

AQUACULTURE STEWARDSHIP COUNCIL

ASC Shrimp Standard

REPORTING TEMPLATE

v 2.0



**Aquaculture
Stewardship
Council**

Scheme documents:

ASC Shrimp Standard, Version 1.0 March 2014

ASC Certification and Accreditation Requirements, Version 2.0

CONTROL UNION PERU S.A.C.



CONTROLUNION

Form 3 - Public Disclosure Form/ Fomu ya 3 - Fomu ya Taarifa za Biashara

This form shall be submitted by the CAB no less than thirty (30) calendar days prior to any onsite audit . Any changes to this information shall be submitted to the ASC within five (5) days of the change and not later than 10 days before the planned audit. If later, a new announcement is submitted and another 30 days rule will apply. /Fomu hii itawasilishwa na CAB sio chini ya siku thelathini (30) kabla ya ukaguzi wowote *. Mabadiliko yoyote ya taarifa hii yatapelekwa kwa ASC ndani ya siku tano (5) baada ya mabadiliko na si zaidi ya siku 10 kabla ya ukaguzi uliopangwa. Kama itakuwa baadaye, tangazo jipya litatolewa na sheria ya siku nyingine 30 itatumika.

The information on this form shall be public and should be posted on the ASC website within three (3) days of submission. / Maelezo kwenye fomu hii yatakuwa ya umma * na yanapaswa kuchapishwa kwenye tovuti ya ASC ndani ya siku tatu (3) baada ya kuwasilishwa.

This form shall be written to be readable to the stakeholders and other interested parties. / Fomu hii itaandikwa ili isomwe na wadau na watu wengine wanaohusika

This form should be translated into local languages when appropriate / Fomu hii inapaswa kutafsiriwa katika lugha za sehemu husika pale inapofaa

PDF 1 Public Disclosure Form/ Fomu ya Taarifa za Biashara

PDF 1.1 Name of CAB/ <i>Jina la CAB</i>	CONTROL UNION PERU S.A.C
PDF 1.2 Date of Submission/ Tarehe ya <i>Uwasilishaji</i>	31/07/2017
PDF 1.3 CAB Contact Person/ Mtu wa	
PDF 1.3.1 Name of Contact Person/ <i>Jina la Mtu wa Kuwasiliana naye</i>	Midori Kawazo Delgado
PDF 1.3.2 Position in the CAB's organisation/ <i>Nafasi katika CAB ya shirika</i>	ASC Scheme Coordinator <i>Mratibu wa mradi wa ASC</i>
PDF 1.3.3 Mailing address/ <i>Anuani ya posta</i>	- Av. Petit Thouars 4653, Piso 6 – Miraflores, Lima, Peru
PDF 1.3.4 Email address/ <i>Anuani ya barua pepe</i>	skawazo@controlunion.com
PDF 1.3.5 Phone number/ Namba ya simu	+51 943432794
PDF 1.3.6 Other / <i>Nyingine</i>	Skype : asistencia10

PDF 1.4 ASC Name of Client/ ASC Jina la Mteja

PDF 1.4.1 Name of Contact Person/ <i>Jina la Mtu wa Kuwasiliana Naye</i>	Mr. Ganeshan Vedagiri
PDF 1.4.2 Position in the client's organisation/ <i>Nafasi ya Mteja Kwenye Shirika</i>	Company's legal representative/ <i>Wakili wa kampuni</i>
PDF 1.4.3 Mailing address/ <i>Anuani ya posta</i>	Shrimp farm project, Jimbo, Mafia Island, Tanzania, PO. Box 11/ <i>Mradi wa Shamba la Uduvi, Kisiwa cha Mafia, Tanzania, PO. Box 11</i>
PDF 1.4.4 Email address/ <i>Anuani ya barua pepe</i>	geneshan.vedagiri@tz.alphafrica.com
PDF 1.4.5 Phone number/ Namba ya simu	+ 255 784233651/ 2862352
PDF 1.4.6 Other/ <i>Nyingine</i>	ALPHAKRUST LTD.

PDF 1.5 Unit of Certification/ Aina ya Idhini

PDF 1.5.1 Single Site/ Eneo moja

PDF 1.5.2 Multi-site/ Maeneo

 PDF 1.5.3 Group certification/
Uidhinishwaji wa kikundi

Single Site/Eneo moja

PDF 1.6 Sites to be audited/ Maeneo ya Kuidhinishwa

Site Name/ Jina la Eneo	GPS Coordinates/ Vipimo vya GPS	Other Location Information/ Taarifa za Maeneo Mengine	Planned Site Audit(s)/ Uidhinishwaji wa Maeneo Yaliyopangwa	Date of planned audit/ Tarehe ya Uidhinishwaji Uliopangwa
Alphakrust Shrimp Farm Project/ Mradi wa Shamba la Uduvi la Alphakrust	7°46'14.8''S 39°50'49.3''E	Sea Water Source (Layout Attached)/ Chanzo cha maji ni maji ya baharini (mpangilio umeambatanishwa)	Initial Audit/ Ukaguzi wa awali	12, 13 and 14th September/ Septemba 12, 13, na 14

PDF 1.7 Species and Standards/ Aina na Viwango

Standard/ Aina	Species (scientific name) produced	Included in scope (Yes/No)/ Imejumuishwa kwenye mradi (Ndio/ Hapana)	ASC endorsed standard to be used / Viwango vya ASC vimependekezwa vitumiwe	Version Number/ Namba ya toleo
Shrimp/ Uduvi	<i>Penaeus monodon</i>	YES/ NDIO	ASC Shimp/ Uduvi wa ASC	1

PDF 1.8 Planned Stakeholder Consultation(s) and How Stakeholders can Become Involved/ Mikutano ya wadau iliyopangwa na Jinsi wadau wanavyoweza kushirikishwa

Name/organisation/ Jina/Taasisi	Relevance for this audit/ Umuhimu wa ukaguzi huu	How to involve this stakeholder (in-person/phone interview/input submission)/ Jinsi ya kumshirikisha mdau huyu (ana kwa ana/ mahojiano ya simu/ kuwasilisha mrejesho)	When stakeholder may be contacted/ Wakati ambao mdau anaweza kutafutwa	How this stakeholder will be contacted/ Jinsi ya kuwasiliana na mdau huyu
MOHAMED HAJI	Neighbour / Jirani	Written notifications with request for submissions/ Taarifa za maandishi zenye maombi ya kuwasilish a	August, 2017/ Agosti 2017	255786732877
ABDULLAH	Governmental authorities/ M	Written notifications with request for submissions/ Taarifa za maandishi zenye maombi ya kuwasilisha	August, 2017/ Agosti 2017	255654508279/ Manga_a@yahoo.com

MTEMI DANIEL	Environmental authority/ M	Written notifications with August, 2017/ <i>Agosti 2017</i> request for submissions / <i>Taarifa za maandishi</i> <i>zenye maombi ya</i> <i>kuwasilisha</i>	255787584118/ Mtemidaniel85@g mail.com
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PDF 1.9 Proposed Timeline/ *Muda Uliopendeke*

PDF 1.9.1	Contract Signed:/ <i>Mkataba unatiwa</i> <i>sahihi:</i>	July 2017/ <i>2017 Julai</i>
PDF 1.9.2	Start of audit:/ <i>Kuanza</i> <i>kwa ukaguzi:</i>	September 2017/ <i>Septemba 2017</i>
PDF 1.9.3	Onsite Audit(s): / <i>Ukaguzi ndani ya eneo:</i>	12, 13 and 14th / <i>12, 13 na 14</i>
PDF 1.9.4	Determination/Decision: <i>/ Dhamira/Maamuzi:</i>	January 2018/ <i>Januari 2018</i>

PDF 1.10 Audit Team / *Timu ya Ukaguzi*

	Column1/ <i>Safu ya 1</i>	Name/ <i>Jina</i>	ASC Registration Reference/ <i>Rejea za</i> <i>Usajili wa ASC</i>
PDF 1.10.1	Lead Auditor/ <i>Mkaguzi</i>	Quynh Le Xuan	<i>yes/ ndio</i>
PDF 1.10.2	Social Auditor/ <i>Mkaguzi</i> <i>wa kijamii</i>	Olga van Niekerk	<i>yes/ ndio</i>
PDF 1.10.3	Translator / <i>Mfasiri</i>	Elise Rhuppiah	<i>yes/ ndio</i>

I. ASC Audit Report - Opening/ Ripoti ya Ukaguzi ya ASC- Ufunuzi

General Requirements / Mahitaji ya Kawaida

C1 Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located./ Ripoti za ukaguzi zitaandikwa kwa Kiingereza na kwa lugha ambayo inatumika zaidi kwenye eneo ilipo biashara.

Report Language: English and Kiswahili/ Lugha za Ripoti: Kiingereza na Kiswahili	Common Language: Kiswahili / Lugha inayotumika zaidi: Kiswahili
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C2 Audit reports may contain confidential annexes for commercially sensitive information./ Ripoti za ukaguzi zinaweza kuwa na viambatanisho vya siri kwa ajili ya taarifa nyeti za kibiashara

The CAB shall agree the content of any commercially sensitive information with the applicant, which can still be accessible by the ASC and the appointed accreditation body upon request as **C2.1** stipulated in the certification contract./ CAB itakubaliana na maudhui ya taarifa nyeti za kibiashara za muombaji, ambazo zinaweza kupatiwa mamlaka iliyoidhinishwa endapo wataomba kama ilivyoainishwa kwenye mkataba wa uidhinishwaji.

C2.2 The public report shall contain a clear overview of the items which are in the confidential annexes./ Ripoti ya umma itakuwa na muhtasari wa bayana wa vitu vyote vilivyomo kwenye viambatanisho vya siri .


C2.3 Except for the annexes that contain commercially sensitive information all audit reports will be public./ Isipokuwa kwa viambatanisho vitakavyokuwa na taarifa nyeti za kibiashara, taarifa zote za ukaguzi zitawekwa wazi

Declaration of confidential annexes: NA/ Tamko la viambatanisho nyeti: NA

Client Signature: Ganesan Vedagiri/ Sahihi ya mteja: Ganesan Vedagiri

C3 The CAB is solely responsible for the content of all reports, including the content of any confidential annexes./ CAB ndio inayohusika na maudhui ya ripoti zote, ikiwemo maudhui ya viambatanisho vyovyote vipya

Le Xuan Quynh - Lead auditor - declares that all the information in the report is true and that is responsible for it./ Le Xuan Quynh- Mkaguzi Mkuu- anathibitisha kuwa taarifa zote kwenye ripoti ya ukaguzi ni za kweli na anawajibika nazo

Auditor Signature: Sahihi ya 

C4 Reporting Deadlines* for certification and re-certification audit reports / Ukomo wa muda wa ripoti* kwa ajili ya uidhinishwaji na uidhinishwaji mpya wa ripoti za ukaguzi

Within thirty (30) days of the completing of the audit the CAB shall submit a draft report in English and the national or most common language spoken in the area where the operation is **C4.1** located./ Ndani ya siku thelathini (30) baada ya kumaliza ukaguzi, CAB itawasilisha ripoti ya awali kwa lugha ya Kiingereza na lugha ya taifa au lugha inayotumiwa zaidi kwenye eneo ilipo biashara.

C4.2 Within five (5) days the ASC should post the draft report to the ASC website./ Baada ya siku tano (5) ASC inatakiwa ichapishie ripoti ya awali kwenye tovuti ya ASC

C4.3 The CAB shall allow stakeholders and interested parties to comment on the report for fifteen (15) days./ CAB itawaruhusu wadau na wahusika kutoa maoni juu ya ripoti ndani ya siku kumi na tano (15).

Within twenty (20) days of the close of comments, the CAB shall submit the final report to the ASC in English and the national or most common language spoken in the area where the **C4.4** operation is located./ Ndani ya siku ishirini (20) baada ya kufungwa upokeaji wa maoni, CAB itawasilisha kwa ASC ripoti ya mwisho kwa lugha ya Kiingereza na lugha ya taifa au lugha inayotumiwa zaidi kwenye eneo ilipo biashara.

C4.5 Within five (5) days the ASC should post the final report to the ASC website./ Ndani ya siku tano (5) ASC inatakiwa ichapishie ripoti ya mwisho kwenye tovuti ya ASC

C4.6 Audit reports shall contain accurate and reproducible results./ Ripoti za ukaguzi zinatakiwa ziwe na matokeo sahihi na yanayoweza kudurufiwa

C5 Reporting Deadlines* for surveillance audit reports/ Ukomo wa muda* wa Uchunguzi wa ripoti za ukaguzi

Within ninety (90) days of the completing of the audit the CAB shall submit a final report in English and the national or most common language spoken in the area where the operation is **C5.1** located./ Siku tisini (90) Baada ya kumaliza ukaguzi, CAB itawasilisha ripoti ya mwisho kwa lugha ya Kiingereza na ya taifa au lugha inayotumiwa zaidi kwenye eneo ilipo biashara.

C5.2 Within five (5) days the ASC should post the final report to the ASC website./ Ndani ya siku tano (5) ASC inatakiwa ichapishie ripoti kwenye tovuti ya ASC

C5.3 Audit reports shall contain accurate and reproducible results./ Ripoti za ukaguzi zinatakiwa ziwe na matokeo sahihi na yanayoweza kudurufiwa

1 Title Page/ Ukurasa wa Awali

1.1 Name of Applicant/ Jina la muombaji

Report Title [e.g. Public Certification Report]

1.2 / Jina la Ripoti [k.m Ripoti ya Ukaguzi wa Umma]

1.3 CAB name/ Jina la CAB

1.4 Name of Lead Auditor/ Jina la Mkaguzi Mkuu

Names and positions of report authors and **1.5** reviewers/ Majina na nafasi za waandishi na wakaguzi wa ripoti

Client Name: ALPHAKRUST LTD/ Jina la Mteja: ALPHAKRUST LTD
Client Number: 851719/ Namba ya mteja: 851719

Final Certification Report/ Ripoti ya Mwisho ya Uidhinishwaji

Control Union Peru S.A.C.

