no evidence of withhold of any original documents of the workers. Verified by: Workers Files.
		D. Employer shall not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer.		x			Are there any evidence proving the employer withhold any salary, benefits etc.?: There was no evidence of unauthorized withhold of payments. Employer discount the products consumed by the workers in the canteen. Verified by: Signed Cheque Payment Voucher and
		E. Employees not to be obligated to stay in job to repay debt.		x			Are there any employees obligated to stay in job to repay debt?: There was no evidence of workers obliged to stay. Verified by: Workers interviews.
Footno	[10] "Forced (compulsory) labor" is defined as all work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. "Penalty" can imply monetary sanctions, physical						
Footno	[11] "Bonded labor" is defined as when a person is forced by the employer or creditor to work to repay a financial debt to the crediting agency.						
7.3 Criteria: Discrimination in the work environment		Compliance Criteria		Yes	No	N/A	Finding

7.3.1	Indicator: Number of incidences of discrimination[12]	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.	x			Are the antidiscrimination policies available in place?: The company has a Formal Declaration Statement Against Discrimination & Harassment. Have all the components? Yes
	Requirement: 0 (zero)	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.	x			How many workers were interviewed?: 7 Worker comments: There was no evidence of discrimination in the company according to the workers interviews.
	Applicability: All Farms, Farm-Wide	C. Company has a policy in place protecting pregnant and lactating mothers.	x			Is the policy available in place?: Yes Date of issue: June 2015
		D. Company has a policy in place against HIV discrimination.	x			Is the policy available in place?: Yes Date of issue: June 2015
Footno [12] "Discrimination" is defined as any distinction, exclusion, or preferences, 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						
7.3.2	Indicator: Evidence of proactive anti-discrimination practice	A. Verification of clear and transparent company procedures are outlined to raise, file, and respond to discrimination complaints.		x		There is discrimination complaints procedure? The company presented a procedure in the Employee Handbook of Policies and Procedures that does not explain who to respond to the complaints and it was not understood by the workers. Formats for record complaints available? There is not a written format for complaints.
	Requirement: Yes	B. All managers and supervisors receive training on diversity and non-discrimination. All personnel receive non-discrimination training. Internal or external training acceptable if proven effective.		x		Training date: 18 June 15 Does all managers and supervisor receive the training?: All the company attended to the training that was held in the canteen but according to the interviews it is proven not to be effective. There were no signatures of the assistants. Number of attendees: 33
	Applicability: All Farms, Farm-Wide	C. Comparison of workforce diversity with demographics of host community updated regularly by management.		x		Was the comparison done? There is not comparison made by management. Date: NA
7.4 Criteria: Health and safety of workers		Compliance Criteria			Yes No N/A	Finding
7.4.1	Indicator: Percentage of workers trained in health and safety practices/ procedures/ policies Requirement: 100 % Applicability: All Farms, Farm-Wide	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.		x		Risk assessment date: There was no evidence of a risk assessment made. All farm activities include? No Documented minimization procedures available? No
		B. Emergency response procedures shall exist and be known by employees.		x		Evacuation routes and/or instruction available? No Meeting point available? No Workers showed awareness at interview? No # workers interviewed: 7
		C. Health and safety training for all employees conducted on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization.		x		What is the Health and safety training frequency for all employees?: When was the last training and who is in charge: Brief description, detailing the training subjects:
		D. Potentially dangerous chemicals are stored properly and as prescribed.		x		Chemical storage room description. The Chemical storage is a room in the processing plant. Lockable: yes Illuminated: yes Ventilated: No Containment devices: No Spillage recovery material: No Refrigeration if needed: NA Chemicals labeled: No (All Kill in a different unlabeled container) Chemicals separated according compatibility and risks of cross contamination: No Examples of chemicals stored: All Kill, Chlorine, Soap.
7.4.2	Indicator: Percentage of health- and safety-related accidents and violations recorded and mitigated through corrective actions	A. Documentation is generated with regards to occupational health and safety violations.	x			Health and safety violations recorded? The employee needs to fill Social Security Board format with assistance of the administration. Record dates: 21 July 2015. Case example: Dengue Juan de Jesus Choc. 14-19 of July permission.
	Requirement: 100 %	B. Corrective action plan 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.		x		Records reviewed: The company does not have a format for working accidents Case example NA Root cause:NA correction:No preventive action: No
	Applicability: All Farms, Farm-Wide	C. Workers involved in departments where accidents have occurred can explain what analysis has been done and what steps taken/improvements made.			x	Actions taken evidenced at interview? No cases reported until now Case commented by workers:

