

ASC Audit Report

Tilapia __x__ Pangasius __

Initial ____ Surveillance __x__ Recertification ____

FOR COMMENTS OF THIS REPORT PLEASE CONTACT: ecalderon@controlunion.com; pkuriyama@controlunion.com

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Certificate code	
Date of issue of certificate	10-12-12
Date and length of audit	20,21 November 2013
Name of auditor(s)	Efraín Calderon, Principles 1 to 6
Inspected unit (s)	Produmar S.A. tilapia farm.
Number and % of members evaluated (in case of group certification)	N/A
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1. METHODOLOGY

Control Union Peru (CUP), a member of the Control Union World Group is an international inspection and certification body and is accredited by ASI on behalf of the Aquaculture Stewardship Council (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, Version 1.0, Annex C.

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

Produmar is an aquaculture operation working with tilapia since 1997 and was a shrimp farm. Is located at Km 8 via Duran Tambo, Durán, Guayas province, Ecuador. The species of tilapia cultured are hybrids of *Oreochromis sp.* The farm grow shrimp next to the tilapia in a polyculture system.

Produmar es una finca de producción acuicola que trabaja con tilapia desde 1997 y era una finca camaronesa. Esta localizada en el Km 8 via Durán Tambo, Durán, Provincia del Guayas. Las especies de tilapia cultivadas son híbridos de Oreochromis sp. La finca cria camarones junto con las tilapias en un sistema de policultivo.

The production cycle has 4 stages, breeding ponds, reversion tanks, pre-grow out and grow out.

El ciclo de producción tiene 4 etapas, piscinas de reproducción, tanques de reversion, preengorde y engorde.

The principal markets of final products is the United States.

El principal mercado de los productos finales es Estados Unidos.

Produmar operates with a water recirculation system, that means that the discharges from the ponds are collected in a common channel, go through sedimentation ponds and then is re pumped again to the main inlet channel. This system allows Produmar to stabilize the culture conditions and minimize the abstraction and discharges to the receiving water body.

Produmar opera con un sistema de recirculación de agua, lo que significa que las descargas de los estanques se recogen en un canal común, van a través de unos estanques de sedimentación y luego se vuelve a bombear de nuevo al canal de entrada principal. Este sistema permite a Produmar estabilizar las condiciones de cultivo y reducir al mínimo la abstracción y las descargas al cuerpo de agua receptor.

Next to Produmar there is small population called La Union, its habitants access to the town through Produmar farm or by boat, almost 50 workers in the farm come from La Unión.

Al lado hay Produmar pequeña población llamada La Unión, sus habitantes el entran a la población a través de Produmar granja o en barco, casi 50 trabajadores de la finca proceden de La Unión.

The change from last audit is that Produmar turned a 60% of their production area to white leg shrimp mono-culture and 40% remains with tilapia. The ponds are stocked with shrimp or tilapia according to a production schedule maintaining the 60-40 relation.

El cambio desde la ultima auditoria es que Produmar cambio el 60% de su area de producción al monocultivo de camarón y el 40% se mantiene con tilapia. Los estanques son sembrados con camaron o tilapia de acuerdo a un program de produccion manteniendo la relacion 60-40.

2.2 Summary

The scope of this audit is: Tilapia, single site.

The applicable standards are: ASC Tilapia standard v 1.0, ASC tilapia audit guide 1.0 and the ASC certification and accreditation requirements v 1.0.

The result of this audit was full compliance of the ASC tilapia standards.

El alcance de esta auditoria es: Tilapia, sitio individual

Los estándares aplicables son: Estandard de tilapia ASC v 1.0, Guia de auditoria ASC tilapia 1.0 y Requerimientos de certificación y acreditación ASC v 1.0

El resultado de esta auditoria fue complete cumplimiento de los estandares ASC tilapia

2.3 Decision

Produmar S.A. is recommended to maintain its current certification cycle and valid certificate.

Se recomienda que Produmar S.A. mantenga su actual ciclo de certificación y certificado vigente

2.4 Audit background

Author(s): Efrain Calderon

Audit dates: Produmar farm, 20,21 November 2013

Report finished at: March 15th 2014

Report reviewed at: April 21th 2014

Date of the certification decision: 10-12-12

Persons involved in the audit:

Eduardo Reyes: Production manager / Gerente producción

Hamilton Suarez: Hatchery manager / gerente hatchery

Karina Ponce: Genetic manager / Gerente Genética

Lenín Sanchez: Human Resources Manager / Gerente Recursos Humanos

Jacinto Torres: La Union commune president / Presidente de Comuna La Unión

Activities

- Feeding / Alimentación
- Water sampling of receiving water body at RWRP, RWFA, RWFO / Muestreo de cuerpo de agua receptor en RWRP, RWFA, RWFO.
- Death fish disposal / Eliminación de mortalidades.
- Predator scaring / Ahuyentamiento de predadores
- Escapes testing device operation / operacion de dispositivo de prueba de escapes

Stakeholder participation: This audit was not announced to public and no comments received from stake holders from last audit / Esta auditoria no fue anunciada al public y no se recibieron comentarios de partes interesadas desde última auditoria.

Previous Audits (if applicable):

Last audit was done at 29,30,31 august 2012 and was the initial audit. 4 minor non-conformities were detected and the corrective actions implementation was verified in this surveillance audit. All 4 non-conformities were closed.

Ultima auditoria fue realizada el 29,30,31 de agosto del 2012 y fue la auditoria inicial. 4 no conformidades menores fueron detectadas y la implementacion de de acciones correctivas fue verificada en esta auditoria de vigilancia. Las 4 no conformidades fueron cerradas.