Lead Auditor - Environmental part: Le Xuan Quynh/ Mkaguzi Mkuu - Masuala ya Mazingira: Le Xuan Quynh
Social Auditor: Olga Van Niekerk/ Mkaguzi wa kijamii: Olga Van Niekerk
Translator: Elise Rhuppiyah/ Mfasiri: Elise Rhuppiyah

Auditors - Report authors: Le Xuan Quynh and Olga Van Niekerk/ Wakaguzi: Waandishi wa ripoti: Le Xuan Quynh na Olga Van Niekerk
Certifier - Reviewer: Midori Kawazo/ Muidhinishaji - Mkaguzi: Midori Kawazo

1.6 Client's Contact person:/ Mtu wa kuwasiliana naye katika kampuni

Name: Ganeshan Vedagiri/ Jina: *Ganeshan Vedagiri*
 Title: General Manager/ Cheo: *Mkurugenzi Mkuu*
 Address: Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11/ Anuani: *Mradi wa Shamba la Uduvi, Jimbo, Kisiwa cha Mafia, Tanzania, S.L.P 11*
 Email: ganeshan.vedagiri@tz.alphaafrica.com/ Barua pepe: ganeshan.vedagiri@tz.alphaafrica.com

1.7 Date/ Tarehe

12-14/09/2017

2 Table of Contents/ Yaliyomo

Section 1: Front Sheet/Caratula/ *Kipengele cha 1: Karatasi ya Awali/ Caratula*
 Section 2: Form 3; Audit Report Opening:/ *Kipengele cha 2: Fomu ya 3; Ufunguzi wa Ripoti ya Ukaguzi*
 Section 3: Audit Template & Summary of findings, Bivalves/ *Kipengele cha 3: Modeli ya Ukaguzi na Muhtasari wa utafiti, Bivalves*
 Section 4: Audit Report - Traceability/ *Kipengele cha 4: Ripoti ya Ukaguzi - Ufuatilizaji*
 Section 5: Audit Report Closing / *Kipengele cha 5: Ufungaji wa Ripoti ya Ukaguzi*

3 Glossary / Faharasa

Terms and abbreviations that are specific to this audit report and that are not otherwise defined in the ASC glossary/ *Misamiati na Vifupisho vinavyohusiana na ripoti hii na ambavyo havijaelezewa kwenye faharasa ya ASC*

None/ *Hakuna*

4 Summary

Summary/ Muhtasari

A concise summary of the report and findings. The summary shall be written to be readable to the stakeholders and other interested parties./ *Muhtasari mfupi wa ripoti na matokeo. Muhtasari utaandikwa kwa ajili ya kusomwa na wadau na watu wengine wanaohusika*

4.1 A brief description of the scope of the audit/ *Maelezo mafupi ya ukubwa/upana wa ukaguzi*

Initial audit of ALPHAKRUST LTD for farm-level production of Shrimp against the ASC Shrimp Standard Version 1.0 March 2014, the Audit Manual and the ASC Certification and Accreditation Requirements V2.0/ *Ukaguzi wa awali wa ALPHAKRUST LTD kwa ajili ya uzalishaji wa uduvi kwa kiwango cha shamba dhidi ya toleo la 1 la Machi 2014, Mwongozo wa ukaguzi na Idhini ya ASC na mahitaji ya utambulishaji*

4.2 A brief description of the operations of the unit of certification/ *Maelezo mafupi ya biashara katika suala la uidhinishaji*

The registered unit named ALPHAKRUST LTD Farm was completely constructed in 2003 and located at Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11. The total area of this land is 200 ha. The receiving water body of the farm is Indian Ocean. There is no any other species farmed exception of Black Tiger. The estimated yearly production of this farm is 300MT.
 At the moment, this is the first farm of ALPHAKRUST LTD registered to be certified against ASC Shrimp Standard. /*Shirika liliosajiliwa linaitwa shamba la ALPHAKRUST LTD lililojengwa mwaka 2003 na lipo katika eneo la mradi wa uduvi, huko Jimo, Kisiwa cha Mafia, Tanzania, S.L.P 11. Eneo kamili ni hekta 200. Maji yanayotumika ni ya bahari ya Hindi. Hakuna spishi nyingine inayofugwa hapo zaidi ya Black Tiger. Inakadiriwa kuwa uzalishaji kwa mwaka ni Tani 300. Kwa sasa, hili ndio shamba la kwanza la ALPHAKRUST kusajiliwa ili kuidhinishwa katika viwango vya uduvi vya ASC.*

4.3 Type of unit of certification (select only one type of unit of certification in the list) / *Aina ya eneo la uidhinishaji (chagua aina moja ya eneo la uidhinishaji kwenye orodha)*

Single site certification/ *Uidhinishwaji wa eneo moja*

4.4 Type of audit (select all the types of audit that apply in the list) / *AINA YA UKAGUZI (CHAGUA AINA inayoendana kwenye orodha)*

Initial audit - Announced/ *Ukaguzi wa awali - Umetangazwa*

4.5	A summary of the major findings/ Muhtasari wa matokeo muhimu	<p>Finishing the audit, the farm mostly complies with the standard's requirement of the ASC Shrimp Standard. However, the audit resulted in the issuance of 8 Major Ncs and 17 Minor Ncs/ <i>Kumaliza ukaguzi, kwa sehemu kubwa shamba linafuata mahitaji ya msingi ya Viwango vya ASC vya uduvi. Hata hivyo ukaguzi umepelekea utolewaji wa Ncs 8 kubwa na Ncs 17 ndogo</i></p> <p>2.5.3 The farm cannot provide monthly records of specific conductance measured in a freshwater well used by the farm. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor. / <i>Shamba limeshindwa kutoa kumbukumbu za kila mwezi kuhusiana na masuala fulani waliyofanyika katika kisima cha maji baridi kianchotumwa na shamba. Shamba limeshindwa kuandaa conductance measurement (fanyike mbele ya mkaguzi)</i></p> <p>2.5.4. The farm does not have records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields. The B-EIA does not identify the sampling stations and the frequency of monitoring. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor / <i>Shamba halina</i></p> <p>4.4.1 It is noted that 37 of the 223 employees were trained on the 9 February 2017, the balance of the employees still to be trained. Also no proof could be provided that recent appointed employees received H&S induction training. No previous training records were provided. It is noted that facility does not have a complete risk assessment that identifies risks associated with job activities. / <i>Imegundulika kuwa wafanyakazi 37 kati ya 223 ndio waliopata mafunzo tarehe 9 Februari 2017. Wafanyakazi waliosalia bado hawajapewa mafunzo. Pia hakuna uthibitisho kuwa wafanyakazi walioajiriwa hivi karibuni wamepata mafunzo ya awali kuhusiana na kampuni. Hakuna kumbukumbu za zamani za mafunzo zilzotolewa. Pia imegundulika kuwa kiwanda hakijafanya tathmini ya hatari inayotambua hatari zinazohusianishwa na shughuli za kikazi.</i></p> <p>6.1.2 The farm cannot provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years. The farm cannot provide a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point. There is no evidence that the farm checked trapping devices to sample for the existence of escapes/ <i>Shamba limeshindwa kutoa kumbukumbu rasmi au tamko rasmi linaloonyesha kiwango cha juu cha maji (kutoka kwenye mito, majuriko, kiwango cha mawimbi, n.k) katika miaka 25 iliyopita. Shamba limeshindwa kutoa tamko kutoka mamlaka husika au taasisi inayoaminika itakayotoa kipimo cha umbali wa maji kutoka baharini katika kiwango cha chini kabisa. Hakuna ushahidi kuwa shamba limekuwa likikagua mitego ili kuona kama kuna uwezekano wa kupenya</i></p> <p>7.1.1 The farm cannot provide a statement (on feed manufacturer company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed. The farm cannot provide 3rd party statements as stated at invoice from feed ingredient supplier indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions/ <i>Shamba limeshindwa kutoa tamko (juu ya taashira ya kampuni ya utengenezaji chakula) la mtengeneza chakula cha mifugo/uduvu kwa kutambua viungo vyote vinavyopatikana kwenye chakula cha mifugo vinavyotengeneza asilimia 2 ya chakula cha mifugo. Shamba limeshindwa kutoa nyaraka za wahusika wengine kama ilivyoainishwa kwenye ankara ya malipo kutoka kwa mtengenezaji chakula cha mifugo ikionyesha nchi kinapotokea, na (kwa ajili ya bidhaa za samaki) maeneo ya uvuvi kulingana na maeneo makuu ya uvuvi ya FAO na vitengo vidogo.</i></p> <p>7.1.2 The farm cannot provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients other than products of trimmings/ <i>Shamba limeshindwa kutoa ushahidi wa wahusika wengine (kupitia mwanachama wa ISEAL au mpango wa ISO 65 unaojumuisha kanuni za utendaji za FAO kuhusiana na uvuvi endelevu) kuonyesha mnyororo wa umiliki na ufuatili kwa ajili ya viembe vyote vya majini badala ya trimmings</i></p> <p>7.2.1 b The farm cannot provide a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients (to specify genus, species and region of harvest) There is no evidence that fish meal and fish oil is in compliance to FS / <i>Shamba limeshindwa kutoa nyaraka kutoka kwa mtengenezaji wa chakula cha mifugo kinachotambusha nchi kinapotokea chakula na majuta ya baharini inayotumika kama viungo katika chakula cha mifugo (kuanisha jenasi, spishi, na eneo panapowunwa), hakuna ushahidi kama chakula na majuta ya samaki yanafuata sheria za FS</i></p> <p>7.7.1 The farm cannot provide procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm. Onsite observation and found that chemical and hazardous waste is not safe storage (there is no spill conventions, there is no warning signs)/ <i>Shamba limeshindwa kutoa utaratibu wa uhifadhi na utunzaji salama wa kemikali zote na vitu vyote hatarishi vinavyotumika kwenye shamba. Uchunguzi uliofanyika kwenye kiwanda unaonyesha kuwa kuna kemikali na taka hatarishi ambazo hazijahifadhiwa ipasavyo. (hakuna sheria zinazongoza umwagikaji wa vimiminika hatarishi, hakuna ishara za kuonya dhidi ya hatari)</i></p>
4.6	The Audit determination / <i>Dhamira ya ukaguzi</i>	<p>ALPHAKRUST LTD is in compliance with the ASC requirements under Shrimp standard after provided appropriate action plans and complete evidence for closing all the NCs. Certificate is granted against ASC Shrimp Standard V 1.0. <i>ALPHAKRUST LTD inafanana na mahitaji ya ASC chini ya kiwango cha Shrimp bada ya kutoa mipango ya utekelezaji sahihi na ushahidi kamili wa kufunga NC zote. Cheti imepewa dhidi ya ASC Shrimp Standard V 1.0.</i></p>

5 CAB Contact Information/ Taarifa za Mawasiliano

- 5.1 CAB Name / *Jina la CAB*
- 5.2 CAB Mailing Address/ *Anuani ya posta ya CAB*
- 5.3 Email Address/ *Anuani ya barua pepe*
- 5.4 Other Contact Information/ *Taarifa Nyingine za mawasiliano*

Control Union Perú S.A.C.
Av. Petit Thouars 4653, Piso 6 Miraflores,Lima-Perú
skawazo@controlunion.com info.peru@controlunion.com
Phone: +511 7190400 / <i>Simu: +511 7190400</i> Fax: + 5117190410 / <i>Faksi: + 5117190410</i>

6 Background on the Applicant/ Taarifa za Muombaji

- 6.1 Information on the Public Disclosure Form (Form 3) except 1.2-1.3 All information updated as necessary to reflect the audit as conducted. / *Taarifa za kwenye Fomu ya Taarifa za Biashara (fomu ya 3) kasoro 1.2-1.3. Taarifa zote zimefanyika maboresho ili ziweze kuendana na ukaguzi uliofanyika*
- 6.2 A description of the unit of certification (for initial audit)/changes, if any (for surveillance and recertification audits)/ *Maelezo ya mabadiliko ya aina za uidhinishaji (kwa ajili ya ukaguzi wa awali) kama yatakawepo na kwa ajili ya uidhibnishwaji wa mara ya pili*
- 6.3 Other certifications currently held by the unit of certification/ *Uidhinishwaji mwingine uliofanywa na kitengo cha uatoaji idhini*
- 6.4 Other certification(s) obtained before this audit/ *Idhini zingine zilizotolewa kabla ya ukaguzi huu*

<p>Form 3 was sent 1 month before audit date. See Form 3 attached to the Report./ <i>Fomu ya 3 ilitumwa mwezi 1 kabla ya tarehe ya ukaguzi. Angalia fomu ya 3 iliyoambatanishwa kwenye ripoti.</i></p>
<p>The registered unit named ALPHAKRUST LTD Farm was completely constructed in 2003 and located at Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11. The total area of this land is 200 ha. The receiving water body of the farm is Indian Ocean. There is no any other species farmed exception of Black Tiger. The estimated yearly production of this farm is 300MT. At the moment, this is the first farm of ALPHAKRUST LTD registered to be certified against ASC Shrimp Standard. / <i>Shirika liliosajiliwa linaitwa shamba la ALPHAKRUST LTD lililojengwa mwaka 2003 na lipo katika eneo la mradi wa uduvi, huko Jimo, Kisiwa cha Mafia, Tanzania, S.L.P 11. Eneo kamili ni hekta 200. Maji yanayotumika ni ya bahari ya Hindi. Hakuna spishi nyingine inayofugwa hapo zaidi ya Black Tiger. Inakadiriwa kuwa uzalishaji kwa mwaka ni Tani 300. Kwa sasa, hili ndio shamba la kwanza la ALPHAKRUST kusajiliwa ili kuidhinishwa katika viwango vya uduvi vya ASC.</i></p>
None/ <i>Hakuna</i>
None / <i>Hakuna</i>

6.5	Estimated annual production volumes of the unit of certification of the <u>current</u> year/ <i>Makadirio ya kiwango cha uzalishaji kwa mwaka cha idhini iliyotolewa katika mwaka huo</i>	300MT
6.6	<u>Actual</u> annual production volumes of the unit of certification of the <u>previous</u> year (<i>mandatory for surveillance and recertification audits</i>) / <i>Kiwango halisi cha uzalishaji kwa mwaka cha idhini iliyotolewa kwa mwaka uliopita (muhimu kwa ajili ya uchunguzi na ukaguzi wa idhini zilizotolewa mara nyingine)</i>	Not applicable. This is initial audit/ <i>Haipo. Huu ni ukaguzi wa kwanza</i>
6.7	Production system(s) employed within the unit of certification (<i>select one or more in the list</i>) / <i>Mfumo wa uzalisha uliotumiwa kwenye eneo lililoidhinishwa (Chagua moja au zaidi kwenye orodha)</i>	Pond/ <i>Bwawa</i>
6.8	Number of employees working at the unit of certification / <i>Idadi ya wafanyakazi wanaofanya kazi katika eneo lililoidhinishwa</i>	223