7.4.3	Indicator: Employer responsibility and proof of insurance (accident/ injury) for employee costs in a job-related accident or injury when not covered under national law Requirement: 100 % Applicability: All Farms, Farm-Wide	A. Documentation maintained by management confirms that all personnel are provided sufficient insurance to cover annual check-ups and costs related to occupational accidents or injuries. Equal insurance coverage must include temporary, migrant or foreign workers.	x			Insurance organization (public/private): Insurance Corporation of Belize All workers covered? Yes Verified by: Coverage.
7.5 Criteria: Wages, overtime and working hours		Compliance Criteria	Yes	No	N/A	Finding
7.5.1	Indicator: The percentage of employees who are paid fair and decent wages Requirement: 100 % Applicability: All Farms, Farm-Wide	Applicable to employees, workers and contractors	x			Principle of equal work stated at: Policies and procedures.
		B. Employers ensure wages paid for a standard working week (no more than 48 hours) always meet, at least, legal/industry minimum standards, cover basic needs of personnel and provide some discretionary income	x			Minimum local legal wage: \$3.30/hour= 26.40/day Salary is at or above minimum wage? same Verified by: Workers interviews, payment slips and Labor Law of Belize.
		C. Labor conflict resolution policy in place to track conflicts & complaints raised, and responses to conflicts & complaints.	x			Conflict resolution policy available? The company did present a conflict resolution policy included in the Policies and procedures and it was explained to the workers'. Formats available: No. Verbally raised complaints. Examples: NA.
		D. Ratio of lowest wage rate to basic needs wage always exceeds 100%.	x			Minimum wage (MW): \$26.40/day. \$3.30/Hour Lowest wage (LW): 35/day Ratio calculation: (LW/MW): 100%
		E. Proof of employer engagement with workers and their representative organizations, and use of cost of living assessments from credible sources to assess basic needs wages.	x			Basic wage determined by law? \$26.40/day Credible sources checked: Labor Department of Belize. Meeting records: Minute Meeting date: 16 July 2015
7.5.2	Indicator: Incidences of abuse of working hours and/or overtime laws Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	A. No deductions in pay for disciplinary actions.	x			Verified by: Payment slips and workers interviews.
		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.	x			Place of payment: workers Bank account. Way of payment: Bank account deposits.
		C. Labor-only contracting[13] or false apprenticeship schemes[14] are not accepted, including: revolving/consecutive labor contracts used to deny benefit accrual.	x			Contract duration: Indefinite with 30 days probation time. # of contracts reviewed: 7 shortest term contract:
		D. Clear, transparent mechanism for wage setting known to employees.	x			What is the wage setting mechanism? Setting according to positions and qualifications. Workers show knowledge about the mechanism? Yes # Workers interviewed: 7
		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 of majority of the time) exceed 48 hours. Only if allowed by law, variations (to the 48-hour regular work week) based on seasonality may apply.	x			Local legal workweek: Monday to Friday 8 hours and Saturday 4 hours. Are there cases of exceed the legal workweek? no Justification: n/a
		F. Personnel shall be provided with at least on day off in every seven day period.	x			Workers provided with 1 day off per each 7 day? yes Verified by: Payroll and workers interviews.
		G. All overtime shall be paid at a premium and should not exceed 12 hours per week.	x			Normal overtime premium %: 150% of the hour rates. Approx. \$6.50/hour Rest day overtime premium %: 150% of the hour rates. Approx. \$6.50/hour Holiday overtime premium %: 150%-200% of the hour rates. Approx. \$6.50/hour. For Christmas and God Friday they pay 250% Maximum overtime hours/week in sample: 12 hours.
		H. Overtime work shall always be voluntary.	x			Worker comments: Over time is voluntary. # workers interviewed: 7
Footnote	[13] Labor-only contracting arrangement: The practice of hiring workers without establishing a formal employment relationship for the purpose of avoiding payment of regular wages or the provision of legally required benefits, such as health and safety protections					
Footnote	[14] False Apprenticeship Scheme: The practice of hiring workers under apprenticeship terms without stipulating terms of the apprenticeship or wages under contract. It is a "false" apprenticeship if its purpose is to underpay people, avoid legal obligations,					
7.6 Criteria: Freedom of association and right to collective bargain		Compliance Criteria	Yes	No	N/A	Finding
7.6.1	Indicator: Incidences of employees denied freedom to associate, ability to bargain collectively[15] or denied access to representative(s) chosen by workers Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	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. ILO specifically prohibits "acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations.		x		Did the client mention to all employees about the freedom to associate?: There was no evidence that the employer mentioned to all the workers about their right to associate. records that prove it: No
		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.			x	Trade union at farm: No Local civil society consulted: There was no evidence of any civil society organization that could be interviewed, they are in contact with the Belize Labor Department to have meetings with the workers.
		C. Trade union representatives have access to their members in the workplace at reasonable times on the premises.			x	Trade union interviewed: NA
		D. Explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all.		x		Explicit communication way: The company does not have
		E. If trade unions exist, they are able to access/inform all workers directly (posters, pamphlets, visits).			x	Trade union publications observed: NA
Footnote	[15] "Bargain collectively" is defined as a voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements.					
7.7 Criteria: Disciplinary Actions		Compliance Criteria	Yes	No	N/A	Finding
	Indicator: Incidences of abusive disciplinary actions	A. There is never any use of or support for (e.g. subcontractors using) corporal punishment, mental or physical coercion, or verbal abuse.	x			Evidence of abuse? There were no comments by interviewed workers to receive abuse. # workers interviewed: 7