Standard	Grading / Categoría	Detail / Detalle	NC Status	Actions taken
5.1.3	Minor Menor	Commitment letters to comply with this standard and communication to providers not available. / Cartas de compromiso de cumplir con este standard y comunicación a los proveedores no disponibles.	closed	Commitment letter obtained from feed suppliers. / Carta de compromiso obtenida de proveedores de alimento
5.1.4	Minor Menor	Commitment letters to comply with this standard and communication to providers not available. / Cartas de compromiso de cumplir con este standard y comunicación a los proveedores no disponibles.	closed	Commitment letter obtained from feed suppliers. / Carta de compromiso obtenida de proveedores de alimento
7.8.3	Minor Menor	Complaints records were reviewed and solutions for conflicts of salary mistakes were taken, however there is a complaint made by the workers about food taste that is not solved yet and have more than 3 months. / Registros de quejas fueron revisados, y soluciones para resolver quejas de errors en el salario fueron tomadas, sin embargo hay una queja acerca del sabor de la comida que no ha sido resuelta aun y	closed	Improvements from food provider were requested and any other complaints recorded. Follow up communications were reviewed.

		tiene más de 3 meses.		
7.10.2	Minor Menor	The company has not communicated to the community the impacts of their activities. / La compañía no ha comunicado a la comunidad los impactos de sus actividades.	closed	

Other activities:

Desk reviews and other activities undertaken before or after any site visits.

2.5 Scope**ASC standard version:****Species:**

Scope of audit: *Units and locations included in the audit with geographical coordinates*

Production Unit name	Production Unit number	Address and geographical positions	Receiving water
Produmar S.A. Single site	PRD 021587	Km 8 via Durán Tambo S 02°14.309' W 079°49.707' S 02°14.555' W 079° 46.531' S 02°15.728' W 079°46,398' S 02° 15.5475' W 079°49.563'	Río Guayas

Receiving water:

The receiving water is the Guayas River, this is an estuary system influenced by tides and salinity from the sea. The sediment load in the river is high with secchi disk lectures from 3 to 10 cm.

El agua receptor es el río Guayas, este es un sistema de estuario influenciado por las mareas y la salinidad del mar. La carga de sedimentos en el río está alto, con lecturas de disco Secchi de 3 a 10 cm.

The selections of the RWRP, RWFO and RWFA is simple: upstream, farm discharge and downstream. As mentioned the farm operates with a recirculation system where discharges are minimal and get bigger in rainy season

La selection of the RWRP, RWFO and RWFA es simple: aguas arriba, descarga de la finca y aguas abajo. Como se mencionó la finca opera un sistema de recirculación donde las descargas son mínimas y se hacen más grandes en la época lluviosa.

2.6 Description of the start of the Chain of Custody.

The tilapia products from Produmar S.A. are eligible to carry the ASC ecolabel and to enter into further certified chains of custody.

Los productos de tilapia de Produmar S.A. son elegibles de llevar la ecoetiqueta ASC y de entrar en siguientes cadenas de custodia certificadas.

Considerations for the decision / Consideraciones para la decisión:

- Tracking, tracing and segregation systems within the aquaculture operation / Sistemas de rastreo, trazabilidad y segregación dentro de la explotación acuícola:
Only certied product will be produced at Produmar and no inputs of non certified products from external sources at farm level, the dispatch documents show Produmar as origin.
Solo productos certificados serán producidos en Produmar y no se tienen ingresos de productos no certificados de Fuentes externas a nivel de finca, los documentos de despacho muestran a Produmar como origen.
- Use of transshipment / Uso de trasbordo
Transshipment not practiced, fish is loaded into oxygenated tanks and doors sealed until the arrival to processing plant.
No se practica trasbordo, los peces son cargados en tanques oxigenados y las puertas selladas hasta su arribo a la planta de proceso.
- Eligible operators and point(s) of landing / Operadores elegibles y puntos de desembarque:
The transportation is made by owned or subcontracted trucks that transport the tilapia alive in tanks with numbered seals to a only processing plant (Tropack S.A.)
El transporte se realiza mediante camiones propios o subcontractados que llevan la tilapia viva en tanques con sellos numerados a una unica planta de proceso (Tropack S.A.)
- Opportunity of substitution of certified with non-certified product within the unit of certification./ Oportunidad de substitución de product certificado con product no certificado dentro de la unidad de certificación
There is not opportunity of substitution, only certified products will be produced by the legal entity and there are no more tilapia producers in the surroundings.
No existe oportunidad de substitución , la entidad legal solo producira productos certificados y no existen productores de tilapia en las cercanias.

- *Point from which Chain of Custody certification is required./ Punto donde se requiere certificación de cadena de custodia.*
The MSC chain of Custody certification for ASC products is required at the point of download at processing plant after harvest and transportation. **La certificación MSC cadena de custodia para productos ASC es requerida en el punto de entrega en la planta de proceso después de la cosecha y transporte.**

2.7 Evaluation results

See audit checklist 814385-ASC-2013-01-EC checklist.

Ver lista de verificación de auditoría 814385-ASC-2013-01-EC checklist

2.7 Findings.

PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS PRINCIPIO 1: OBEDECER LA LEY Y CUMPLIR CON TODAS LAS REGULACIONES NACIONALES Y LOCALES

All regulations related to aquaculture operations are complied as: National Fisheries Institute registration, Ministry Agreements, Environmental Management plan, water discharges sampling and property titles. The company is up to date with taxes obligations and property obligations. The internal labor and health and safety regulations are registered and approved by the competent authorities. For this surveillance audit all records and permissions are up to date.

Todas las regulaciones relacionadas con las operaciones de acuicultura se cumplen como: Registro Instituto Nacional de Pesca, Acuerdos Ministeriales, estudio de impacto ambiental y plan de gestión ambiental, muestreo de agua y las descargas de títulos de propiedad. La empresa se encuentra al corriente de las obligaciones y deberes impuestos a la propiedad. El interior de trabajo y la salud y seguridad regulatons están registrados y aprobados por las autoridades competentes. Para esta auditoría de vigilancia todos los registros y permisos están actualizados

PRINCIPLE 2: MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY PRINCIPIO 2: MANEJAR LA FINCA PARA CONSERVAR EL HABITAT NATURAL Y BIODIVERSIDAD LOCAL

Pre audit information was sent and reviewed before the audit and a government publication establish the presence of tilapia in water bodies of the farm area since 1993. The Diurnal Difference of Dissolved Oxygen, DDDO have an average of 3.18% for the last 12 months and the audit value was 6% that complies with the standard.

Información preauditoria fue enviada y revisada antes de la auditoría y una publicación gubernamental establece la presencia de tilapia en la zona desde 1993. La diferencia diurna de oxígeno disuelto, DDDO, tiene un promedio de 3,18 % para los últimos 12 meses y el valor de auditoría fue 6% que cumple con el standard.

The receiving water body is a oligotrophic estuarine system with a secchi disk lectures from 2 to 14 cm and at the audit was 2 cm.