7 Scope/ Ukubwa/Upana

7.1	The Standard(s) against which the audit was conducted, including version number. / <i>Viwango ambavyo ukaguzi umefanyika ikiwemo namba ya toleo</i>	ASC Shrimp Standard, Version 1.0 March 2014/ <i>Viwango vya uduvi vya ASC, Toleo la Machi 2014</i>						
7.2	The species produced at the applicant farm (Including latin name)/ <i>Jina la spishi katika shamba la muombaji (ikiwemo jina la Kilatini)</i>	Black Tiger Shrimp - <i>Penaeus Monodon</i> / <i>Uduvi wa Black Tiger - Penaeus Monodon</i>						
7.3	A description of the scope of the audit including a description of whether the unit of certification covers all production or harvest areas (i.e. ponds) managed by the operation or located at the included sites, or whether only a sub-set of these are included in the unit of certification. If only a sub-set of production or harvest areas are included in the unit of certification these shall be clearly named. / <i>Maelezo ya ukubwa wa ukaguzi ikiwemo maelezo ya kama eneo lililoidhinishwa linachukua sehemu yote ya uzalishaji au uvunaji (yaani mabwawa) yanayosimamiwa na biashara au yaliyo katika eneo lililojumuishwa au kama maeneo madogo yaliyotengwa yamejumuishwa kwenye idhini iliyotolewa. kama ni eneo dogo la sehemu ya uzalishaji au uvunaji limejumuishwa kwenye idhini, itabidi iainishwe vyema.</i>	<table border="1"> <thead> <tr> <th>Production Unit name/<i>Jina la kitengo cha uzalishaji</i></th> <th>Address and geographical positions/<i>Anuani na eneo la kijiografia</i></th> <th>Activities audited/ <i>Shuguli zilikokaguliwa</i></th> </tr> </thead> <tbody> <tr> <td>SHAMBA LA UDUVI LA ALPHAKRUST</td> <td> *Address: Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11 *Geographical positions: / <i>Anuani: Mradi wa Shamba la Uduvi, Kisiwa cha Mafia, Tanzania, S.L.P 11* Eneo la kijiografia:</i> A. 7°45'21.1"S 39°51'11.9"E B. 7°45'19.0"S 39°51'07.0"E C. 7°45'43.9"S 39°50'42.5"E D. 7°45'42.5"S 39°50'39.3"E E. 7°45'53.4"S 39°50'30.7"E F. 7°46'05.8"S 39°50'34.9"E G. 7°46'15.1"S 39°50'50.2"E </td> <td>Production, harvesting/ <i>Uzalishaji, uvunaji</i></td> </tr> </tbody> </table>	Production Unit name/ <i>Jina la kitengo cha uzalishaji</i>	Address and geographical positions/ <i>Anuani na eneo la kijiografia</i>	Activities audited/ <i>Shuguli zilikokaguliwa</i>	SHAMBA LA UDUVI LA ALPHAKRUST	*Address: Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11 *Geographical positions: / <i>Anuani: Mradi wa Shamba la Uduvi, Kisiwa cha Mafia, Tanzania, S.L.P 11* Eneo la kijiografia:</i> A. 7°45'21.1"S 39°51'11.9"E B. 7°45'19.0"S 39°51'07.0"E C. 7°45'43.9"S 39°50'42.5"E D. 7°45'42.5"S 39°50'39.3"E E. 7°45'53.4"S 39°50'30.7"E F. 7°46'05.8"S 39°50'34.9"E G. 7°46'15.1"S 39°50'50.2"E	Production, harvesting/ <i>Uzalishaji, uvunaji</i>
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7.4	The names and addresses of any storage, processing, or distribution sites included in the operation (including subcontracted operations) that will potentially be handling certified products, up until the point where product enters further chain of custody. / <i>Majina na anuani za maeneo yoyote ya uhifadhi, usindikaji au usambazaji yaliyojumuishwa kwenye biashara (ikiwemo biashara zilizopewa kandarasi) ambazo zitakuwa zinashughulika na biashara zilizopewa kibali hadi pale ambapo bidhaa zitaingia katika mnyororo mwingine wa thamani</i>	Not applicable. There is no any storage, processing, or distribution sites included in the operation (including subcontracted operations) that will potentially be handling certified products. <i>Sio husika. Hakuna hifadhi yoyote, usindikaji, au maeneo ya usambazaji yaliyojumuishwa katika operesheni (ikiwa ni pamoja na shughuli zisizo na mkataba) ambazo zitaweza kutunza bidhaa zilizohakikishwa</i>						
7.5	Description of the receiving water body(ies). / <i>Maelezo ya chanzo cha maji kinachopokea</i>	Indian Ocean/ <i>Bahari ya Hindi</i>						

8 Audit Plan/ Mpango wa Ukaguzi

8.1 The names of the auditors and the dates when each of the following were undertaken or completed: conducting the audit, writing of the report, reviewing the report, and taking the certification decision. / *Majina ya wakaguzi na tarehe ambazo kila mojawapo zilizopofanywa au kukamilishwa: Kufanya ukaguzi, kuandika ripoti, kukagua ripoti na kufanya maamuzi ya uidhinishwaji*

Auditor(s): Le Xuan Quynh - Olga Van Niekerk / *Mkaguzi: Le Xuan Quynh - Olga Van Niekerk*
 Audit dates: 12-14/09/2017 / *Tarehe za ukaguzi: 12-14/09/2017*
 Report finished on: 20/10/2017 / *Ripoti kukamilika: 20/10/2017*
 Report reviewed on: 25/10/2017 / *Ripoti Kukaguliwa: 25/10/2017*
 Desk study on: 10/04/2018 / *Kujifunza dawati: 10/04/2018*
 Date of the certification decision / *Tarehe ya uamuzi wa vyeti: 11/04/2018*
 Justification of the change of the team members: NA, initial audit / *Uhalali wa kubadilishwa wanakikundi: NA, Ukaguzi wa awali*

8.2 Previous Audits (if applicable): / *Kaguzi zilizopita (Kama inahusu)*

NC reference number / <i>Namba za rejea za NC</i>	Standard clause reference / <i>Kipengele cha viwango</i>	Closing deadline - status - closing date of each NC / <i>Tarehe ya mwisho - Hadhi- Tarehe kufungwa kwa kila NC</i>
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8.2.1 Initial audit - mm/yyyy / *Ukaguzi wa kwanza - mw-mw*

Not applicable. This is initial audit / *Haipo. Huu ni ukaguzi wa kwanza*

8.4 Audit plan as implemented including: / *Mpango wa ukaguzi kama ulivyotekelezwa ikiwemo:*

	Dates / <i>Tarehe</i>	Locations / <i>Maneo</i>
8.4.1 Desk Reviews / <i>Mapitio ya Mezani</i>	03/07/2017 10/04/2018	Office - Control Union Peru Office/Văn phòng - Control Union Vietnam Desk study was carried out in addition of the on-site audit to update the audit evidence data of the period (Oct 2017- March 2018) <i>Utafiti wa dawati ulifanyika kwa kuongeza uhakiki wa tovuti ili upate data ya ushahidi wa ukaguzi wa kipindi (Oktoba 2017 - Machi 2018)</i>
8.4.2 Onsite audits / <i>Ukaguzi wa kwenye eneo</i>	12-14/09/2017	Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11/ <i>Mradi wa shamba la uduvi, Jimbo, Kisiwa cha Mafia, Tanzania, S.L.P 11</i>
8.4.3 Stakeholder interviews and Community meetings / <i>Mahojiano na washika dau pamoja na mikutano na wanajamii</i>	12/09/2017	Shrimp Farm Project, Jimbo, Mafia Island, Tanzania, P.O. Box 11/ <i>Mradi wa shamba la uduvi, Jimbo, Kisiwa cha Mafia, Tanzania, S.L.P 11</i>
8.4.4 Draft report sent to client / <i>Ripoti ya awali kwa mteja</i>	27/10/2017	Office / Ofisi - Control Union Peru
8.4.5 Draft report sent to ASC / <i>Ripoti ya awali imetumwa ASC</i>	12/12/2017	Office / Ofisi - Control Union Peru
8.5.5 Final report sent to Client and ASC / <i>Ripoti ya mwisho inatumwa kwa mteja na ASC</i>	12/04/2018	Office / Ofisi - Control Union Peru
8.5.6 Audit duration; Justification / <i>Muda wa ukaguzi; Uhalalishaji</i>	Audit duration: 06 mandays / <i>Muda wa Ukaguzi: 06 Jumatatu</i> Justification: It is a single farm, there is no other shrimp farm located in this country. Difference native language between audit team and employees so it takes more time for translation. / <i>Uhalalishaji: Ni shamba moja, hakuna shamba lingine la uduvi lililopo nchini humu. Lugha tofauti baina ya timu ya wakaguzi na wafanyakazi kwa hiyo inachukua muda zaidi kutafsiiri</i> Area: 200 ha / <i>Eneo: Hekta 200</i> Number of sites: 01 / <i>Idadi ya maeneo: 01</i> Workers interviewed: 26 / <i>Wafanyakazi waliohojiwa: 26</i> Traceability risk: Low risk / <i>Hatari ya ufuatili: Hatari kidogo</i>	

8.7 Names and affiliations of individuals consulted or otherwise involved in the audit including: representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit. / *Majina na makundi ya watu waliohirikishwa kwenye ukaguzi ikiwemo: wawakilishi wa mteja, wafanyakazi, wakandarasi na wachunguzi wowote waliohiriki kwenye ukaguzi*

1. From ALPHAKRUST LTD: / *Kutoka ALPHAKRUST LTD*
 - Mr. Chandan Singh - Quality Assurance Coordinator / *Bwn. Chandan Singh - Msimamizi wa ubora wa viwango*
 - Mr. Dominic Savio Francis Xavier - Quality Manager / *Bwn. Dominic Savio Francis Xavier - Meneja wa Viwango*
 - Mr. K. Lenin Raj - Farm's Manager / *Bwn K. Lenin Raj- Meneja wa shamba*
 - Mr. Arivazhagan Uthirapathy - Hatchery Manager / *Bwn Arivazhagan Uthirapathy- Meneja wa Utotoleshaji*
 - Mr. Krishnan - Management Representative - *Bwn Krishnan- Mwakilishi wa Menejimenti*
 2. Stakeholder: / *Wadau*
 - Mr. Abdalla Hussein - Subzonal Fisheries Officer Incharge / *Bwn Abdalla Hussein- Afisa Uvuvi wa Mkoa*
 - Mr. Mtemi Kasuga - Environmental Officer / *Bwn Mtemi Kasuga - Afisa Mazingira*
 - Mr. Mohamed Haji - Chairman of Jimbo Village / *Bwn Mohamed Haji- Mwenyekiti wa Kijiji cha Jimbo*

8.8 Stakeholder submissions, including written or other documented information and CAB written responses to each submission. / *Uwasilishaji wa wadau, ikiwemo nyaraka zilizoaandikwa au nyaraka zingine za taarifa zilizowekwa katika kumbukumbu na majibu ya maandishi ya CAB kwa kila uwasilishaji*

Name of stakeholder (if permission given to make name public) / Jina la mdau kama ruhusa itatolewa ya kuweka wazi majina	Relevance to be contacted / Umuhimu wa kutafutwa	Date of contact / Tarehe ya kutafutwa	CAB responded Yes/No / CAB imejibu NDIO/ HAPANA	Brief summary of points Raised/ Muhtasari mfupi wa mambo yaliyoibuliwa	Use of comment by CAB/ Matumizi ya maoni kwa CAB	Response sent to stakeholder/ Majibu yaliyotumwa kwa mdau
	NA, No comments until now./ NA, Hakuna maoni mpaka sasa					

II. AUDIT MANUAL - ASC Shrimp Standard

Scope: the ASC Shrimp Standard currently covers species under the genus *Litopenaeus* and *Penaeus*. The ASC Shrimp Standard and related Audit Manual is oriented toward the production for *L. vannamei* and *P. Monodon*. Other species of shrimp are eligible for certification if they can meet the performance thresholds specified in this

PRINCIPLE 1. COMPLY WITH ALL APPLICABLE NATIONAL AND LOCAL LAWS AND REGULATIONS

Criterion 1.1: Documented compliance with local and national legal requirements

	Compliance Criteria (Use as guidance for audit only)	Audit evidence 1. Write down all audit evidence for each compliance criterion (CC). Audit evidence (including evidence of conformity and nonconformity) should be recorded so that the audit can be repeated by a different audit team. 2. Replace explanatory text in the 'Audit Evidence' column as appropriate. 3. If you see any Compliance Criteria which is not listed below, please describe in the blue cells below.	Evaluation (Per indicator, select one category in the drop-down menu)	Description of NC Provide an explanation of the reason(s) for the classification of any NCs or non-applicability	Evidence (If any NC raised)	Value/ Metric Provide values - if applicable for the respective Indicator	
1.1.1	<p>Indicator: Compliance with local and national laws or regulation.</p> <p>Requirement: Proofs of permits or other relevant documentation available for applicable regulations.</p> <p>Applicability: All</p>	<p>a. Maintain records to show the farm has all registrations as required by local and national authorities. Auditors will need to contact farms pre-audit and request list of legal compliant permits necessary to ensure they are cognizant of national legal requirement. P1 also looks at government inspection reports (if/when governments do this regularly) as verification that permits are not 'merely' documents with stamps but also reflect an ongoing relationship re compliance to the permit conditions.</p> <p>b. Be in possession of an aquaculture farming license (as applicable).</p> <p>c. Be in possession of a commercial license (as applicable).</p> <p>d. Be in possession of any other contracts, licences, or permits as required by local and national authorities, including (if applicable) but not limited to right to land/and/or water use, importation and movement of broodstock or Postlarvae, medicine or chemical use, waste disposal, wastewater discharge, labor and predator control (also see 1.1.3. and 1.1.4).</p> <p>e. Show a written or digital list of all operational activities for which the farm has procedures. Procedures are required for actions that require training of common types of farm workers, or for activities that represent risk management needed for the farm.</p> <p>f. Others, please describe</p>	<p>A. Verify farm has all registrations as required by local and national authorities. Permit 1 name: Certificate of approval for aquaculture establishment (QA/APP/01) Issue and/or expire date: 03/01/2017 - 31/12/2017 Last update/inspection: Monthly</p> <p>Permit 2 name: Certificate of Registration of Workplace (4577) Issue and/or expire date: 29/05/2012 - No expire date Last update/inspection: Not applicable.</p> <p>Permit 3 name: Certificate of Incorporation (43001) Issue and expire date: 14/02/2002 - No expire date. Last update/inspection: Not applicable.</p> <p>B. Verify farm has aquaculture farming license (as applicable). License number: Certificate of approval for aquaculture establishment (QA/APP/01) Issue and/or expire date: 03/01/2017 - 31/12/2017</p> <p>C. Verify farm has a commercial license (as applicable). License number: Certificate of Incorporation (43001) Issue and expire date: 14/02/2002 - No expire date.</p> <p>D. Verify compliance. Land permit/title: Permit to establish prawn farming project in mangrove forest reserve on Mafia Island (JA.374/401/02/170) Issue and expire date: 17/07/2003 - 18/07/2023 Last update/inspection: Not applicable</p> <p>Water permit: Certificate of approval for aquaculture establishment (QA/APP/01) Issue and/or expire date: 03/01/2017 - 31/12/2017 Last update/inspection: Monthly</p> <p>Effluent permit: Certificate of approval for aquaculture establishment (QA/APP/01) Issue and/or expire date: 03/01/2017 - 31/12/2017 Last update/inspection: Monthly</p> <p>Broodstock/seedlings importation permit: Not applicable. The farm does not import broodstock/seedlings Issue and expire date: Not applicable Last update/inspection: Not applicable.</p> <p>E. Verify that the list is available and complete. List of procedures available? Yes (Farm Operational Manual) Mention main procedures related to environment, animal welfare and workers health and safety: - Pond preparation - Water culture - Health Management - Training procedure - Medical Screening Policy - Child Labour Policy</p>	Compliant			