7.7.1	Requirement: 0 (zero)	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).	x			Evidence of wage deduction as disciplinary actions? No Verified by: Workers interviews and pay slips.
7.7.2	Indicator: Evidence of non-abusive disciplinary policies and procedures Requirement: Yes Applicability: All Farms, Farm-Wide	A. 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).	x			Disciplinary measures procedure available? Description given to the workers in the minutes of the meeting of the 16 July 2015 about the Policies and procedures manual in section 4.5. Describe the levels of disciplinary actions: Complete description of the forbidden behaviors and the progressive corrective measures.
7.8 Criteria: Action response plans/policies		Compliance Criteria	Yes	No	N/A	Finding
7.8.1	Indicator: Evidence of implementation of a corrective action plan (updated annually) that addresses unintended problems associated with labor relations and internal monitoring of labor activities Requirement: Yes	A. Verification of a labor relations action plan for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that these plans have been implemented.		x		Is there a labor action plan for 12 month period? There was no evidence of a Labor relation action plan developed and implemented 3 months previous to this audit. How many people were interviewed? 7
		B. Workers are aware of the action plans and their results.		x		Are workers aware of the action plans and their results? No # workers interviewed:7
7.8.2	Indicator: Evidence of implementation of an emergency action plan and annual (or more frequent) internal monitoring activities Requirement: Yes	A. Verification of emergency (examples include earthquakes, fires, storms, etc.) action plan for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that these plans have been implemented.		x		Is there an emergency action plan? There was no evidence of a emergency action plan implemented. Who is in charge of the emergency action plan? NA How many people were interviewed? 7
		B. Worker competency in the appropriate actions required during an emergency response.		x		Ask to the worker, what does he/she must to do in an emergency ? There was no evidence of signs that shows what to do in an emergency and the employees don't know what they must do. How many people were interviewed? 7
7.8.3	Indicator: Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from employees are responded to within three months after being received Requirement: Yes Applicability: All Farms, Farm-Wide	A. Verification of an employee conflict resolution policy for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that this plan has been implemented.	x			Is there a community conflict resolution policy?: There is an available Conflict Resolution Procedure that has been explained to the workers. They communicate directly with their supervisor. It does not guarantee confidentiality. Has been the plan implemented?: Workers give their complaints directly to the supervisor and to Roberto Chan (Technical Manager) How many testimonials did you do? 7
		B. Three month time-frame from employee conflict filing and response upheld.		x		Time taken for response: There is no records for this compliance.
		C. Records of complaint cases, related actions and resolution maintained as well as worker evaluation of the resolution.		x		Is there a record complaint? No evidence of a complaint resolution policy implemented. How many complaint cases exists? 1
		D. Worker actions and testimony confirms they understand this process and are comfortable raising complaints.		x		How many testimonials did you do? 7. Workers are aware of the procedure but they feel uncomfortable with raising complaints in a non confidential way.
7.9 Criteria: Living conditions for employees		Compliance Criteria	Yes	No	N/A	Finding
7.9.1	Indicator: Evidence that living conditions are clean, sanitary and safe for habitation Requirement: Yes Applicability: All Farms, Farm-Wide	A. Verification that potable/safe drinking water available.	x			Is there potable/safe drinking water available? During working hours, there was no evidence of workers living in the farm. How many people were interviewed? 7
		B. Verification that sanitary conditions for disposal of human waste are in practice.		x		Are sanitary conditions for disposal of human wastes in practice? NA How many people were interviewed? 7
		C. Verification that human waste is not discharged into the environment.		x		Is human waste discharged into the environment? NA How many people were interviewed? 7
		D. Worker housing is constructed of material to sustain local conditions in the event of storms or other natural events that could endanger lives.		x		Are worker houses constructed of material to sustain local conditions? NA What kind of material are used? NA How many people were interviewed? 7
7.10 Criteria: Community relations and interaction		Compliance Criteria	Yes	No	N/A	Finding
7.10.1	Indicator: Evidence that farms are not inhibiting or restricting local community access to public land, freshwater resources or public fishing grounds Requirement: Yes Applicability: All Farms, Farm-Wide	A. Testimonials from surrounding community members that farms have not blocked access to public property or public natural resources.	x			Are farms blocking access to public property or public natural resources?: There was no evidence of blocking access to public property according to the interview with community leader. How many testimonials did you do? 1 Raquel Vega (Community leader).
7.10.2	Indicator: Evidence of implementation of a verifiable conflict resolution policy for conflicts and complaints tracked transparently, and proof that conflicts and complaints from communities are responded to within three months after being received Requirement: Yes Applicability: All Farms, Farm-Wide	A. Verification of community conflict resolution policy and actions for prior 12-month period (first audit requires previous 3-month period) and community testimonials that this plan has been implemented and there is a shared understanding of procedures for filing complaints.		x		Is there a community conflict resolution policy?: No, and was confirmed by the company Administrator Mark Leslie. Has been the plan implemented?: No How many testimonials did you do?1
		B. Three month time-frame from community member conflict filing and response evidenced by community testimonials.	x			What was the evidence? Summer camp support for children. How many testimonials did you do? 5
		C. Verification that farm management communicates with the community on the impact of its activities.	x			Does the far management communicate with the community? Yes. Regular communication by email with community leaders. Meeting record number: 2 formal meeting with minutes Date of meeting record: 03 July 2015.
		D. If environmental impact assessment has been performed, it is made easily accessible to community members.		x		Has been performed the environmental impact assessment ? EIA has been performed but it was not shared with community leaders. Is it made easily accessible to community members? No
		E. If a socio-economic impact assessment has been performed, it is made easily accessible to community members.		x		Has been performed the socio-economic impact assessment ? No social impac assessment performed Is it made easily accessible to community members? N/A
		F. Economic impacts of the farm activities reported – at least annually – to the community.		x		Have reported economic impacts of the farm ? No impacts assessed How many economic impacts were reported? NA