El cuerpo de agua receptor es un sistema estuarino oligotrófico con un lecturas de disco secchi entre 2 y 14 cm y en la auditoría fue de 2 cm.

No evidence of wetlands conversion before or after 1999.

No se evidencio conversión de humedales antes o después de 1999.

PRINCIPLE 3: CONSERVE WATER RESOURCES PRINCIPIO 3: CONSERVAR RECURSOS ACUATICOS.

All information for calculations about phosphorus and nitrogen from feed and fertilizers was available as feed producer declarations, invoices and consumption records. The phosphorus levels were under maximum values of the standard.

Toda la información para los calculos acerca del fósforo y nitrógeno de alimentos y fertilizantes estaba disponible tales como declaraciones de fabricante de balanceados, facturas y registros de consumo. Los niveles de fósforo están por debajo de los máximos del standard.

PRINCIPLE 4: CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS PRINCIPIO 4: CONSERVAR LA DIVERSIDAD DE LAS ESPECIES Y LAS POBLACIONES SILVESTRES

The farm takes the necessary measures to avoid escapes of cultured fish to the receiving water bodies as proper maintained screens at pond outlets, transportation that don't allow scapes and sampling of the efficiency of the outlet retention divices. The males percentage of fish above 200 g was 100%. No evidence of use of GMOs or lethal predator control.

La finca toma las medidas necesarias para evitar escape de los peces cultivados a las aguas receptoras tales como filtros de malla bien mantenidos en las descargas de los estanques, transporte que no permite escape de peces y muestreo de la eficiencia de las mallas en las descargas de los estanques. El porcentaje de machos por encima de 200g fue de 100%. No evidencia de uso de GMOs o control de depredadores letales.

Principle 5: USE RESOURCES RESPONSIBLY**Principio 5: USE LOS RECURSOS RESPONSABLEMENTE**

Produmar's feed provider is GISIS S.A an ABA by declaration letters explains that the protein is from vegetal sources
El proveedor de alimento balanceado de Produmar, GISIS S.A y ABA. mediante cartas de declaración explica que proteína es de fuentes vegetales

PRINCIPLE 6: MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER**PRINCIPIO 6: MANEJO DE LA SALUD Y BIENESTAR D ELOS PECES DE UNA MANERA RESPONSIBLE CON EL MEDIO AMBIENTE.**

Produmar only give medicines treatments at hatchery stage, was evidenced the use of only allowed substances (in origin and destiny countries) under the guide of a Veterinarian Health Plan managed by qualified technicians and validated by a veterinarian. All treatments were related to a recorded pathology event

Produmar solo usa tratamientos con medicinas en la etapa de hatchery y alevinaje, se evidencio el uso de sustancias permitidas (en paises de origen y destino) bajo la guía de un Plan Veterinario de Salud manejado por técnicos calificados y validado por un veterinario. Todos los tratamientos estuvieron relacionados con un evento patológico registrado.

The retention period for water in contact with male reversion hormones comply with the standard with the use of a water recirculation system.

El periodo de retención del agua en contacto con hormonas masculinas de reversion cumple con el estandard con el uso de un sistema de recirculación de agua.

The mortalities collection and disposal don't present risks of spread of pathogens internally or to natural water bodies.

La recolección y desecho de mortalidades no presenta riesgos de propagación de patógenos internamente o hacia los cuerpos de agua natural.

PRINCIPLE 7: BE SOCIALLY RESPONSIBLE**PRINCIPIO 7: SEA SOCIALMENTE RESPONSABLE**

This module was not assessed.

Este modulo no fue evaluado

2.8 Non-conformity report(s)

No non-conformities were detected / No se detectaron no conformidades

2.9 Confidential annexes

No confidential annexes to this report

No hay anexos confidenciales.

Name and signature of authorized representative:

Position:

Date:

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

ASC audit checklist
 ASCASS-TIL.F01(02)

Report number: 814335-ASC-2013-01-EC

1.1 Client contact data

CUC number: **814339**
 Company name: **PRODUMAR S.A.**
 Contact person: **EDUARDO REYES**
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 Postal code:
 City: **DURAN**
 Country: **ECUADOR**
 Telephone number: **+593 4 6010054**
 e-mail: **ereyes@produmar.com**

1.2 Audit information

Date of last external audit : **31-08-12**
 Audit date : **20, 21-11-13**
 Full name of the lead auditor: **Efrain Calderon**
 Audit team: Environmental Auditor: Efrain Calderon
 Social Auditor: Kenlly Mora (not present at audit, only review of minor NCs settling from previous audit)
 Type audit : Announced / Unannounced Initial / Surveillance / Recertification

1.3 Scope of ASC

Scope: Standard Version: ASC Tilapia v1.0 Specie: Oreochromis niloticus

Production units

	Company name	Address and GPS coordinates	Receiving water body	City	Country	Products
F-01	PRODUMAR S.A.	Km 8 Vía Duran-Tambo, Durán Ecuador S 02°14.309' W 079°49.707' S 02° 14.555' W 079° 46.531' S 02°15.728' W 079°46,398' S 02° 15.5475' W 079°49.563'	Guayas River Rio Guayas	Duran	Ecuador	Tilapia

Changes since last audit

Company has changed to a 60% of production area to white leg shrimp culture (L vannamei), ponds are rotated between the tilapia and shrimp
La empresa ha cambiado a un 60% de su area de produccion al cultivo de camarón blanco (L. vannamei), estanques son rotados entre tilapia y camarón.