1.1.2	Indicator: Transparency on legal compliance.	a. Make government permits and licenses (as applicable) publicly available. "Publicly available" is defined as "in a manner easily accessible to or observable by the public," which includes, but is not limited to, the following: consistently and reliably posted in a public place (e.g., farm signage, storefront window or on the wall of an office that is accessible to the public), or available by email, post upon request or posted on internet websites.	A. Verify farm has made legal compliance publicly available. Place of publication: On the wall of Farm's office Documents available: Yes If documents are online, website address: Not applicable Website is functional and easy to access? Not applicable	Compliant		
	Requirement: Government-issued operational permits and licenses are publicly available one month after request.	b. Maintain records of requests of information from the public. Records shall include date of request, name of person requesting, information requested, response taken, date when response was taken and, if response was taken after 14 working days of receiving the request, justification for the delay.	B. Government-issued operational permits are publicly available one month after issued by government authorities through the means they chose to provide public information Updated documents available? Yes A format to record information request is available? Yes, as request Person: There was no a request yet. Information requested: There was no a request yet. Response taken and time: There was no a request yet. Justification for more than 14 days: Not applicable			
	Applicability: All	c. Others, please describe				

PRINCIPLE 2. SITE FARMS IN ENVIRONMENTALLY SUITABLE LOCATIONS WHILE CONSERVING BIODIVERSITY AND IMPORTANT NATURAL ECOSYSTEMS

Criterion 2.1: Biodiversity Environmental Impact Assessment (B-EIA)

2.1.1	<p>Indicator: Farm owners shall commission a participatory B-EIA and disseminate results and outcomes openly in locally appropriate language. The B-EIA process and document must follow the outline in Appendix A.</p> <p>Requirement: Report available and complies to B-EIA Appendix I process</p> <p>Applicability: All</p>	<p>a. Present a B-EIA report. In countries where there is no formalized accreditation process, there is the option to use an academic (university-employed) ecologist, or an ecologist with peer reviewed publications within the last 5 years. The name of the ecologist will appear in the publicly available report to ensure accountability. Farm has to demonstrate that they are implementing recommendations made in the B-EIA and that a B-EIA monitoring protocol is established. Reviewed every 6 years by relevant assessors or ecologist. During each surveillance audit the B-EIA action/monitoring plan will be monitored.</p> <p>The TORs refer to the obligation of using past EIAs as inputs, which would naturally result in the consideration of impacts already listed using guidance framework and methodology. In Appendix I.</p>	<p>A. Verify farm has a B-EIA report and that the methodology adopted complied with Appendix I. Go through Appendix A checklist point by point. Ensure farm is following B-EIA recommendations and monitoring protocol. Verify the farm is familiar with Appendix A, the B-EIA and that they have been implementing the findings. Verify that workers are aware of the B-EIA content and the measures needed to palliate/compensate the operation effects on the environment.</p> <p>Additional comment: <i>During local community interviews, verify that stakeholders were consulted in the B-EIA research by the ecologist. Records from meeting with stakeholders (community) to collect information for the B-EIA development.</i> <i>During surveillance audits verify the implementation of the B-EIA action/monitoring plan.</i></p> <p>BEIA Author: National Environment Management Council (NEMC) Author references and/or local accreditation number: Prof. Yunus. D. Mgaya and Mr. Prosper M. Makongoro are officers of National Environment Management Council (NEMC) Date of issue: 11/2015 Appendix A checklist complete? No. Verified BEIA and found that it is not included all of requirements for BEIA. Workers were trained and aware in relation to BEIA? Yes Date: 2015 If monitoring done, date and result: Not applicable. Stake holders consulted? Yes Date of meeting: 12/09/2017</p>	Minor	Verified BEIA and found that it is not included all of requirements for BEIA.	Verified BEIA and found that it is not included all of requirements for BEIA.
		b. Others, please describe				

Criterion 2.2: Conservation of protected areas [13] or critical habitats

	Indicator: Allowance for siting in Protected Areas (PAs).	<p>a. Provide the geographical coordinates of the farm (in degrees and minutes latitude and longitude) with an accuracy of two decimals in the geographical minutes (e.g., 15° 22,65' N ; 22° 43,78' E using World Geodetic System 84 (WGS84) coordinates). The center of the production site in case of farms smaller than 1 hectare, corners of the contours of larger farms.</p> <p>b. If the farm is established within a PA provide evidence of the designation of the PA.</p>	<p>A. Verify that the geographical coordinates are available and accurate and whether the farm is established not on a PA. Farm is in PA? Yes It is mentioned in BEIA report: Yes Coordinates: A. 7°45'21.1"S 39°51'11.9"E B. 7°45'19.0"S 39°51'07.0"E C. 7°45'43.9"S 39°50'42.5"E D. 7°45'42.5"S 39°50'39.3"E E. 7°45'53.4"S 39°50'30.7"E F. 7°46'05.8"S 39°50'34.9"E G. 7°46'15.1"S 39°50'50.2"E</p> <p>B. Verify that the designation is accurate and that the area was not designated as a Category I-IV PA at the time of construction/or relevant permissions were obtained at the time of construction. PA name: Forest reserve area IUCN category: Not applicable Year of designation: Not applicable Year of farm construction: 2003 Permits obtained: Yes. (JA.374/401/02/170)</p>	N/A	Not applicable. The farm is not located in PA	Not applicable. The farm is not located in PA
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<p>2.2.1</p>	<p>Requirement: None, except within PAs with IUCN category V if the farming system is regarded as traditional land use [14], or category VI if the farm was built legally prior to the designation of the PA and in both cases is in compliance with the management objectives and plan of the PA, and shrimp farming is no more than 25% of the total PA area [15].</p> <p>Applicability: All</p>	<p>c. For farms established on PA with IUCN category V, provide evidence that the farming system can be considered traditional land use and that the farm does not occupy more than 25% of the total PA area. Evidence may include formal PA maps, peer-reviewed articles or reports from reputable organizations.</p>	<p>C. Verify that evidence is available and credible, and that the farm does not occupy more than 25% of the PA area. Auditors should register and consult IBAT on Conservation International website https://www.ibatforbusiness.org/login. Auditors should verify that farm location and activities are compatible with PA zoning and management plan.</p> <p>% area occupied more than 25%? IBAT result: Not applicable. The farm is not located in PA with IUCN category V Other sources of information: Not applicable</p>				
		<p>d. For farms established on PA with IUCN category VI, provide evidence that the farm was built legally prior to the designation of the PA. Evidence may include government declarations, peer-reviewed articles or reports from reputable organizations.</p>	<p>D. Verify that evidence is available and credible. Auditors should register and consult IBAT on Conservation International website https://www.ibatforbusiness.org/login. Auditors should verify that farm location and activities are compatible with PA zoning and management plan.</p> <p>Year of designation: Not applicable. The farm is not located in PA with IUCN category VI Year of farm construction: 2003 IBAT result: Not applicable Other sources of information: Not applicable</p>				
		<p>e. For farms established on PA with IUCN category IV, provide evidence to the ASC that farm location and activities are compatible with PA zoning and management plan and that the ASC TAG approved for the farm to be considered for ASC certification.</p>	<p>E. Verify that evidence is available and credible. Auditors should register and consult IBAT on Conservation International website https://www.ibatforbusiness.org/login. Auditors should verify that farm location and activities are compatible with PA zoning and management plan.</p> <p>ASC TAG approved certification consideration? Date: Not applicable. The farm is not located in PA with IUCN category VI Farm is according to PA management plan? Not applicable Documentation: Not applicable. IBAT result: Not applicable</p>				
		<p>f. Others, please describe</p>					
<p>2.2.2</p>	<p>Indicator: Allowance for siting in mangrove ecosystems [16] and other natural wetlands [17], or areas of ecological importance as determined by the B-EIA or national/state/local authority plans/list.</p> <p>Requirement: None for farms built (with or without permits) after May 1999, except for pumping stations and inlet/outlet canals provided they have been permitted by authorities and an equivalent area is rehabilitated [18] as compensation. For farms built or permitted before May 1999, farmers are required to compensate/offset impacts via rehabilitation as determined by the B-EIA, or the national/state/local authority plans/list, or 50% of the affected ecosystem (whichever is greater) [19].</p> <p>Applicability: All</p>	<p>a. Provide a declaration that identifies the year of farm construction, specify dates of any subsequent farm expansions and specify date and reason of any mangrove or wetland conversion conducted after May 1999. Additionally, auditor should use land use maps of the area before and after 1999. These documents are usually available at the local government offices (Planning department). Satellite images before and after 1999 are also admissible when available.</p>	<p>A. Verify that the declaration is accurate during local community interviews. If mangrove or wetland conversion occurred after May 1999 for reasons other than establishment of pumping stations or canals, raise a NC. Auditor should use land use maps of the area before and after 1999, and should refer to the B-EIA which should include the baseline ecological conditions prior to farm establishment. These documents are usually available at the local government offices (Planning department). Satellite images before and after 1999 are also admissible when available.</p> <p>Farm Construction year: 2003 There was mangrove destruction after May 1999? No Confirmed by (maps, satellite images): Statement in Initial Environmental audit report (16/11/2015) Local community declaration: Interviewed local community and confirmed that the farm does not convert mangrove for aquaculture operation.</p>	<p>Compliant</p>			
		<p>b. For farms having converted mangrove/natural wetland ecosystems prior to May 1999, provide location and description (including surface area) of the area being rehabilitated. If natural regeneration has started in cleared areas and if propagules are establishing well, then this should be counted as "rehabilitation". Under these circumstances, regrowth is even more valuable than attempted rehabilitation that may or may not take successfully.</p> <p>Recommend that auditors should be provided with evidences of the conditions of the affected area that demonstrate rehabilitation</p>	<p>B. Verify that the rehabilitated area conforms to the requirements and that has a surface area as indicated in the B-EIA, as stated in legislation or of at least 50% of the area converted, whichever is greater.</p> <p>Mangrove hectares converted: Not applicable. The farm does not convert mangrove for aquaculture operation Local legislation % rehabilitation requirement: Not applicable Mangrove rehabilitation location: Not applicable Mangrove hectares rehabilitation area: Not applicable</p>				
		<p>c. For farms having converted mangrove/natural wetland ecosystems to construct pumping stations or inlet/outlet canals, provide location and description (including surface area) of the area being rehabilitated.</p>	<p>C. Verify that the rehabilitated area conforms to the requirements and that has a surface area as indicated in the B-EIA, as stated in legislation or is at least as big as the area converted, whichever is greater. Auditors should be provided with evidence of the conditions of the affected area that demonstrate rehabilitation, whether it is man-made, or natural, or a combination of both. The surface and the condition of the area rehabilitated should be confirmed. Refer to Appendix A at the end of the auditor manual.</p> <p>Mangrove conversion reason: Not applicable. The farm does not convert mangrove for aquaculture operation Area converted: Not applicable Local legislation % rehabilitation requirement: Not applicable Mangrove hectares rehabilitation area: Not applicable</p>				
		<p>d. Others, please describe</p>					

Criterion 2.3: Consideration of habitats critical for endangered species

2.3.1	<p>Indicator: Allowance for siting farms [26] in critical habitats of endangered species [27] as defined by the IUCN Red List, national listing processes [28] or other official lists [29]. Requirement: None Applicability: All</p>	<p>a. Present B-EIA report indicating whether the farm is located in an area considered a critical habitat for endangered species. Auditors should reference the interactive map on the AZE website: http://www.zeroextinction.org/</p>	<p>A. Review B-EIA report and confirm that the farm is not located in an area considered a critical habitat for endangered species. Auditors should reference the interactive map on the AZE website: http://www.zeroextinction.org/ Is the farm in critical habitats according to website? No. Is detailed in the B-EIA? Yes</p>	Compliant			
2.3.2	<p>Indicator: Maintain habitats critical for endangered species within farm boundaries and implement protection measures of such areas. Requirement: Implement protection measures of habitats identified by the B-EIA process [30]. Applicability: All</p>	<p>a. Do a search of published and grey (e.g. local newspapers, magazines) literature to identify endangered species that occur in the area.</p>	<p>A. Review search results for adequacy and completeness and that workers are aware of the endangered species and protection measures Number of endangered species in the area: The farm cannot provide the list of endangered species that occur in the area. Source of information: Not available Worker are aware of presence of endangered species and protection measures? Not available</p>	Minor	The farm cannot provide the list of endangered species that occur in the area. The farm can provide the list of marine and fresh water endangered species by national authorities, however there is not list of endangered species on land.	The farm cannot provide the list of endangered species that occur in the area. The farm can provide the list of marine and fresh water endangered species by national authorities, however there is not list of endangered species on land.	
<p>b. Determine whether any species occurring in the area are listed as endangered by relevant national authorities.</p>	<p>B. Review the source and accuracy of the list. National list available? The farm can provide the list of marine and fresh water endangered species by national authorities, however there is not list of endangered species on land. Issued by (authority): Ministry of Environment Date: Updated in 2017</p>						
<p>c. Prepare a list of all endangered species occurring in the area by combining results from 2.3.1(a) and 2.3.1(b) with results from the IUCN database search.</p>	<p>C. Review list for completeness. Compare with results from search of IUCN database for red list species. Auditor should verify that farm continues to implement the recommendations made by the BEIA consultant to maintain the habitat. Farm list of endangered species is coherent to the audit IUCN search? Not applicable, there is not list of endangered species on land. Briefly describe recommendations in BEIA to maintain habitat of endangered species: Not applicable, there is not list of endangered species on land.</p>						
<p>d. Prepare written procedures describing how the farm avoids negative impacts to endangered species that may occur on the farm. Procedures shall include a description of habitat being restored, if applicable.</p>	<p>D. Review procedures for adequacy. The farm's assessment of impacts on IUCN listed species should consider: (1) the regional Red List Category, (2) the global Red List Category, and (3) an estimate of the proportion (%) of the global population occurring within the region. Decisions on how these three variables, as well as other factors, are used for establish procedures on the farm to avoid negative impacts. It is important that if a regional population is more or less stable but constitutes only a small percentage of the global population, which is experiencing a net decline. that such species be given particular attention by the farm because protective actions that farms undertake will ultimately contribute to actions with global conservation significance. Procedures according 1, 2 and 3 are available? Not applicable, there is not list of endangered species on land. Describe impact assessment and measures: Not applicable</p>						
<p>f. Others, please describe</p>	<p>E. During local community interviews, verify there is no evidence that the farm is presently having a negative impact on endangered species by ensuring that town meetings are "minute" and the local community has been made aware of the critical species & what actions the farm is implementing to protect those species. The meeting summary should also contain a list of participants. Meetings with community: Yes, in place. Date: 12/09/2017 Number of participants: 03 At interview community members were informed about endangered species in the farm? Yes</p>						
Criterion 2.4: Ecological buffers, barriers and corridors							
2.4.1	<p>Indicator: Coastal barriers: Minimum permanent barrier (or natural) between farm and marine environments [34]. Requirement: As defined in legislation at the time of construction, or as determined by the B-EIA, or following the indications in the Guidance below, whichever is greater. Applicability: All</p>	<p>a. Provide a map or sketch of the farm indicating coastal buffers and measurements of buffer width.</p>	<p>A. Consulting legislation applicable at the time of construction and the BEIA report, verify that the width and status (by direct observation) of the buffer is adequate. Barrier wide in m: > 3kms Conditions of barrier (material, vegetation): Natural condition</p>	Compliant			
		b. Others, please describe					