ASC Non-Conformity and Re-assessment form

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	1

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

Found non-conformity * Mention failing and audit finding and evidence	Are contracts clearly stated and understood by employees? There was evidence of the contract of Marcelino Ack that was not clearly stated the daily rate to be paid, this was the only contract with this situation and is based on giving the worker the opportunity and he is changing places to work in different areas of the company. How many contracts were checked? 8 All workers are paid? According to workers interviews, all workers are correctly paid.
Section number of checklist/ Reference to standard	7.2.1 A. Contracts clearly stated and understood by employees, no 'pay to work' schemes through labor contractors or training credit programs.
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	Marcelino had no payscale specified on his contract, all other line items were completed. This was to secure a position for him as he was juggling between two payscales, farm and plant.
Correction Actions take to solve the punctual failing observed during audit.	Decide where he is more valuable and apply payscale
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	New contract issued.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Copy of contract attached.

Re-assessment (To be filled by Certifier)

Re-assessment done by:	Document review	<input checked="" type="checkbox"/>	Site visit	<input type="checkbox"/>	Interview	<input type="checkbox"/>	Other:	<input type="checkbox"/>
Result(s) of re-assessment of the non-conformity:	New contract com`lies with the standard							
Status of non-conformity:	<input type="checkbox"/>	Open						
	<input checked="" type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	2