1.4 Other information	
Brand name of the company:	Products are sold to Tropical Aquaculture Products
Mention other existing certification schemes of licensee:	BAP
Lead Auditor : Efrain Calderon	Company representative : Eduardo Reyes
signature	signature

2. ASSESMENT OF ASC TILAPIA STANDARDS

Scope: Species of the Family Cichlidae commonly referred as Tilapia (*Oreochromis niloticus*, *O. mossambica*, *O. aureus* and *O. hybrids*)

Indicator		Compliance	COMMENTS
PRINCIPLE 1: OBEY THE LAW AND COMPLY WITH ALL NATIONAL AND LOCAL REGULATIONS			
1.1	<i>Evidence of legal compliance</i>	YES-NO-n/a	Replace the compliance criteria with the audit findings and comments
1.1.1	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	yes	a. Compliance with local laws regarding land and water Cumplimiento con leyes locales de suelo y aguas b. Ministry agreements 003-2013 and no. 028 and land titles available Acuerdos ministeriales 003-2013 y no. 28 y títulos de propiedad disponibles c. Operation permits no. 12610, 16-08-13, environmental license 1674 and 1770, property titles available Permiso de funcionamiento No. 12610, 16-08-13, Licencias ambientales: 1674, 1770, Títulos de propiedad disponibles d. Intersection certificate, 27-11-2009, describe that Produmar not intersects with protected areas e. Certificado de intersección 27-11-2009, describe que Produmar no intersecciona con áreas protegidas.
1.1.2	Presence of documents proving compliance with all tax laws Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Payment of land tax 31-01-13, Tax compliance certificate issued by SRI by website at 21-11-13 Pago de impuesto predial 31-01-13. Certificación de cumplimiento tributario emitido por SRI por medio de pagina web el 21-11-13. b. Knowledge verified with HHRR and management systems responsible Conocimiento verificado con RRHH y responsables de sistemas de gestion. c. RUC 0990576459001, INP register GR 522. d. RUC 0990576459001, registro INP GR 522.
1.1.3	Presence of documents proving compliance with all labor laws and regulations Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Internal Labor Regulation approved by approved by regional labor direction 14-12-2009, Internal Regulation of workers Health and Safety updated at 19-03-13 Reglamento Interno de Trabajo aprobado por direccion regional del trabajo 14-12-2009, Reglamento Interno de Seguridad y Salud Laboral actualizado al 19-03-13 b. Labor Relation Ministry inspection for disabled workers insertion at 17-04-13, file# 0178mcacdagp-mrl-2013, the result was in compliance with 10 disabled workers. Inspeccion del Ministerio de Relaciones laborales para insercion de trabajadores

			dicapacitados el 17-04-13 archivo 0178mcacdagp-mrl-2013, el resultado fue en cumplimiento habiendo 10 trabajadores discapacitados
1.1.4	Presence of documents proving compliance with regulations or permits concerning water quality impacts. Requirement: Yes Applicability: All Farms, Farm-Wide	Yes	a.Environmental license includes the assessment of management plan regarding effluents impacts Licencia ambiental incluye la evaluación del plan de manejo ambiental con respect a impactos de los efluentes b.Effluents analysis 6-06-13, values comply with TULAS Book VI annex 1 Analisis de efluentes 6-06-13, valores cumplen con valores de TULAS Libro VI anexo 1
2	MANAGE THE FARM SITE TO CONSERVE NATURAL HABITAT AND LOCAL BIODIVERSITY		
2.1	<i>Site information</i>		
2.1.1	Site location, history and stewardship activities matrix located in Appendix 1, Table 1 is completed and validated Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Information complete and sent at November 7 2013 Information complete y enviada en noviembre 7 del 2013
2.2	<i>Presence of natural or established tilapia species</i>		
2.2.1	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	yes	a. Publication: Development and Environmental problems in the Guayaquil Gulf Area, January 1996, establish the presence of tilapia in 1993. Author, Environmental Consulting Commission of the presidency of Ecuador. Interview with zone fisherman in La Union town declares that from 1997 sees tilapia in the rivers and estuaries of the zone. Publicación: Desarrollo y Problemática Ambiental del Area del Golfo de Guayaquil, enero de 1996, establece la presencia de tilapias en 1993. Autor Comision Asesora Ambiental de la Presidencia de la Republica del Ecuador. Entrevistas con pescador de pueblo cercano La Union que declara que desde 1997 ve presencia de tilapia en los rios y esteros de la zona

^[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)

^[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 (settling ponds, oxidation lagoons, compost pits, etc).

^[3] Where there are no-discharge systems, or no discharge from farm into receiving waters, standards 2.2.1 and 2.2.2 are not applicable.

2.2.2	In Africa, demonstration that the tilapia species and strain cultured is established and naturally reproducing in the receiving waters of the operation on or before 1 January 2008 Requirement: Yes Applicability: Farms located in Africa only (see 2.2.1), Farm-Wide	n/A	a. Farm in Ecuador
2.3	<i>The effects of eutrophication</i>		
2.3.1	The percent change in diurnal dissolved oxygen of receiving waters relative to dissolved oxygen at saturation for the water's specific salinity and temperature Requirement: ≤ 65% Applicability: All Farms, Farm-Wide	yes	a. DDDO submitted with pre-audit info from November 2012 to October 2013 DDDO enviados con la información pre auditoria desde noviembre 2012 a octubre 2013 b. Equipment was calibrated before starting lectures Equipo fue calibrado antes de empezar las mediciones c. Oxygenmeter used allows to do the calibration of salinity and height Oxigenometro usado permite calibración de salinidad y altura d. Monthly DDDO from November to October available. DDDO mensual de noviembre a octubre disponible e. Mean DDDO is 3,18%. DDDO promedio es 3,18%. f. DDDO range of data from 0% to 6%. Audit values were: Sunset saturation: 81,4% Sunrise saturation: 75,5% Audit DDDO is 6% Rango de datos DDDO desde 0% a 6%. Los valores de auditoria fueron:

			Saturación atardecer: 81% Saturación amanecer: 75,5% DDDO Auditoria 6%
2.4	<i>Water quality in oligotrophic receiving waters</i>		
2.4.1	Secchi disk visibility ^[4] limit above which production is not certifiable Requirement: 10 meters Applicability: All Farms, Farm-Wide	yes	a. Annual range is from 2 to 14 cm Promedio anual es de 2 a 14 cm b. Audit value 2 cm Valor de auditoria 2 cm c. Audit value was inside data range Valor de auditoria esta dentro del rango de datos
2.4.2	Compliance with standards 2.4.3. & 2.4.4. when Secchi disk visibility ^[4] ≤ 5.0 meters Requirement: Yes Applicability: All Farms, Farm-Wide	n/A	a. Annual mean and audit value was under 5 m, standards 2.4.3 and 2.4.4 are not applicable Promedio anual y valor de auditoria estuvo por debajo de los 5 m, estandares 2.4.3 y 2.4.4 y no son aplicables.
2.4.3	Total phosphorus concentration limit in receiving waters ^[4] Requirement: ≤ 20 µg/L Applicability: All Farms, Farm-Wide	N/a	a. N/A secchi disk is under 5 m N/A disco secchi es menor a 5m