2.4.2	<p>Indicator: Riparian buffers: Minimum width of permanent native and natural vegetation between farms and natural [35] aquatic/brackish environments [36]. Requirement: As defined in national legislation at the time of construction, or as determined is necessary by the B-EIA, or following the indications given in the Guidance below, whichever is greater. Applicability: All</p>	<p>a. Provide a map or sketch of the farm indicating buffers and measurements of buffer width.</p>	<p>A. Consulting legislation applicable at the time of construction and the BEIA report, verify that the width and status (by direct observation) of the buffer is adequate. Barrier wide in m: Not applicable. The farm is no located near river Conditions of barrier (material, vegetation): Not applicable</p>	N/A	Not applicable. The farm is no located near river	Not applicable. The farm is no located near river	
		b. Others, please describe					
2.4.3	<p>Indicator: Corridors: Minimum width of permanent native and natural vegetation through farms to provide human or native wildlife movement across agricultural landscapes. Requirement: As defined in national legislation at the time of construction, or as determined necessary for wildlife by the B-EIA, or access issues identified during B-EIA/p-SIA. Needs for wildlife movement identified during B-EIA. Applicability: All</p>	<p>a. Provide a map or sketch of the farm indicating corridors and measurements of corridor width. It is appropriate that issues of "corridors" within farm boundaries be discussed in periodic town meetings.</p>	<p>A. Consulting legislation applicable at the time of construction, B-EIA report and P-SIA report, verify that the width and status (by direct observation) of the corridors (if any) is adequate. It is appropriate that issues of "corridors" within farm boundaries be discussed in periodic town meetings. Map available: Yes. Area or number of corridor sites: 01 Corridor vegetation type: Road</p>	Compliant			
		b. Others, please describe					
Criterion 2.5: Prevention of salinization of freshwater and soil resources							
2.5.1	<p>Indicator: Allowance for discharging saline water to natural freshwater bodies [44]. Requirement: None Applicability: Farms located in or connected to natural freshwater bodies</p>	<p>a. Provide description of water management in the farm, specifying intake and discharge water bodies. Description shall include a written explanation of how the farm avoids intrusion of brackish or saltwater into freshwater aquifer areas.</p>	<p>A. Review description, assess accuracy and verify (also by direct observation) that there is no discharge of saline water into freshwater bodies. Auditors need to review BEIA report to review how surrounding water salinity monitoring occurs in reference to BEIA recommendations and that farm water is not affecting a salinity impact. Location and name of fresh water body: Not applicable. The farm does not discharge water to natural freshwater bodies BEIA recommendations to avoid salinity contamination: Not applicable.</p>	N/A	Not applicable. The farm does not discharge water to natural freshwater bodies	Not applicable. The farm does not discharge water to natural freshwater bodies	
		b. Others, please describe					
2.5.2	<p>Indicator: Allowance for the use of fresh groundwater in ponds Requirement: None Applicability: All</p>	<p>a. Provide description of water management in the farm, specifying intake and discharge water bodies, and the location of freshwater wells (even if seasonal) .</p>	<p>A. Review description, assess accuracy and verify (also by direct observation) that there is no use of fresh ground water in ponds. Fresh water source of the farm: Well water Does the farm use freshwater in ponds? No Evidence observed: Interviewed and onsite observation.</p>	Compliant			
		b. Others, please describe					
2.5.3	<p>Indicator: Water-specific conductance or chloride concentration in freshwater wells used by the farm or located on adjacent properties [45]. Requirement: For all freshwater wells (identified prior to full assessment), specific conductance may not exceed 1,500 µS/cm and/or chloride concentration may not exceed 300 mg/L [46]. Applicability: All well water. This criteria applies only to well water and does not apply to surface water. Farms located near freshwater wells or abstracting freshwater from the ground.</p>	<p>a. Maintain monthly records of specific conductance measured in a freshwater well on, or in proximity to the farm (within 1km radius or the closest well), or any well used by the farm whatever its distance from the farm is. Continue at least every six months after the first audit at periods of highest and lowest values, as determined during the initial monthly monitoring.</p>	<p>A. Confirm the farm has complete and accurate records for water-specific conductance or chloride concentration that begin prior to the date of the first audit and continue every six months thereafter, at periods of highest and lowest values, as determined during the initial monthly monitoring. For all freshwater wells. Number of fresh water wells: 01 First audit Initial value: The farm cannot provide monthly records of specific conductance measured in a freshwater well used by the farm. Sampling date: Not applicable. Next audits: Not applicable. This is initial audit Last year sampling dates: Not applicable Values: Not applicable.</p>	Major	The farm cannot provide monthly records of specific conductance measured in a freshwater well used by the farm. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor	Interviewed and found that the farm cannot provide monthly records of specific conductance measured in a freshwater well used by the farm. There was no conductance measurement be taken in presence of the auditor.	
		b. Arrange for a specific conductance measurement to be taken in presence of the auditor.	<p>B. Auditor supervises measurement and confirms compliance to the requirements. Audit value: The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor</p>				
		c. If water in freshwater wells exceeds conductance/salinity limits given by the requirement and such increase was due to a phenomenon outside the control of the farmer, provide evidence from the B-EIA report.	<p>C. - Provide evidence from the B-EIA report that such increase was due to a phenomenon outside the control of the farmer. Phenomenon that cause the increase: Not available Explained in BEIA? It is not mentioned in BEIA</p>				
		d. Others, please describe					

<p>2.5.4</p>	<p>Indicator: Soil-specific conductance or chloride concentration in adjacent land ecosystems and agricultural fields [47] [48].</p> <p>Requirement: No net increase when compared to the first year of monitoring</p> <p>Applicability: All farms</p>	<p>a. Maintain records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields. The B-EIA should identify the sampling stations and the frequency of monitoring. Auditors should refer to footnote [48] for specific guidance on monitoring criteria.</p>	<p>A. Confirm the farm has complete and accurate records of specific conductance and that specific conductance did not show any net increase (fluctuations that do not indicate an increasing trend are not considered a net increase). A cross check should be conducted to verify that the B-EIA reports sampling stations and frequency of monitoring are adhered to. Auditors should validate monitored data at least four points within the farm perimeter (one station per perimeter side). Monitored station should remain the same across years and identified on farm map.</p> <p>Number of sampling stations: None. The farm does not have records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields</p> <p>Map available: The B-EIA does not identify the sampling stations and the frequency of monitoring</p> <p>Sampling frequency: The B-EIA does not identify the sampling stations and the frequency of monitoring.</p> <p>Initial value: Not available</p> <p>Last year values: Not applicable. This is initial audit</p> <p>Increasing trend? Not applicable. This is initial audit</p>	<p>Major</p>	<p>The farm does not have records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields. The B-EIA does not identify the sampling stations and the frequency of monitoring. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor</p>	<p>The farm does not have records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields. The B-EIA does not identify the sampling stations and the frequency of monitoring. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor</p>	
		<p>b. Arrange for a specific conductance measurement to be taken in presence of the auditor</p>	<p>B. Auditor supervises measurement and confirms compliance to the requirements</p> <p>Audit values: The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor</p>				
		<p>c. If specific conductance has shown a net increase since the year of first monitoring. Provide evidence from an independent official organization (government agency, university) that such increase was due to a phenomenon outside the control of the farmer.</p>	<p>C. Provide evidence from an independent official organization (government agency, university) that such increase was due to a phenomenon outside the control of the farmer.</p> <p>Phenomenon that cause the net increase: Not applicable. There is no sign of net increasing as this is initial audit.</p>				
		<p>d. Others, please describe</p>					
<p>2.5.5</p>	<p>Indicator: Specific conductance or chloride concentration of sediment prior to disposal outside the farm.</p> <p>Requirement: The specific conductance or chloride concentration values must not exceed those of the soil in the disposal area [49].</p> <p>Applicability: All farms</p>	<p>a. Maintain records of specific conductance of sediment prior to disposal outside the farm and of specific conductance in the disposal area.</p>	<p>A. Confirm the farm has complete and accurate records and compliance to the requirement.</p> <p>Main records: Not applicable. The farm does not discharge sediment outside</p> <p>Examples: Conductance values: Not applicable</p> <p>Chloride concentration values: Not applicable</p>	<p>N/A</p>	<p>Not applicable. The farm does not discharge sediment outside</p>	<p>Not applicable. The farm does not discharge sediment outside</p>	
		<p>b. Arrange for a specific conductance measurement on the disposal area to be taken in presence of the auditor.</p>	<p>B. Auditor supervises measurement and confirms compliance to the requirement.</p> <p>Was Auditor Measurement possible? Not applicable. The farm does not discharge sediment outside</p> <p>Conductance values: Not applicable</p> <p>Chloride concentration values: Not applicable</p> <p>Values do not exceed? Not applicable</p>				
		<p>c. Others, please describe</p>					
<p>PRINCIPLE 3: DEVELOP AND OPERATE FARMS WITH CONSIDERATION FOR SURROUNDING COMMUNITIES [50][51]</p>							
<p><i>Criterion 3.1: All impacts on surrounding communities, ecosystem users and land owners are accounted for and are, or will be, negotiated in an open and accountable manner</i></p>							
<p>3.1.1</p>	<p>Indicator: Farm owners shall commission or undertake a participatory Social Impact Assessment (p-SIA) [52] and disseminate results and outcome openly in locally appropriate language. Local government and at least one civil society organization chosen by the community shall have a copy of this document. The p-SIA process and document includes a participatory (shared) impact and risk analysis with surrounding communities and stakeholders [53]. The participatory element (community input and response) is visibly included in the report. Outcomes as agreed between farm and surrounding</p>	<p>a. Provide a p-SIA inclusive of all items reported in Appendix II. For large scale farms (e.g. vertically integrated operations) the p-SIA must be commissioned to professional experts. A new p-SIA should be conducted at least every 3-years. > pre-audit preparations to include liaising with stakeholders provided by farms and also the NGO or union and local government. > triangulation is applied as audit technique: the verification of p-SIA reports and process includes at least one randomly chosen interviewee from the community stakeholders list the farm provides, and one from the local organisation the farm included in p-SIA processes, and one by audit firm identified local organisation that can be expected to know the area.</p>	<p>PSIA author: Mr Frank Jacob Katindi - HR Officer at farm</p> <p>Author references (degree, experience): Post Graduate Diploma in Mediation and Arbitration Certificate of labour laws Date of issue: Not provided</p> <p>PSIA According to appendix II checklist? No</p> <p>For recertification (3 years) a new PSIA was done? This is the farms first PSIA.</p> <p>Stakeholders interviewed (mention only organization name) Chairman of the Jimbo Village Mr. Mohamed Haji</p> <p>Evidence: p-SAI report for the Shrimp Farming Project in Mafia District, Coast Region Tanzania</p> <p>Professional experts' names: N/A</p> <p>Experience: N/A</p> <p>CVs verified? No</p> <p>PSIA Author field of expertise and experience: Not provided</p> <p>Other PSIA or similar studies done by the author: Not provided</p>	<p>Minor</p>	<p>The p-SIA does not adhere to all the steps outlined in Appendix II e.g. It was difficult to determine if sufficient time was provided for interested parties to participate and/or get informed as there is no execution plan with timeframes and or no records to proof the process. Attendance record for one meeting with each stakeholder dated the 21 and 23 August 2017 was provided but no records of agendas or discussion points and outcomes are not attached to the report. A copy of the report has not been provided to the Local government Mafia District Council or to a civil society organization chosen by the community. The conclusions or outcomes listed in the report has not been agreed between farm and surrounding community on how to manage risks and impacts included in the report. Develop and approve with all stakeholders a monitoring plan and indicators on both</p>	<p>It is noted that the p-SIA was conducted by the HR Manager of the farm. Credentials and proof of previous participatory consultation could not be verified to determine suitability of the commissioned person. The p-SIA does not adhere to all the steps outlined in Appendix II e.g. It was difficult to determine if sufficient time was provided for interested parties to participate and/or get informed as there is no execution plan with timeframes and or no records to proof the process. Attendance record for one meeting with each stakeholder dated the 21 and 23 August 2017 was provided but no records of agendas or discussion points and outcomes are not attached to the report. A copy of the report has not been provided to the Local government Mafia District Council or to a civil society organization chosen by the community. The conclusions or outcomes listed in the</p>	