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

Found non-conformity * Mention failing and audit finding and evidence	<p>x</p> <p>There is discrimination complaints procedure? The company presented a procedure in the Employee Handbook of Policies and Procedures that does not explain who to respond to the complaints and the workers did not understand it.</p> <p>Formats for record complaints available? There is not a written format for complaints.</p> <p>Training date: 18 June 15</p> <p>Does all managers and supervisor receive the training?: All the company attended to the training that was held in the canteen but according to the interviews it is proven not to be effective. There were no signatures of the assistants.</p> <p>Number of attendants: 33</p>
Section number of checklist/ Reference to standard	<p>7.3.2 A. Verification of clear and transparent company procedures are outlined to raise, file, and respond to discrimination complaints.</p> <p>B. All managers and supervisors receive training on diversity and non-discrimination. All personnel receive non-discrimination training. Internal or external training acceptable if proven effective.</p> <p>C. Comparison of workforce diversity with demographics of host community updated regularly by management.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	Doing frequent information sessions but workforce is new to terminology "discrimination" complaints.
Correction Actions taken to solve the punctual failing observed during audit.	Frequent (monthly) informative sessions conducted and public displays
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Public displays are posted in English and Spanish and new employees are given training.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Pictures of public displays. Pictures of complaint box. Copy of minutes and attendance list.

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:	Evidence is enough to show complaint procedure improvements							
Status of non-conformity:	<input type="checkbox"/>	Open						
	<input checked="" type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	3

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

Found non-conformity * Mention failing and audit finding and evidence	<p>Risk assessment date: There was no evidence of a risk assessment made. All farm activities include? No Documented minimization procedures available? No</p> <p>Evacuation routes and/or instruction available? No Meeting point available? No Workers showed awareness at interview? No # Workers interviewed: 7</p> <p>Records reviewed: The company does not have a format for working accidents</p>
Section number of checklist/ Reference to standard	<p>7.4.1 A. Minimization of hazards/risks in the working environment, including documented systemic procedures and policies to prevent workplace hazards and their risks, shall exist and the information shall be available to employees.</p> <p>B. Emergency response procedures shall exist and be known by employees.</p> <p>C. Health and safety training for all employees conducted on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	Belize Social Security Board representatives visited the farm to conduct training, however only did Employee Benefits and Insurance and did not continue with Health and safety.
Correction Actions take to solve the punctual failing observed during audit.	<p>Commission Belize Social Security Board to do risk assessment and training of employees at the farm.</p> <p>Emergency response procedures to be discussed</p>
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Social Security risk assessment and training of staff by SSB.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Documented Emergency procedures signed by employees

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

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	4

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

Found non-conformity * Mention failing and audit finding and evidence	Records reviewed: The company does not have a record for working accidents Case example NA Root cause: NA Correction: No Preventive action: No
Section number of checklist/ Reference to standard	7.4.2 B. Corrective action plan 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.
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	There have been no accidents at the farm since acquisition in March of 2014. No incidents to report.
Correction Actions take to solve the punctual failing observed during audit.	There is a document in office to record any incident or accident that may occur.
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Forms in place.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Copy of black form.

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:	Formats are accepted							
Status of non-conformity:		Open						
	x	Closed						
		Outstanding: fill in a new non-conformity form.						

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	5

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

Found non-conformity * Mention failing and audit finding and evidence	<p>Did the client mention to all employees about the freedom to associate? There was no evidence that the employer mentioned to all the workers about their right to associate. Records that prove it: No</p> <p>Explicit communication way: The company does not have.</p>
Section number of checklist/ Reference to standard	<p>7.6.1 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. ILO specifically prohibits "acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control or employers or employers' organizations.</p> <p>D. Explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	Fein Catch Limited invited the Labor Department of Belize to conduct a presentation to the Employees, this presentation also highlighted freedom of association and the labor union act of Belize. Unfortunately, presentation was only done in English and some employees understand Spanish better.
Correction Actions take to solve the punctual failing observed during audit.	Redo presentation internally in both Spanish and English and make farm policy available in public areas.
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Presentation done and signage posted.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Pictures of signage and minutes of meeting with attendance record.

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:	Meetin minute and attendance record accepted							
Status of non-conformity:		Open						

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

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	6

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

Found non-conformity * Mention failing and audit finding and evidence	<p>Is there a labor action plan for 12 month period? There was no evidence of a Labor relation action plan developed and implemented 3 months previous to this audit.</p> <p>How many people were interviewed? 7</p> <p>Are workers aware of the action plans and their results? No</p> <p># workers interviewed:7</p>
Section number of checklist/ Reference to standard	<p>7.8.1 A. Verification of a labor relations action plan for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that these plans have been implemented.</p> <p>B. Workers are aware of the action plans and their results.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	There have been no incident or issues / circumstance between the employer and the employees since inception of business in March of 2014.
Correction Actions take to solve the punctual failing observed during audit.	There is documented, in the Policies and Procedures Manual, an action plan that may be implemented if a case arises.
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	All policies and procedures were discussed with employees.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Copy of minutes of meeting and employee attendance record. Extract of labor action plan.