2.4.4	Chlorophyll a concentration limit in receiving waters ^[4] Requirement: ≤ 4.0 µg/L Applicability: All Farms, Farm-Wide	n/A	a. N/A secchi disk is under 5 m N/A disco secchi es menor a 5m
^[4] Measurements shall be taken at the Receiving Water Farm Afar (RWFA) sampling station. See Appendix II for RWFA definition.			
2.5	Receiving water monitoring		
2.5.1	Receiving water quality monitoring matrix completed and validated (Appendix II) Requirement: Yes (6 months data, pre-audit, required) Applicability: All Farms, Farm-Wide		a. Data set of 12 months received with preaudit info Set de datos de 12 meses recibido con información pre-auditoria b. Required parameters and monthly frequency complied Se cumplen parámetros requeridos y frecuencia mensual c. Equipment was calibrated Equipo fue calibrado d. Water samples were taken and sent to Grupo Químico Marcos e Inspectorate, for all parameters required by standard, samples taken at sunset DO lectures Muestras de agua tomadas y enviadas a Grupo Químico Marcos, para todos los parámetros requeridos por el standard, muestras tomadas al atardecer en toma de OD. e. All values were inside the data set from November 2012 to October 2013 Todos los valores dentro del rango de valores del juego de datos desde noviembre 2012 a octubre 2013,
2.6	Wetland conservation		
2.6.1	Hectares of allowable wetland ^[5] conversion since 1999 ^[6] Requirement: 0 ha Applicability: All Farms, Farm-Wide	yes	a. No evidence of wetland conversion, closest wetland is Santay Island in Guayas river, RAMSAR wetland No evidencia de conversion de humedales, humedal mas cercano Isla Santay en el Río Guayas, humedal Ramsar b. No evidence of wetland conversion after 1999. c. No evidencia de conversion de humedales despues de 1999.

^[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)

^[6] The year Ramsar contracting parties adopted strategic framework for the development of the Ramsar List

3	CONSERVE WATER RESOURCES		
3.1	Nutrient utilization efficiency		
3.1.1	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	Yes	a. Invoices for all type of feed available, random verification of invoices related to consumption of a determined period, information is coherent. Las facturas para todo tipo de alimento balanceado disponibles, verificación aleatoria de facturas relacionadas al a consumo de un determinado periodo, información coherente. b. No purchases of fish. No compras de peces c. Invoices and transport documents to processing plant available. Facturas y documentos de transporte a planta de proceso disponibles d. Letter with declaration of phosphorus contents of each feed by Gisis and ABA Carta con declaración de contenidos de fósforo para cada alimento de Gisis y ABA e. Correct calculation of nitrogen contents Calculos de cantidades de fósforo correctos f. Phosphorus given to the system: 16,64 kg / MT Fosforo dado al sistema: 16,64 Kg / TM

3.1.2	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: All farms, Unit of Certification Only	Yes	a. Invoices for all type of feed available, random verification of invoices related to consumption of a determined period, information is coherent. Las facturas para todo tipo de alimento balanceado disponibles, verificación aleatoria de facturas relacionadas ala consume de un determinado period, información coherente. b. No purchases of fish. No compras de peces c. Invoices and transport documents to processing plant available. Facturas y documentos de transporte a planta de proceso disponibles d. Letter with declaration of phosphorus contents of each feed by Gisis and ABA Carta con declaración de contenidos de fósforo para cada alimento de Gisis y ABA e. Correct calculation of phosphorus contents Calculos de cantidades de fosforo correctos f. Phosphorus released: 9,14 kg / MT Fosforo liberado: 9,14 Kg / TM g. Farm have a recirculation system with discharges only in rainy season Finca tiene un sistema de recirculacion con descargas solo en epoca lluviosa.
3.1.3	Calculation and verification of the total amount of nitrogen applied to the culture system. Use equations from Appendix III. Requirement: Measured in kg nitrogen/mt fish/year Applicability: All Farms, Unit of Certification Only	Yes	a. Invoices for all type of feed available and fertilizers, random verification of invoices related to consumption of a determined period, information is coherent. Las facturas para todo tipo de alimento balanceado y fertilizantes disponibles, verificación aleatoria de facturas relacionadas ala consume de un determinado period, información coherente. b. No purchases of fish. No compras de peces c. Invoices and transport documents to processing plant available. Facturas y documentos de transporte a planta de proceso disponibles d. Letter with declaration of nitrogen contents of each feed by Gisis and ABA and technical sheets of fertilizer Carta con declaración de contenidos de nitrogeno para cada alimento de Gisis y ABA y fichas tecnicas de fertilizantes e. Correct calculation of nitrogen contents Calculos de cantidades de nitrogeno correctos f. Nitrogen given to the system: 69,39 kg / MT Nitrógeno dado al sistema: 69,39Kg / TM

3.1.4	Calculation and verification of the total amount of nitrogen released from the farming activity. Use equations from Appendix III. Requirement: Measured in kg nitrogen/mt fish/year Applicability: All Farms, Unit of Certification Only	Yes	a. Invoices for all type of feed available, random verification of invoices related to consumption of a determined period, information is coherent. Las facturas para todo tipo de alimento balanceado disponibles, verificación aleatoria de facturas relacionadas al consumo de un determinado periodo, información coherente. b. No purchases of fish. No compras de peces c. Invoices and transport documents to processing plant available. Facturas y documentos de transporte a planta de proceso disponibles g. Letter with declaration of nitrogen contents of each feed by Gisis and ABA and technical sheets of fertilizer Carta con declaración de contenidos de nitrógeno para cada alimento de Gisis y ABA y fichas técnicas de fertilizantes d. Correct calculation of nitrogen contents Calculos de cantidades de nitrógeno correctos e. Nitrogen released: 48,19 kg / MT Nitrógeno liberado: 48,19Kg / TM
3.2	Groundwater salinization		
3.2.1	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 $\mu\text{S}/\text{cm}$. Requirement: $\leq 10\%$ Applicability: Only farms where brackish water is used for tilapia culture, Farm-Wide	N/A	<i>Only applicable if brackish water is used for the culture of tilapia (if surface water used is less than 1,300 $\mu\text{S}/\text{cm}$ or if initial well water measure is greater than 1,300 $\mu\text{S}/\text{cm}$ – standard is not applicable and no non-conformance issued)</i> a. Water body is over 1300 uS/cm, estuary system, salinity variation is seasonal. No use of wells for production Cuerpo de agua esta sobre los 1300 uS/cm, sistema de estuario, la variación de salinidad es estacional. No se usan pozos en la producción.
4	CONSERVE SPECIES DIVERSITY AND WILD POPULATIONS		
4.1	Escapes from aquaculture facilities		