	<p>community on how to manage risks and impacts are included in the report.</p> <p>Requirement: The p-SIA report adheres to the steps outlined in Appendix II; is available in the local government, the community and through the chosen community civil organization; and the report lists dates of meetings and names of participants.</p> <p>Applicability: All</p>	<p>b. For large scale farms, provide evidence of the experience of the professional experts commissioned. Verify the CV or resume and previous participatory consultation of the professional experts commissioned for the P-SIA conduction.</p> <p>c. Others, please describe</p>	<p>PSIA author: Mr Frank Jacob Katindi - HR Officer at farm Author references (degree, experience): Post Graduate Diploma in Mediation and Arbitration Certificate of labour laws Date of issue: Not provided PSIA According to appendix II checklist? No For recertification (3 years) a new PSIA was done? This is the farms first PSIA. Stakeholders interviewed (mention only organization name) Chairman of the Jimbo Village Mr. Mohamed Haji Evidence: p-SAI report for the Shrimp Farming Project in Mafia District, Coast Region Tanzania Professional experts' names: N/A Experience: N/A CVs verified? No PSIA Author field of expertise and experience: Not provided Other PSIA or similar studies done by the author: Not provided</p>		<p>MONITORING PLAN AND INDICATORS ON BOTH positive and negative risks and impacts.</p>	<p>THE CONCLUSIONS OF QUALITIES ISSUED IN THE report has not been agreed between farm and surrounding community on how to manage risks and impacts included in the report. Develop and approve with all stakeholders a monitoring plan and indicators on both positive and negative risks and impacts.</p>	
Criterion 3.2: Complaints by affected stakeholders are being resolved							
<p>3.2.1</p>	<p>Indicator: Farm owners shall develop and apply a verifiable conflict resolution policy for local communities. The policy shall state how conflicts identified in the p-SIA and new complaints will be tracked transparently, how third party mediation can be part of the process and explain how to respond to all received complaints. Complaint boxes, complaint registers and complaint acknowledgement receipts (in local language(s)) are used.</p> <p>Requirement: Completed</p> <p>Applicability: All</p>	<p>a. Prepare and ensure the application of a conflict resolution policy for local communities. Verify that the Conflict resolution policy tracks and addresses all the complaints identified by the P-SIA.</p> <p>b. Maintain records of all the people having received copy of the policy and also local NGO or Union and local government. Methods to document interactions with stakeholders should demonstrate that communication channels are effective, rather than stipulating distribution of a conflict resolution procedure.</p> <p>c. Maintain records of meetings (at least twice per year) held with local communities to identify and resolve conflicts. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least one meeting (this could be part of the p-SIA process if the p-SIA was conducted less than 6 months before the audit).</p> <p>d. Others, please describe</p>	<p>a) Conflict resolution format available? No Complaints case example: Complaints were tracked and solved?</p> <p>b) Number of copies delivered: None Organizations communicated:</p> <p>c) First audit Meeting date: Number of participants: Minute with plans available?</p> <p>Next audits Meetings dates: Number of participants: Minutes available?</p>	Minor	<p>It is noted that the farm has not develop and apply a verifiable conflict resolution policy for local communities.</p>	<p>It is noted that the farm has not develop and apply a verifiable conflict resolution policy for local communities.</p>	
<p>3.2.2</p>	<p>Indicator: Areas of conflict [54] or dispute are recorded and shared among farm, local government and surrounding community representatives. At least 50% of the conflicts shall be resolved [55] within one year from the date of being filed, and a total of 75% in the period between two successive audits.</p> <p>Requirement: Completed</p> <p>Applicability: All</p>	<p>a. Maintain a register of complaints, clearly identifying what complaints have been resolved and the resolution date. Verify application of policy (written or verbal) with at least one complainant. Check documentation on all actions taken in response to complaints. And verify with at least one attendant the accuracy of meeting minutes, agenda, agreements, actions.</p> <p>b. Maintain minutes of community meetings showing issues discussed and issues resolved.</p> <p>c. Maintain minutes of local government and community representatives (if applicable) meetings showing issues discussed.</p> <p>d. Others, please describe</p>	<p>a) Complaint format available? No Number of complaints recorded in 1 year: Could not be verified Number of complaints solved in one year: N/A Solved =>50%? Number of complaints recorded since last audit: Number of complaints solved since last audit: Solved =>75% Complaint example: Complaint date: Resolution date:</p> <p>b) Minutes for all complaints available? Could not be verified Complaint example: Number of attendants: Date:</p> <p>c) Minutes for all complaints available? Complaint example: Local government or representatives Date:</p>	Minor	<p>It is noted that the farm has a complaint procedure noted in the Alphakrust operational manual but does not include the stakeholders identified in the p-SIA.</p>	<p>It is noted that the farm has a complaint procedure noted in the Alphakrust operational manual but does not include the stakeholders identified in the p-SIA.</p>	
Criterion 3.3: Transparency in providing employment opportunities within local communities [56]							

3.3.1	<p>Indicator: Farms shall document evidence of advertising positions to people living within daily traveling distance from the farm before hiring people who cannot travel to and from home on a daily basis [57].</p> <p>Requirement: Proof of dated job opening advertisements in surrounding villages, by means of either/or signposts, billboards or ads in local magazines or newspapers.</p> <p>Applicability: Medium and large scale farms: those who hire more than one permanent worker, non local worker.</p>	<p>a. Provide evidence of local advertising of positions hired where employees are coming from a location other than the location area of the farm. Can be verified during interviews with workers</p> <p>b. Present a list containing name, address and contact number of all the people consulted to advertise the position in the local community. Can be verified during interviews with workers</p> <p>c. Others, please describe</p>	<p>a) Local advertisement done by (posting in public places, radio, local habitants): When the farm require workers at the farm, vacant positions are advertised by "word of mouth". Current employees will spread the news that the farm require workers. This type of advertising is effective and the workers confirmed during the interviews that the method is effective and is preferred. Recently the farm has contacted the Department of Fisheries to assist with placing adverts for vacancies for skilled workers in departments such as quality, laboratory and production. Mechanism confirmed by local workers? Workers confirmed during tye interviews that the current method of advertising is effective and is preferred.</p> <p>b) List of name available?: The representative of the Department of Fisheries, Mr Abdullah Hussein confirmed that they have not yet received any application. Does it contain names, address and contact number?: Number of people contacted to advertise the position: Not provided N° Interviews: N/A</p>	Compliant			
3.3.2	<p>Indicator: Justifications for employment of each worker are available, and based on profile and merits (skills, experience or CV in the case of hired migrant worker).</p> <p>Requirement: Written and dated records of applications and interviews with applicants, including stating whether they are from an outside community or from the local area. Records must also state reasons for successful or unsuccessful applications. Name and contact details of applicants will make verification possible.</p> <p>Applicability: Medium and large scale farms: those who hire more than one permanent worker, non local worker.</p>	<p>a. Maintain employee register also indicating place of origin.</p> <p>b. Provide dated records of applications and interviews. Can be verified during interviews with workers</p> <p>c. Provide a written explanation for employing workers outside the local community.</p> <p>d. Others, please describe</p>	<p>a)Employee record detail place of origin (actual living area)? Yes the employee list include place of origin</p> <p>b)Number of Job Application forms reviewed: Job applicant forms are only used for management. Other jobs advertised by "word of mouth". Skills labour such as welder, electrician provide CV and proof of skill during interview. Number of interviews results reviewed: 26 Confirmed by interviews with workers? Workers confirmed during interviews that jobs are advertised by word of mouth.</p> <p>c)Number of not local workers hired: 7 x management from India Written explanation available for all cases? Skills not available in Tanzania Example of explanation: Not verified kept at head office.</p>	Compliant			
Criterion 3.4: Contract farming [58] arrangements (if practiced) are fair and transparent to the contract farmer							
3.4.1	<p>Indicator: Written contract agreements</p> <p>Requirement: The contracts are written in an appropriate language [59], and co-signed copies are kept by both parties.</p> <p>Applicability: Producers practicing contract farming</p>	<p>a. Ensure that all contracted farms have copies of contracts in an appropriate language and co-signed copies are available to both parties (i.e. contractor and contracted party).</p> <p>b. Others, please describe</p>	<p>Farm has a copy of contract? Contracts are signed by both, farm and contractor?</p>	N/A	No contract farming at the facility.	No contract farming at the facility.	
3.4.2	<p>Indicator: Contract provisions</p> <p>Requirement: The contracts comply with the Appendix III (part A) on content of basic provisions to ensure that conditions of the agreement are mutually understood.</p> <p>Applicability: Producers practicing contract farming</p>	<p>a. Ensure that all farm contracts comply with the requirements in Appendix III. Additionally, verification with workers working for the smaller party in the contract relationship to verify the application of the contracted conditions</p> <p>b. Others, please describe</p>	<p>All appendix III requirements covered in contracts? Compliance in contracts conditions confirmed by workers?</p>	N/A	No contract farming at the facility.	No contract farming at the facility.	
3.4.3	<p>Indicator: Transparency and openness of negotiations</p> <p>Requirement: Meetings between the purchaser and the contract farmers to discuss and negotiate agreements are held at least twice a year and documented. Meetings are attended by at least three representatives of the farm group or cooperative. All members contributing to the supply contract must sign their agreement to the negotiated terms.</p> <p>Applicability: Producers practicing contract farming</p>	<p>a. Maintain minutes of meetings with at least three representatives of the contracted farmers showing issues discussed.</p> <p>b. Others, please describe</p>	<p>Dates of meetings: # of Participants: Number of members signed agreement:</p>	N/A	No contract farming at the facility.	No contract farming at the facility.	
PRINCIPLE 4: OPERATE FARMS WITH RESPONSIBLE LABOR PRACTICES [60]							
Criterion 4.1: Child labor and young workers [62]							

4.1.1	<p>Indicator: Minimum age of hired workers [61]</p> <p>Requirement: 18 years of age</p> <p>Applicability: All</p>	<p>a. Maintain a list of all employees employed in the farm indicating date of birth. > verify employee list for age and criterion (or ID) on which this was determined. > verify starting dates of employment. > verify child labour policy statement. > use observation on site and random interviews with workers</p> <p>b. Maintain copies of the official ID of all the employees listed showing date of birth.</p> <p>c. Ensure that no employee is younger than 18 years old (use birthdate to calculate exact age), see footnote.</p> <p>d. Provide a declaration stating that the farm is against child labor and will not employ anybody younger than 18 years old. Employment procedures for the farm cite that employment will not be offered to individuals under 18 years of age.</p> <p>e. Others, please describe</p>	<p>a)Employee record includes: Date of birth? Yes Determined by: Providing National ID, Voters registration card, drivers licence. Starting date? Yes Number of records reviewed: 26 Child labor policy available? Yes, include in the employment policy Number of confirmations of working age: 216 employees</p> <p>b)ID copies available? Yes</p> <p>c)Are there employees under 18 years old? No Sample: Date of birth: 11 November 1996 Date of audit: 12 September 2017 Exact age: 21 years</p> <p>d)Declaration available stating not employ or offer work to individuals under 18 years old? Yes stated in employment policy document</p>	Compliant			
Criterion 4.2: Forced, bonded compulsory labor [66]							
4.2.1	<p>Indicator: Right to full final payment and benefits</p> <p>Requirement: Employers will not withhold any part of employee salary, property or benefits upon the termination of employment.</p> <p>Applicability: All</p>	<p>a. Ensure that all contracts clearly state workers' freedom to terminate their employment and receive full payment until the last day of their employment. > interview randomly workers as to their rights and obligations in ending a contract. > interview random workers if deposits have been lodged. > verify their understanding of farm policies. > verify with left workers whether payments have been made appropriately and no debts left behind.</p> <p>b. Ensure that workers' rights as indicated in this Requirement are duly respected.</p> <p>c. Ensure that the farm does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for the employer.</p> <p>d. Ensure that no employee is obligated to work at the farm to repay debt.</p> <p>e. Others, please describe</p>	<p>a)Do contracts state freedom to terminate work and full payment? Yes Clause number or page: Permanent contract clause 13 and fixed term contract clause 3. Workers showed awareness at interview? Workers confirmed during interviews that they are aware of the termination terms and the termination clauses in the contracts. Number of interviews: 26 There is evidence of deposit lodged or debts? None at the time of the audit and workers confirmed during the interviews that such practises do not exist.</p> <p>b)Is the requirement respected? Yes, workers confirmed during interviews that they are free to terminate employment after a notice period. Records reviewed: Proof of final payments reviewed Dates: 1 x November 2016, 3 x December 2016, 1 x January 2017</p> <p>c)Farm withhold any money from workers to keep them working? None noted and workers confirmed during interviews that such practises do not exist. Verified by: Mr Frank Katindi - HR Officer Records: 26 personal files reviewed Interviews number: 26</p> <p>d)Workers are obligated to work to repay debts? None noted and workers confirmed that such practise do not exist. Verified by: Mr Frank Katindi - HR officer Records: 26 personal files reviewed Interviews number: 26</p>	Compliant			
4.2.2	<p>Indicator: Employees have the right to keep identity documents and work permits</p> <p>Requirement: Hired workers are not required to surrender</p>	<p>a. Ensure that nobody in the farm or on behalf of the employer withholds employee's original identity papers. > Verify with random verification with workers</p> <p>b. Others, please describe</p>	<p>Workers original ID are kept? The farm make a copy of the ID and the original is returned to the employee Verified by: Mr Frank Katindi - HR Officer and worker interviews</p>	Compliant			
4.2.3	<p>Indicator: Hired workers have the freedom of movement outside working hours</p> <p>Requirement: Hired workers shall be free to leave the workplace and manage their resting time</p> <p>Applicability: All</p>	<p>a. Ensure that employee are free to leave the workplace and manage their resting time. > Verify by reviewing any employee introduction packages or worker manuals. > check logbooks and clocking records. > verification interviews with workers and guards.</p> <p>b. Others, please describe</p>	<p>Are workers free to manage resting time? Yes Stated at: Verbal understanding. Records verified: 26 Number of interviews: 26 Working day ends at: The farm operates a three shift system 6 days per week. First shift ends at 14:30, second shift ends at 22:30 and last shift ends at 06:30</p>	Compliant			
Criterion 4.3: Discrimination [70] in the work environment							