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:	Minutes and procedures are adequate as an action plan							
Status of non-conformity:		Open						
	x	Closed						
		Outstanding: fill in a new non-conformity form.						

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	7

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

Found non-conformity * Mention failing and audit finding and evidence	<p>Is there an emergency action plan? There was no evidence of a emergency action plan implemented. Who is in charge of the emergency action plan? NA How many people were interviewed? 7</p> <p>Ask to the worker, what does he/she must to do in an emergency ? There was no evidence of signs that shows what to do in an emergency and the employees don't know what they must do. How many people were interviewed? 7</p>
Section number of checklist/ Reference to standard	<p>7.8.2 A. Verification of emergency (examples include earthquakes, fires, storms, etc.) action plan for prior 12-month period (first audit requires previous 3-month period) and employer testimonial that these plans have been implemented.</p> <p>B. Worker competency in the appropriate actions required during an emergency response.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	Belize is susceptible to hurricanes and the proximity of the farm to the river can result in flooding. Fuel is kept on farm and can be hazardous.
Correction Actions take to solve the punctual failing observed during audit.	Farm has emergency action plans for potential hazards, this was reviewed with employees.
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Discussion of policies and procedures done and Emergency meeting area named.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Copy of minutes and attendance register and photograph of signage of meeting area. Copy of disaster plans.

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

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	8

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

Found non-conformity * Mention failing and audit finding and evidence	<p>Time taken for response: There are no records for this compliance.</p> <p>Is there a record complaint? No evidence of a complaint resolution policy implemented.</p> <p>How many complaint cases exist? 1</p> <p>How many testimonials did you do? 7. Workers are aware of the procedure but they feel uncomfortable with raising complaints in a non-confidential way.</p>
Section number of checklist/ Reference to standard	<p>7.8.3 B. Three months time frame from employee conflict filing and response upheld.</p> <p>C. Records of complaint cases, related actions and resolution maintained as well as worker evaluation of the resolution.</p> <p>D. Worker actions and testimony confirms they understand this process and are comfortable raising complaints.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	There is a conflict resolution policy but not a mechanism to register complaints confidentially.
Correction Actions take to solve the punctual failing observed during audit.	A suggestion box will be placed in Processing Plant Boot room for complaints of suggestions to be lodged. Complaints will be reviewed by GM and CEO weekly.
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Meeting held with all supervisors advising them that staff members must be addressed respectfully. Announcement of location of suggestion box made.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Minutes of meeting and photograph of suggestion box.

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:	Actions accepted as complaint procedure							
Status of non-conformity:	<input type="checkbox"/>	Open						
	<input checked="" type="checkbox"/>	Closed						
	<input type="checkbox"/>	Outstanding: fill in a new non-conformity form.						

Client number and name	CU 839887
Production unit	Feincatch
Number of non-conformity	9

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

Found non-conformity * Mention failing and audit finding and evidence	<p>Is there a community conflict resolution policy?: No, and was confirmed by the company Administrator Mark Leslie. Has been the plan implemented?: No How many testimonials did you do? 1</p> <p>Has been performed the environmental impact assessment ? EIA has been performed but it was not shared with community leaders. Is it made easily accessible to community members? No</p>
Section number of checklist/ Reference to standard	<p>7.10.2 A. Verification of community conflict resolution policy and actions for prior 12-month period (first audit requires previous 3-month period) and community testimonials that this plan has been implemented and there is a shared understanding of procedures for filing complaints.</p> <p>D. If environmental impact assessment has been performed, it is made easily accessible to community members.</p>
Deadline for corrective actions	12 months

ACTION PLAN (To be filled by client)

Root Cause Are the events that caused the failing? How, who, when, where	Environmental Impact Assessment and conflict resolution policy are in place. Met with village council leaders more than four times but no issues arose. EIA is a public documents.
Correction Actions take to solve the punctual failing observed during audit.	Copy of EIA and conflict resolution policy given to community centers.
Corrective action Actions taken to prevent that the causes that conducted to the failing happen again	Continue monthly meetings with community leaders.
Evidence Records, procedures, photos sent that show the corrections and corrective actions implementation	Signature of receipt of documents and copy of documents.

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:	x	Open						

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

A COPY OF EACH FORM STAYS WITH THE CLIENT!