4.1.1	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 Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Outlets with mesh screens in all stages and appropriate for fish size observed at site, according to procedure PRO-PRO 09 b. Descargas con filtros de malla in todos las etapas y apropiadas para el tamaño de los peces observadas en el sitio, de acuerdo al procedimiento PRO-PRO 09
4.1.2	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	yes	a. Screens observed in good maintainace and clean Filtros observados en buen mantenimiento y limpios b. Reparation and inspection records reviewed from august 2012. Registros de reparación e inspección revisados desde agosto 2012 disponibles.
4.1.3	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 Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Monthly assessment setting mesh bags in recirculation systems outlets, not scapes detected until now. Sampling system observed in operation during audit Evaluacion mensual de escapes colocando bolsos de malla en compuertas de sistema de recirculación, no se han detectado escapes de tilapia. Sistema de muestreo observado en operación durante la auditoria. b. Records available reviewed from august 2012 Registros revisados desde agosto 2012
4.1.4	In cage culture systems, the minimum distance between the bottom of the cage and the bottom of the receiving waters where the cage is placed Requirement: ≥ 3.0 m Applicability: Cage systems only, Farm-Wide	n/a	CAGE SYSTEMS ONLY a. Pond System. Sistema de estanques

4.1.5	The minimum percentage of males or sterile fish in a culture unit Requirement: 95 % Applicability: Land-based systems only, Farm-Wide	yes	a. Pond G4 55 fish sampled, 0 females. Estanque G4, 55 peces muestreados, 0 hembras b. Pond G5, 65 fish sampled, 0 females. Estanque G5, 65 peces muestreados, 0 hembras c. Pond B1 62, 62 fish sampled, 0 females Estanque B1, 62 peces muestreados, 0 hembras d. 182 fish = 100% males 182 fish =100% machos
4.2	<i>Transporting live tilapia</i>		
4.2.1	Presence and evidence of use of fish transport containers that have no escape path for fish Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Tanks and containers have lids that are sealed for harvest and closed transference. Los tanques tienen puertas que se sellan para la cosecha y se cierran para la transferencia. b. Escape ways in transportation not observed Vías de escape en la transportación no observadas.
4.3	<i>Transgenic fish</i>		
4.3.1	Allowance for the culture of transgenic tilapia Requirement: No (None allowed) Applicability: All Farms, Farm-Wide	yes	a. Invoices of first broodstock providers. Commercial GMOs are not available in Ecuador. Facturas de proveedores de primeros reproductores.. GMO comerciales no están disponibles en Ecuador b. No suspects of GMO tilapia c. No sospechas de tilapia GMO
4.4	<i>Predator control</i>		
4.4.1	Use of lethal ^[7] predator control Requirement: No (None allowed)	yes	a. Predator control by scaring birds with a delta wings plane, no evidence of use of lethal methods, delta plane observed in operation during audit b. Control de predadores por ahuyentamiento con un avion alas delta, no evidencia de uso

	Applicability: All Farms, Farm-Wide		de metodos letales. Alas delta observado en operación durante la auditoria
^[7] <i>The use of lethal predator control is prohibited, unless a predator becomes impinged in netting and is required to be euthanized.</i>			
4.4.2	Mortality of IUCN Red Listed species Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	yes	a. Use of net birds with appropriate size to prevent entanglement, no evidence of birds trapped in nets. Uso de mallas antipajaros con tamaño apropiado pra evitar atrapamiento. No se evidencio aves atrapadas en las mallas. b. No presence of red list species in the farm location only Calidris pusilla as NEAR THREATENED, the size of antibird nets is not a risk for this small specie. c. No presencia de especies en lista roja en la finca solo Calidirs pusill como NEAR THREATENED, el tamaño de la malla antipajaro no es un riesgo para esta especie pequeña.
5	USE RESOURCES RESPONSIBLY		
5.1	<i>Use of wild fish for feed (fishmeal and oil)</i>		
5.1.1	Feed Fish Equivalence Ratio (FFER). See Appendix IV for feed calculations. Requirement: ≤ 0.8 Applicability: All Farms, Unit of Certification Only	Yes	a. FFER is 0, because by declaration of providers fishmeal or fish oil is not used in feed, only vegetable sources of protein are used. FFER es 0, por declaracion de los proveedores no se usa harina de pescado ni aceite en el alimento balanceado, solo Fuentes vegetales de proteinas son usadas.

5.1.2	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	yes	a. By declaration of providers fishmeal or fish oil is not used in feed, only vegetable sources of protein are used. b. Por declaracion de los proveedores no se usa harina de pescado ni aceite en el alimento balanceado, solo Fuentes vegetales de proteinas son usadas.
5.1.3	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	yes	a. Commitment letters to comply with this standard and communication to providers sent 31-08-12 and resend at 14-11-13. b. Cartas de compromiso de cumplir con este standard y comunicación a los proveedores enviadas el 31-08-12 y reenviadas el 14-11-13

5.1.4	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. Requirement: ≥ 6.0 with no individual score < 6.0 or an N/A in the stock assessment category Applicability: All Farms, Unit of Certification Only	n/A	a. By declaration of providers fishmeal or fish oil is not used in feed, only vegetable sources of protein are used. Por declaracion de los proveedores no se usa harina de pescado ni aceite en el alimento balanceado, solo Fuentes vegetales de proteinas son usadas.
5.2	<i>Preference for better feed manufacturers</i>		
5.2.1	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 Requirement: 2 years following the date that the ISRTA are published Applicability: All Farms, Unit of Certification Only	yes	a. Feed Providers are ABA (Empagran) and Gisis (Expalsa) Proveedores de alimentos son ABA (Empagran) y Gisis (Expalsa) b. Quality control system policies including traceability and sustainability, available. c. Disponibles politicas del sistema de control de calidad que incluyen trazabilidad y sostenibilidad
5.3	<i>Energy use</i>		