4.3.1	<p>Indicator: Anti-discrimination policy in place, including, but not limited to, how to deal with discrimination in the workplace and equal access to all jobs in relation to gender, age, origin (locals vs. migrants), race or religion, and outlining clear and transparent company procedures are to raise/file and respond to discrimination complaints. Clear and transparent company procedures are outlined to raise/file and respond to discrimination complaints.</p> <p>Requirement: Policy document is available on farm and its content is known by workers. Evidence that the procedures are in place and being used. No complaints from workers as to adherence to it.</p> <p>Applicability: All</p>	<p>a. Provide and ensure the implementation of an anti-discrimination policy, stating that the company does not engage/support 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. Verify that all the workers have received a copy of the anti-discrimination policy and/or are aware and understand the policy. Confirm that they are aware of its content.</p>	<p>Is an anti-discrimination policy in place? Yes policy included in the employment policy Signed by: The General Manager - Mr. Ganeshan Vedagiri Issue date: Issued 4 January 2005 and last revision 2 January 2017 Includes all conditions in the requirement? Yes Number of workers receiving a copy: Copies are not distributed, but training was provided on policy. Training provided was also conducted in local language. Training was conducted on the 14 February 2017 Understanding confirmed at interviews? Interviewed workers confirmed that they understand the requirement and aware of the contents. Number of interviews: 26</p>	Compliant			
		b. Others, please describe					
4.3.2	<p>Indicator: Number of incidences of discrimination</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Maintain a register with complaints (including complains on discrimination).</p>	<p>Complaint format available? Complaints procedure, complaints form and suggestion/complaint boxes Discrimination complaints recorded: None Example of 1 case and solution: N/A</p>	Compliant			
		b. Others, please describe					
4.3.3	<p>Indicator: Equality of salaries and opportunities. All hired workers, independent of their gender, origin, race or religion, receive equal pay, benefits, promotion opportunities, job security arrangements and training opportunities for equal work at equal role and experience levels within the same hierarchical position.</p> <p>Requirement: Evidence of equality of salaries and opportunities.</p> <p>Applicability: All</p>	<p>a. Maintain records of employees' salary changes, promotions and training opportunities. For first audits, farm records must cover ≥ 6 months.</p>	<p>Number of promotions or salary changes recorded: No promotions noted and 40 salaries to verify hierarchical levels and equal pay for equal work. Dates: August 2017</p>	Compliant			
		b. Others, please describe					
4.3.4	<p>Indicator: Respect of maternity rights and benefits</p> <p>Requirement: Employers shall not test for pregnancy and shall not sanction and/or dismiss on the basis of marital status and shall guarantee legal rights to pregnancy/maternity leave.</p> <p>Applicability: All</p>	<p>a. Provide and ensure the implementation of a policy protecting pregnant and lactating mothers. Minimally adhere to public policy, but even in absence thereof, some degree of protection must be applied and accounted for. > check existence of special/adjusted work schedules for pregnant or lactating women. > medical records reflect pregnancy/lactation (do note the prohibition on demanding to be told one is pregnant!). > there is a risk analysis regarding pregnancy/lactation and worker health and safety.</p>	<p>Pregnant and lactating mother's protection policy available? Signed by: Issue date: Cases of pregnant mothers in the last 6 months (initial audit) /year (next audits): Working hours: Company ask in any way to inform when worker is pregnant? Medical record available? Health and safety risk assessment includes pregnant women? Issue/review date:</p>	N/A	The farm does not have employ females .	The farm does not have employ females .	
		b. Others, please describe					
<i>Criterion 4.4: Work environment health and safety</i>							
4.4.1	<p>Indicator: Percentage of workers trained in health and safety practices, procedures and policies relevant to the job. Safety equipment provided and maintained and in use.</p> <p>Requirement: 100% of workers trained. Certificates of training issued by the relevant competent national or provincial authority or by such an authority-recognized training center are required for operations with more than five employees [71] and evidence that safety equipment is in use by workers.</p> <p>Applicability: Farms with more than 5 employees</p>	<p>a. Maintain records and copies of training certificates for all employees. Where governments programs don't offer training private training from independent companies and from an HR department with a well structured plan. > Auditors should check and verify the credentials of the organisation providing the training.</p> <p>b. Ensure that all workers use safety equipment as applicable. For equipment that is on site, it should show signs of (recent) use, and is in effective working condition.</p> <p>c. Others, please describe</p>	<p>a)Health and Safety training date/s: The only date provided for H&S training for 37 employees was the 9 February 2017 Trained by: The farm manager Mr Lenin Raj Trainer references: Not available</p> <p>b)Activities observed requiring PPE: Welder, pond workers, construction workers. PPE used: Welders provided with goggles, gloves, aprons, waterboots with steel points. Pond workers water boots and construction workers water boots with steel points, goggles and hard hats. PPE available in a sufficient quantity for workers?Yes PPE operative? PPE in good condition and provided annually.</p>	Major	<p>a). It is noted that 37 of the 223 employees were trained on the 9 February 2017, the balance of the employees still to be trained. Also no proof could be provided that recent appointed employees received H&S induction training. No previous training records were provided. c) It is noted that facility does not have a complete risk assessment that identifies risks associated with job activities.</p>	<p>a). It is noted that 37 of the 223 employees were trained on the 9 February 2017, the balance of the employees still to be trained. Also no proof could be provided that recent appointed employees received H&S induction training. No previous training records were provided. c) It is noted that facility does not have a complete risk assessment that identifies risks associated with job activities.</p>	
	<p>Indicator: Monitoring of accidents and incidents and corrective actions.</p>	<p>a. Maintain records of all accidents and corrective actions taken. For first audits, farm records must cover ≥ 6 months.</p>	<p>a)There is an accidents and corrective actions format available? An incident accident register is in place and the HR Officer is responsible for the register. Number of recorded accidents cases in the last 6 months:</p>	Compliant			

4.4.2	<p>Requirement: All job-related accidents and incidents must be recorded and corrective actions must be documented and implemented.</p> <p>Applicability: All</p>	<p>b. Ensure that corrective actions are in place as relevant. In cases where continued repetition of same class of accidents are reported, a historical trend of decreasing frequency should be demonstrated.</p>	<p>None recorded Example of case and corrective action: N/A</p> <p>b)Corrective action reviewed at a. implemented on site? N/A Example of recurrent accident: Initial number of cases: Actual number of cases:</p>				
c. Others, please describe							
4.4.3	<p>Indicator: Medical expenses coverage.</p> <p>Requirement: Employer must provide a proof of coverage of all expenses related to any accident/injury occurring under the responsibility of the employer when not covered under national law.</p> <p>Applicability: All</p>	<p>a. Provide evidence of the list of all permanent workers and evidence of health insurance coverage for all workers.</p>	<p>Number of workers:223 Number of workers with insurance: 223 Verified by: Workers Compensation Registration number 000866 as provided by Mr Frank Katindi - HR Officer Reviewed the proof of last payment made on the 29 August 2017</p>	Compliant			
b. Others, please describe							
<i>Criterion 4.5: Minimum and fair wages [73] or "decent wages"</i>							
4.5.1	<p>Indicator: Minimum wage level as applicable to their specific job/task description.</p> <p>Requirement: All hired [74] workers, including temporary workers, must receive pay greater than or equal to legally set minimum wage according to country or region in country (whichever applies). Payments must be done: in legal tender, at the workplace or in the worker's bank account, at the frequency specified in the contract, with clearly documented pay slips given to workers, including identification of any deductions, advanced payments and/or agreed contributions.</p> <p>Applicability: All</p>	<p>a. Be in possession of legal documents showing minimum wages for the location where the farm operates. > verify contracts; wage records, and pay slips. > verify overtime rates. > verify the termination records. > verify for debts and deductions and/or deposits. > random check with workers whether they know legal minimum wage and whether records reflect reality.</p> <p>b. Maintain copies of employees' contract and ensure that at least minimum wages are paid to employees.</p> <p>c. Maintain receipts of salary payments, signed by workers. For first audit, receipts must cover ≥ 6 months.</p> <p>d. Ensure that pay slips given to workers include identification of any deductions, advanced payments and/or agreed contributions.</p>	<p>a)Carregar minimum wage: Minimum wage is stipulated by the United Republic of Tanzania by the Ministry of Labour and Employment effective date 1 July 2013 is TSH100 000.00 per month and TSH 3850.00 per day. Payment form: Wages paid into personal bank accounts Payment frequency: Monthly on the first day of the month Number of payrolls reviewed: 26 Dates: For the months of March, April, May, June, July and August 2017</p> <p>b)Contracts mention payment according minimum legal wage? Yes Clause/page number: Fixed term contract indicate basic wage in clause 4. The permanent contract indicate wage payable in clause 6.1</p> <p>c)Are salary payments signed by workers? Yes Number of records reviewed: 26 Dates: For the months of March, April, May, June, July and August 2017</p> <p>d)Payslips include clear description of deductions and advanced payments? Deductions allowed by law, income tax, PPF - pension fund, NSSF - National Social Security Fund and PSPF Relief - Parastatel Pension Fund Number of records reviewed: 26 Dates: For the months of March, April, May, June, July and August 2017</p>	Compliant			
e. Others, please describe							
4.5.2	<p>Indicator: Permanent workers are paid fair wages. Salaries, if not already at a "fair wage" level, are gradually increased to include sufficient funds for a worker's basic needs plus a discretionary income that allows for savings and/or pension payments</p> <p>Requirement: Evidence available confirming fair wages or gradual pay rises through time-series of pay slips in farm administration and in the hands of workers</p> <p>Applicability: All</p>	<p>a. If minimum wage has not been established by law, calculate basic needs wages, in consultation with workers and their representative organizations, and cost of living assessments from credible sources. Document the process and ensure that all workers have access to it at reasonable times.</p> <p>b. Maintain records of salary payments as in 4.5.1c, showing fair wages or progressive pay increase.</p>	<p>a)Calculation components: Minimum wage is stipulated by the United Republic of Tanzania by the Ministry of Labour and Employment effective date 1 July 2013 is TSH100 000.00 per month and TSH 3850.00 per day. Cost living assessment sources: National minimum wage Calculation and sources available for workers? Yes as per prescribed minimum wage for Tanzania Frequency: The government of Tanzania review the minimum wage every 5 years Basic wage at audit: Yes</p> <p>b)Payslips show basic wage: Yes Number of records reviewed: 26 Dates: For the months of March, April, May, June, July and August 2017</p>	Compliant			
c. Others, please describe							
4.5.3	<p>Indicator: Punishment through infringement of workers' rights or wages.</p> <p>Requirement: No allowance for withholding any part or all of worker salaries, benefits or rights acquired or stipulated by law. Not even as punishment of (alleged) wrongdoings on the part of the worker (cf. ILO 29 and 105).</p> <p>Applicability: All</p>	<p>a. Ensure that all employees are consistently treated with dignity and respect (e.g. no physical abuse).</p> <p>b. Ensure that no deductions in pay and/or benefits for disciplinary actions (e.g. For the accidental breaking of equipment).</p>	<p>a)Interviews declarations: The workers confirmed during the interviews that they are always treated with respect and dignity and that they are no aware of any physical abuse. Number of workers interviewed: 26</p> <p>b)Are deduction for disciplinary actions made? No Number of records reviewed: 26 Deductions examples: Advances and loans</p>	Compliant			
c. Others, please describe							

4.5.4	<p>Indicator: There is a mechanism for setting wages and benefits (including, if applicable, the combination of pay and harvest sharing arrangements).</p> <p>Requirement: Decision-making criteria and processes for wage and benefit adjustments are known by all workers</p> <p>Applicability: All</p>	<p>a. Provide a declaration stating the mechanism used for setting wages.</p> <p>b. Ensure that employees are aware of the mechanism used for setting wages.</p> <p>c. Others, please describe</p>	<p>a)Is the setting wages mechanism declared? Yes as per the minimum wage stipulated by the United Republic of Tanzania by the Ministry of Labour and Employment. Date: Effective date 1 July 2013 is TSH100 000.00 per month and TSH 3850.00 per day.</p> <p>b)Workers are aware of mechanism? Workers confirmed during interviews that they are aware of the minimum wage that is applicable. Number of workers interviewed: 26</p>	Compliant			
4.5.5	<p>Indicator: Revolving labor-contract schemes designed to deny long-time workers full access to fair and equitable remuneration and other benefits</p> <p>Requirement: Prohibited</p> <p>Applicability: All</p>	<p>a. Ensure that contracting schemes does not deny long-time workers full access to fair and equitable remuneration and other benefits.</p> <p>b. Others, please describe</p>	<p>Contracts duration: 6 months If renewed periodically, frequency: Every 6 months The contracting scheme avoid payment of long-term benefits? All employees irrelevant of employment status are provided with the same benefit of a pension fund. Number of contracts reviewed: 26</p>	Compliant			
Criterion 4.6: Access to freedom of association and the right to collective bargaining							
4.6.1	<p>Indicator: Percentage of workers with access to trade unions, worker organizations, and/or have the ability to self-organize and the ability to bargain collectively [75] or to have access to representative(s) chosen by workers without management interference</p> <p>Requirement: 100% of workers have access, if they so choose, to worker organizations capable of representing them independently from the employer.</p> <p>Applicability: All</p>	<p>a. Maintain copies of employees' contracts and ensure that co-signed contracts don't explicitly restrict the right to associate freely.</p> <p>b. Ensure that workers have the freedom to form and join any trade union and/or worker association, and are 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' organizations.</p> <p>c. Ensure that trade unions and/or civil society organizations involved in Labor rights, are able to access/inform all workers directly (posters, pamphlets, visits).</p> <p>d. Ensure that trade union and/or civil society representatives have access to their members in the workplace at mutually agreed time with farm management.</p> <p>e. Provide a declaration explicitly stating the employer's commitment to freedom of association and collective bargaining rights of all. > Not absolutely necessary on paper. This declaration is known by workers as well as its intent. In very restricted environments this mutual agreement (= to allow + not to abuse) has been known to exist verbally in the presence of trusted civil society organizations. Employers can indicate how they did this and auditors can verify that.</p> <p>f. Others, please describe</p>	<p>a)Contracts terms restrict right of association? Contracts don't contain clauses that restrict freedom of association. The farm has a membership to a trade union clause in the employment policy.</p> <p>b)Are workers free to form and join union or workers organizations that are not in control of employer? Yes Verified by: Mr Frank Katindi - HR Officer Workers declarations: Worker confirmed during the interviews that they are aware of this requirement and some employees are members of TUICO (Tanzania Union of Industrial and Commercial Workers)</p> <p>c)Unions or organization names operating in the farm (if any): TUICO (Tanzania Union of Industrial and Commercial Workers) Evidence of free operation: 2 elected shop stewards.</p> <p>d)Are union/organization representatives able to meet members at workplace? Yes Last meeting date: Nov 2016</p> <p>e)Explicit declaration form (meeting, published, etc): The farm has a membership to a trade union clause in the employment policy. If meeting or training, date: N/A If published, places: Included in the Employment policy Workers are aware at interview? Workers confirmed during the interview that they are aware of the requirement and that membership is voluntary and no restriction on membership exist. For restricted environments (islands, isolated farms), name of civil organization present: Verified by: Date of meeting:</p>	Compliant			
4.6.2	<p>Indicator: Members of unions or worker organizations are not discriminated against by employers</p> <p>Requirement: Employers shall not interfere with or penalize workers for exercising their right of representation.</p> <p>Applicability: All</p>	<p>a. Ensure that employees are not hindered in exercising their right of representation.</p> <p>b. Others, please describe</p>	<p>Are Union/worker organization members discriminated? None noted and workers confirmed during interviews that such practises do not exist. Number of union members interviewed: 4 Union member's declarations: Members confirmed that they are not hindered or penalized in exercising their right of representation.</p>	Compliant			
Criterion 4.7: Harassment and disciplinary practices in the working environment causing temporary or permanent physical and/or mental harm							
		<p>a. Ensure that disciplinary measures are fair and that there are no instances of abuses. Auditor should review records of disciplinary actions taken by employer; to whom; and the reason for doing so. In this way, auditor can quantify the different DAs rendered</p>	<p>a)Disciplinary actions types: Verbal warnings, first, second and final written warnings and immediate dismissal. Records available detailing action, to whom and reason? Yes Records reviewed: 4 Dates: Dec 2016, February 2017, April 2016 and Aug 2017 1 case example: The fixed term employee misused official working hours to conduct</p>	Compliant			