5.3.1	Identification of the energy sources and calculation and verification of total energy used at the culture facility Requirement: Measured in kilojoules/mt fish/year Applicability: All Farms, Farm-Wide	yes	a. Energy sources: Diesel, Gasoline, Electricity. Fuentes de energía: Diesel, Gasolina, Electricidad b. Conversion calculations verified and correct. The farm have a % of area used only for shrimp culture and the energy used for this specie was excluded Calculos de conversion verificados y correctos. La finca tiene un % del area usada solo para cultivo de camarón y la energya usada para esta especie fue excluida. c. Energy used: 17.018.066 kJ/MT Energía utilizada: 17.018.066 kJ/TM
6	MANAGE FISH HEALTH AND WELFARE IN AN ENVIRONMENTALLY RESPONSIBLE MANNER		
6.1	<i>Stocked tilapia recovery</i>		
6.1.1	Percent recovery^[8] of fish stocked in production stages after they have attained a size of 100 grams Requirement: ≥ 65 Applicability: All Farms, Unit of Certification Only	yes	a. Stage were 100 g are reached: pre-grow out, harvest size of this stage is 110 g Estadio donde los peces alcanzan 100 gr: preengorde, peso de cosecha de esta etapa 110 g b. The average stocking size in grow out is 110 g, the daily mortality from 100g to 110g is extrapolated for a period of 7 days, se assume que la mortalidad en estas tallas esta relacionada al tiempo de cultivo. El peso promedio de siembra en engorde es 110 g, Se extrapola la mortalidad diaria del ciclo de engorde a 7 dias en el ciclo de precria en el periodo de crecimiento de 100 a 110 g. Se asume que la mortalidad en estas tallas esta relacionada al tiempo de cultivo. c. The result of 12 month grow out recovery is 67,67%. El resultado de la recuperación de 12 meses en engorde es 67,67% d. Alternative calculation accepted and verified. e. Cálculo alternativo aceptado y verificado
^[8] Recovery does not include recruitment of tilapia resulting from reproduction within the culture system.			
6.2	<i>Chemicals</i>		

6.2.1	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	yes	a. Contact list from chemical suppliers available Lista de contactos de proveedores de químicos disponibles b. Chemicals used, Oxitetracycline, Hydrogen peroxide, organic acids, probiotics, formaline Químicos usados, Oxitetraciclina, peroxide de hidrógeno, ácidos orgánicos, probióticos, c. United States, Canada and EU Estados Unidos Canada y Comunidad Europea d. Lists of banned substances included in procedure PRO-LAB 002 , ESP LAB 01 Lista de sustancias prohibidas incluidas en procedimiento PRO LAB 002, ESP LAB 01 e. Mandatory INP testing result 5313, 7077, 6069 results showed no presence of banned substances or antibiotic residues Resultados mandatorios del INP 5313, 7077, 6069 resultados muestran no presencia de sustancias prohibidas o residuos de antibióticos
6.2.2	Allowance for the prophylactic use of antibiotics, prior to any evidence of a disease problem Requirement: None Applicability: All Farms, Farm-Wide	yes	a. Total amount of antibiotic purchased from November 2012 to October 2013 available from invoices and storage inventory El total de antibióticos comprados de noviembre 2012 a October 2013 disponibles desde facturas e inventario de bodega. b. Each treatment is recorded as an output from hatchery storage, this outputs were crosschecked with the diagnosis Cada tratamiento es registrado como un egreso de la bodega del hatchery, estos egresos fueron cruzados con los diagnósticos c. Each use is related to a diagnosed pathology, cross check of output records and diagnoses by date. 13-3-13, 12-06-13, 11-09-13 Cada uso esta relacionado a una patología diagnosticada, se cruzaron los egresos con los diagnósticos por fechas. 13-3-13, 12-06-13, 11-09-13 d. The total amount between antibiotics used and purchases are coherent for the last 12 months. e. El total de antibióticos comprados y usados son coherentes entre si para los ultimos 12 meses.
6.2.3	Minimum hold time required before any water in which fish have been fed with feed containing methyl or ethyl testosterone can be released Requirement: ≥ 48 hours Applicability: All Farms, Farm-Wide	yes	a. All farm have recirculation system with minimal to none discharges to receiving waters, the hatchery where the reversion hormone is used has its independent recirculation system that if needed discharges to the main recirculation system, the time of flow from the location of hatchery to the potential discharge zone there are more than 48 hours of retention. b. Toda la finca se maneja con un sistema de recirculación con mínimas o no descargas al cuerpo de agua, el hatchery donde se usa la hormona de reversion tiene su sistema de recirculación independiente que si necesita las descargas se dirigen al sistema de recirculación principal, el tiempo de flujo desde la ubicación del hatchery al potencial punto de descarga existen mas de 48 horas de retención

6.2.4	Health records proving all therapeutants were used or are being used as prescribed by a veterinary or accredited fish health professional Requirement: Yes Applicability: All Farms, Farm-Wide	yes	a. Antibiotics and treatments are used only at hatchery, by review of administration records all are related to a diagnosed pathology that is authorized by hatchery manager. Antibioticos y tratamientos son usados solo en el hatchery, por revision de los registros de administración todos están relacionados con un diagnostic patológico que es autorizado por el gerente del hatchery. b. Hatchery manager is Hamilton Suarez, biologist degree that include fish pathology. All treatments are based in a documented veterinary health plan. Gerente del hatchery es el biólogo Hamilton Suarez, su educación incluye patología de peces. Todos los tratamientos están basados en un plan veterinario de salud.
6.2.5	Calculation and verification of the total amount of each antibiotic (active ingredient) used per mt fish produced per year. Requirement: Measured in kilograms of active ingredient of individual antibiotic/mt of fish produced/year Applicability: All Farms, Farm-Wide	Yes	a. Calculations verified and correct according to purchases and administration records. Calculos verificados y correctos de acuerdo con las compras y registros de administración b. The antibiotic used is oxitetracycline, 0,02035 Kg / MT c. El antibiotico usado es oxitetraciclina, 0,02035 kg /TM
6.3	Mortalities		
6.3.1	Presence of records demonstrating that fish mortalities are removed consistently on a minimum daily basis Requirement: Yes Applicability: All Farms, Unit of Certification Only	yes	a. Mortality daily records available for the last 12 months, quantities are recorded by pond and by date. Registros de mortalidad diaria disponibles para los últimos 12 meses, cantidades registradas por estanque y por fecha. b. No evidence of rotten fish at ponds over 1 day. c. No se evidencio peces en descomposición en los estanques, de mas de un dia.
6.3.2	Evidence proving acceptable disposal of 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) Requirement: Yes	yes	a. Fish Mortality disposal is detailed in procedure PRO PRO 01 and considered in the EIA at the elimination of organic wastes Procedimiento para la eliminación de mortalidades de peces es explicado en PRO PRO 01 y considerado en en EIA en la eliminacion de desechos organicos b. The disposal methods is in a burial that is treated with lime with each load and covered until is filled and another hole is done. The site selected is inside the farm and not ner to ponds or open waters. The site was inspected and no evidence of leaking or contamination. c. El metodo de disposición es mediante entierro que es tratado con cal para cada carga y cuvierto hasta que se llene y se excave otro hoyo. El sitio seleccionado esta en la finca y

	Applicability: All Farms, Farm-Wide		no esta cerca de estanques o cuerpos de agua. El sitio fue inspeccionado y no se encontro evidencia de lixivación o contaminación
6.4	Fish health management		
6.4.1	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	yes	a. Veterinary Health plan is reviewed and approved by Veterinary Boris Ortiz, decision taking based in veterinary health plan by Hamilton Suerz, biologist. Veterinario Boris Ortiz, Toma de decision basadas en plan veterinario por Hamilton Suarez, Biologo b. Veterinary plan PRO HAT 08, 06-08-13 Plan Veterinario PRO-Hat 08, 06-08-13 c. Administration records show that treatments follow the veterinary health plan detailed in PRO HAT 04 d. Registros de administración muestran que los tratamientos siguen el plan veterinario de salud. Detallados en PRO HAT 04

Social requirements of this Standard shall be audited by an individual who is a lead auditor in conformity with SAAS Procedure 200 section 3.1. (See ASC Farm Certification and Accreditation Requirements)			
7	BE SOCIALLY RESPONSIBLE		
7.1	Child labor		
7.1.1	Number of incidences of child ^[9] labor ^[10] Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
^[9] A "child" is defined as any person less than 15 years of age. A higher age would apply if the minimum age law stipulates a higher age for work or mandatory schooling. If, however, the local minimum age law is set at 14, in accordance with developing country exceptions under ILO Convention 138, the lower age will apply.			
^[10] "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	Forced, bonded, compulsory labor		
7.2.1	Number of incidences of forced ^[11] , bonded ^[12] or compulsory labor Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.

^[11] “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 punishment, or the loss of rights and privileges or restriction of movement (e.g., withholding of identity documents).			
^[12] “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	Discrimination in the work environment		
7.3.1	Number of incidences of discrimination^[13] Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn’t include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
^[13] “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 performance-based pay increase or bonus is not by itself discriminatory. Positive discrimination in favor of people from certain underrepresented groups may be legal in some countries.			
7.3.2	Evidence of proactive anti-discrimination practice Requirement: Yes Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn’t include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.

7.4	Health and safety of workers		
7.4.1	Percentage of workers trained in health and safety practices/ procedures/ policies Requirement: 100 % Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.4.2	Percentage of health- and safety-related accidents and violations recorded and mitigated through corrective actions. Requirement: 100 % Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.4.3	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	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.5	Wages, overtime and working hours		

7.5.1	The percentage of employees who are paid fair and decent wages. Requirement: 100 % Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.5.2	Incidences of abuse of working hours and/or overtime laws Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
^[14] 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			
^[15] 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, or employ children			
7.6	Freedom of association and right to collective bargaining		

7.6.1	Incidences of employees denied freedom to associate,^[16] ability to bargain collectively^[16] or denied access to representative(s) chosen by workers Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
^[16] "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	<i>Disciplinary Actions</i>		
7.7.1	Incidences of abusive disciplinary actions Requirement: 0 (zero) Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.7.2	Evidence of non-abusive disciplinary policies and procedures Requirement: Yes Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.8	<i>Action response plans/policies</i>		
7.8.1	Evidence of implementation of a corrective action plan (updated annually) that addresses unintended problems associated with labor relations and internal	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.

	monitoring of labor activities. Requirement: Yes Applicability: All Farms, Farm-Wide		
7.8.2	Evidence of implementation of an emergency action plan and annual (or more frequent) internal monitoring activities Requirement: Yes Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.8.3	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	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.9	<i>Living conditions for employees</i>		
7.9.1	Evidence that living conditions are clean, sanitary and safe for habitation Requirement: Yes Applicability: All Farms, Farm-Wide	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.10	<i>Community relations and interaction</i>		

7.10.1	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	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.
7.10.2	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	Not assessed	a. This surveillance audit doesn't include the assessment of the social module. Only corrective actions from last audit non conformities was verified. Esta auditoria de vigilancia no incluye la evaluación del modulo social. Solo acciones correctivas de las no conformidades de la última auditoria fueron verificadas.

ASC audit checklist ASCASS-TIL.F01(02)		
Reportnumber:	814335-ASC-2013-01-EC	
3. Summary and Conclusion		
3.1 List of non-conformities		
ASC Tilapia standard Item	Description (major NC or Minor NC and findings)	
No NCs		
3.2 Mention all other units, which have been visited including storage rooms		
Hatchery, storage rooms, main office, production ponds, death fish burial, receiving water body, farm perimeter		
3.3 Mention products and samples if it has been taken during the inspection		
Water samples from RWRP, RWOF, RWFA		
3.4 Comments		
Audit done under the schedule planned, all information available and logistics arrangement allowed the normal course of assessment		
3.5 Attachments to this report		
Evidence of implementation of corrective actions for close of previous audit NCs		
3.7 Summary and conclusion		
Does the farm comply with ASC Tilapia standard?		
YES NO		
4. Approval of the assessment report by Client		
Date: 21-11-13	Date: 21-11-13	
Auditor : Efrain Calderon	Company representative : Eduardo Reyes	
signature	signature	

5. Review of the assessment report by the certifier

Date: 16-01-14

Certifier : Pilar Kuriyama

signature