4.7.1	<p>Indicator: Fairness of disciplinary measures</p> <p>Requirement: No instances of abuses [76].</p> <p>Applicability: All</p>	<p>b. Maintain records of any action taken in response to instances of harassment or abusive disciplinary actions. Response shall be appropriate and intended to prevent re-occurrence. > in cases where no written records exist or are incomplete: verify with union or WA or NGO as indicated by the workers. Auditors should cross-check that issues were addressed in community meetings through compliance with the PSIA and where an "alert incidence" exists, should verify with external labor commissioner/agent.</p>	<p>personal side line business.</p> <p>b)Cases of abusive disciplinary actions reported? None Number of Cases: 0 Date: 0 1 example and actions taken by employer: N/A For no records or incomplete records, WA, union or NGO verified: Cases addressed in PSIA? N/A Meeting date: There is any alert incident? None noted Verified with labor commission agent? N/A</p>				
c. Others, please describe							
4.7.2	<p>Indicator: Clear, fair and transparent disciplinary policies and procedures</p> <p>Requirement: Evidence of documentation and communication to all workers</p> <p>Applicability: All</p>	<p>a. Provide and ensure the implementation of an anti-harassment and abusive disciplinary action policy. Auditor should ascertain that copies of the anti-harassment and abusive disciplinary policies are annexed to the worker contracts and that the worker was fully verbally briefed on the policy.</p>	<p>Policy issue date: Included in the Employment policy. Available in contract? Training provided and disciplinary action displayed Workers showed awareness at interview? The workers interviewed are aware of the disciplinary procedures and anti harassment. The workers mentioned that no excessive disciplinary actions are applied and felt that disciplinary procedures are fair. Number of workers interviewed: 26</p>	Compliant			
b. Others, please describe							
4.7.3	<p>Indicator: Prohibition of harassment</p> <p>Requirement: Evidences that any instances have been addressed and resolved</p> <p>Applicability: All</p>	<p>a. Maintain records of any action taken in response to instances of harassment. Response shall be appropriate and intended to prevent re-occurrence. > in cases where no written records exist or are incomplete: verify with union or WA or NGO as indicated by the workers.</p>	<p>Cases of harassment reported? None at the time of the audit Number of Cases: 0 Date: 1 example and actions taken by employer: N/A For no records or incomplete records, WA, union or NGO verified:</p>	Compliant			
b. Others, please describe							
<i>Criterion 4.8: Overtime compensation and working hours</i>							
4.8.1	<p>Indicator: Maximum number of regular working hours: Eight hours/day or 48 hours/week (maximum average over 17 week period) including "stand-by" hours; with at least one full day (including two nights) off in every seven-day period</p> <p>Requirement: Reflected in records available on the farm and 100% compliance expressed in worker interviews [77].</p> <p>Applicability: All</p>	<p>a. Maintain timesheets or worker attendance roll document signed by the worker. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Ensure that the regular time worked by farm workers does not exceed 8h/day or 48h/week.</p>	<p>a)Legal local working hours/week: 45 hours per week Legal local working hours / day: 9 hours per day Period working hour's records reviewed: For the months of March, April, May, June, July and August Signatures available: Each employee sign attendance registers at starting time and end times.</p> <p>b)Average working hour's day / week: 8 hours per day Any case of exceed working hours? Yes during harvesting If yes number of cases and dates: 2 out of sample of 26. For the months of March, April, May, June and July</p>	Minor	<p>It is noted that the employees involved with harvesting does not receive a day off after every 7 days worked. The farm's employment policy and the fixed term employment contract clearly states that after every 6 days worked the employee will receive a day off. Consecutive days worked varied from 8, 9 and 14 days.</p>	<p>It is noted that the employees involved with harvesting does not receive a day off after every 7 days worked. The farm's employment policy and the fixed term employment contract clearly states that after every 6 days worked the employee will receive a day off. Consecutive days worked varied from 8, 9 and 14 days.</p>	
c. Others, please describe							
4.8.2	<p>Indicator: Right to leave the farm after completion of daily work duties</p> <p>Requirement: Evidence of freedom of movement for all employees</p> <p>Applicability: All</p>	<p>a. Ensure that workers can leave the farm during their allocated free time (i.e. any time when they are not working).</p> <p>b. Maintain copies of employees contract and ensure that labor contracts clearly state workers' right to leave.</p>	<p>a)Working time ends at: The farm operates a three shift system 6 days per week. First shift ends at 14:30, second shift ends at 22:30 and last shift ends at 06:30 Workers are free to leave? Yes Confirmed by: Workers confirmed during te interviews that they are free to leave at the end of the working day.</p> <p>b)Contracts states the right to leave at free time? No the permanent contract in clause 7 mention the end time of the working day, but the employment contract does not clearly state the workers right to leave. Number of contracts reviewed 26</p>	Minor	<p>It is noted that the permanent contract in clause 7 mention the end time of the working day, but the employment contract does not state that workers have the right to leave the farm after the end of the working day.</p>	<p>It is noted that the permanent contract in clause 7 mention the end time of the working day, but the employment contract does not state that workers have the right to leave the farm after the end of the working day.</p>	
c. Others, please describe							
4.8.3	<p>Indicator: Minimum time off from work, with the right but not the obligation to leave farm premises if accommodations are on the farm, except where both the employer and employee agree that off-days cannot be accommodated on the farm</p> <p>Requirement: Four full 24-hour periods per month</p> <p>Applicability: All</p>	<p>a. Ensure that all workers have at least 4 days/month off.</p> <p>b. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months.</p>	<p>a)Local legal rest days /week or month: After every 6 days worked one day off Workers have time off in or out the farm? Workings staying on the farm confirmed during interviews that they can leave the farm any time and after 5 and a half days they can go home. Is the time off respected? Workers confirmed that their rest days are respected</p> <p>b)Period of time off records reviewed: For the months of March, April, May, June, July and August 2017</p>	Compliant			
c. Others, please describe							

4.8.4	<p>Indicator: Transport provided to workers (in cases where farm locations are remote) to allow workers to enjoy relaxation at home, with family or in places of recreation of their choosing.</p> <p>Requirement: The farm owner shall provide transport to and from the first location from which regular public</p>	<p>a. Ensure that employees receive transport to and from the first location from which regular public transport is available.</p> <p>b. Others, please describe</p>	<p>Transport is provided? Transport is not required as workers are all living within walking distance from the farm not further than 3-5 km. Other workers have own motor cycles. Kind of transport: N/A First location with public transportation: On the road to the farm</p>	Compliant			
4.8.5	<p>Indicator: Overtime compensation is provided</p> <p>Requirement: Paid at a premium rate[78] of at least 25% above the wage for normal hours</p> <p>Applicability: All</p>	<p>a. Ensure that for all employees, overtime hours are paid at a premium rate of at least 25% above the wage form normal hours.</p> <p>b. Maintain records of payments for overtime hours.</p> <p>c. Others, please describe</p>	<p>a)Local legal premium for regular overtime hours: 150% of normal hourly wage. Farm premium for regular overtime hours: 150% of normal hourly wage. b)Is Overtime premium of at least 25% paid? Yes Period reviewed: For the months of March, April, May, June, July and August 2017</p>	Compliant			
4.8.6	<p>Indicator: Overtime is voluntary, and not longer than 12 hours/week.</p> <p>Requirement: Occasionally (not on a regular basis).</p> <p>Applicability: All</p>	<p>a. Ensure that for all employees, overtime hours are voluntary.</p> <p>b. Ensure that for all employees, overtime hours do not exceed a maximum of 12h/week.</p> <p>c. Ensure that for all employees, overtime hours occur on an exceptional basis.</p> <p>d. Maintain timesheets for all employees. For first audits, farm records must cover ≥ 6 months. Random check for time sheet accuracy.</p> <p>e. Maintain copies of employees' contracts and ensure that employees' contracts state the overtime conditions and associated rights.</p> <p>f. Others, please describe</p>	<p>a)Overtime is voluntary? Yes Verified by: Mr Frank Katindi - HR Officer and worker interviews b)Local legal overtime hours/week: 50 hours per month Period reviewed: For the months of March, April, May, June, July and August Number of overtime cases reviewed: 26 Is 12 hour/week maximum overtime respected?" Yes overtime hours noted between 3 - 48 hours per month c)Period reviewed: For the months of March, April, May, June, July and August 2017 Numbers of workers that did overtime? 26 Reasons: Exceptional operational requirements The reasons are exceptional a not part of regular activities? Not part of regular activities d)Type of record: Manual attendance registers Period reviewed: For the months of March, April, May, June, July and August 2017 Time sheets sampled: For the months of March, April, May, June, July and August 2017 e)Contracts mention overtime conditions (voluntary, no more than 12 hours and exceptional)? Clause or page:</p>	Compliant			
4.8.7	<p>Indicator: Rights to maternity leave, including daily breaks or a reduction of hours of work to address child care needs.</p> <p>Requirement: Maternity leave is a minimum of 14 weeks (total period off-duty period including before and/or after moment of birth) and includes a guarantee to return to the job. Payment during this period shall minimally be at the level of social insurance offered by the country.</p> <p>Applicability: All</p>	<p>a. Ensure that all women employees are aware (and benefit) of their right to receive maternity leave with a minimum of 14 weeks and with a continuation of payment.</p> <p>b. Others, please describe</p>	<p>Local legal maternity leave: Number of cases of maternity leave reviewed: Dates: Proof of payment at maternity leave available? Women workers aware at interview?</p>	N/A	The farm does not have employ females .	The farm does not have employ females .	
Criterion 4.9: Worker contracts are fair and transparent							
4.9.1	<p>Indicator: Allowance for labor-only contracting relationships [79] or false apprenticeship schemes [80] including revolving / consecutive labor contracts to deny benefit accrual.</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Ensure that employees have written copies of their labor contracts.</p> <p>b. Ensure that no employee works with an apprentice contract for longer than six months.</p> <p>c. Ensure that employees understand their labor contracts.</p> <p>d. Others, please describe</p>	<p>a)Copies of contracts available for workers? All employees are provided with employment contracts Verified by: HR Officer - Mr Frank Katindi b)Apprentice contract period: No apprentices at the time of the audit c)Comments: Workers confirmed during the interviews that they are provided with contracts. They have signed their contracts and understand the contents. Some workers mentioned that the contract was explained to them in their native language. N° of interview: 26</p>	Compliant			

4.9.2	<p>Indicator: All workers have the appropriate and applicable permits for working in the country.</p> <p>Requirement: Employer has a list of permit reference numbers or copies of permits for all concerned workers.</p> <p>Applicability: All</p>	<p>a. Maintain a list of permit reference numbers or copies of permits (as applicable) for all employees</p>	<p>Permits applicable for workers: No. Of permits sampled:</p>	N/A	All employees are citizens of Tanzania.	All employees are citizens of Tanzania.	
		b. Others, please describe					
4.9.3	<p>Indicator: Workers are fully aware of their employment conditions and confirmed their agreement (verbal or written). Written employment policies and procedures are required when there are more than five hired workers.</p> <p>Requirement: Evidence of contract agreement for all workers. Written contracts: a complete contract is filed in the office, mutually signed and copies are available to the worker. Verbal agreements: employer and worker cite consistent employment conditions in independent interviews.</p> <p>Applicability: All</p>	<p>a. If Written contracts: Ensure that all employee contracts are mutually signed and copies are available to the employee.</p> <p>b. If Verbal contracts: Ensure that all employee understand and can cite employment conditions. If verbal additional policies should be provided printed to the worker</p> <p>c. If more than 5 hired workers, develop and implement written employment policies and procedures</p>	<p>a)Contracts mutually signed: Yes written contracts are provided to all employees. No. Of contracts sampled: 26</p> <p>b)Number of interviews: 26 Comments: None Additional policies: Employment policy</p> <p>c)No. Of workers hired: 223 Printed policies: The farm has an Employment policy document that contain all policies and procedures.</p>	Compliant			
		d. Others, please describe					
4.9.4	<p>Indicator: Probation period stipulated in contract</p> <p>Requirement: The probation period shall follow prevalent law in the country, but not be more than 30 days in cases laws do not exist or are not applicable [81].</p> <p>Applicability: All</p>	<p>a. Maintain copies of contracts of employees and ensure that the probation time is clearly stated in compliance with the local laws and in the absence of legal probationary period then the probationary period is not to exceed 1 month.</p> <p>b. Ensure that probation times are understood by employees and respected.</p>	<p>a)Local probationary period (if there is any): Local legislation allows for a three month period. Farm probationary period: The probation period is stipulated in clauses 5 of the employment contract as a period of three months. Verified by: Mr Frank Katindi HR Officer</p> <p>b)Comments: N° of interview: 26 No. Of workers at probationary period at audit: None</p>	Compliant			
		c. Others, please describe					
4.9.5	<p>Indicator: In subcontracting [82] or home-working arrangements, the farm owner shall assure that labor laws, social security laws and ratified ILO provisions have been duly respected and complied with</p> <p>Requirement: Confirmation that sub-contractors and intermediaries have contracts with their workers that are in accordance with laws and regulations</p> <p>Applicability: Producers adopting subcontracting or home-working arrangements</p>	<p>a. Auditors should verify that farms have sent sub-contracting service providers letters requesting that their workers were contracted legally. Auditors should verify that farms have in their possession letters from sub-contractors stating the names and ages of their workers and that they are legally contracted.</p> <p>b. Provide evidence that service providers have been screened on possible violations of basic worker rights.</p> <p>c. Ensure that all workers employed by subcontractors or intermediaries and conducting activities of relevance to the farm abide to the farms health and safety regulations/procedures</p>	<p>a)Letter requesting legal contracting date: List of workers and ages available: Name of sub-contractors:</p> <p>b)Screening procedure: Verified by:</p> <p>c)Subcontractor workers have knowledge of health and safety regulations by: No. Of subcontractor workers interviewed: Showed knowledge at interview or at farm activities:</p>	N/A	The farm does not use service providers all workers are directly employed by the farm	The farm does not use service providers all workers are directly employed by the farm	
Criterion 4.10: Fair and transparent worker-management systems [83]							
4.10.1	<p>Indicator: The employer ensures that all workers have access to appropriate channels of communication with managers on matters relating to labor rights and working conditions.</p> <p>Requirement: Management and the full workforce meet at least twice per year on the basis of written agendas and written minutes of the meetings are available.</p> <p>Applicability: All farms with >5 workers</p>	<p>a. Ensure that workers can file complaints and critical issues anonymously (suggestion: maintain complaint boxes for employees throughout the farm)</p> <p>b. Ensure that workers are aware of the farm's complaints procedure and are encouraged to use them by farm management.</p> <p>c. Maintain records of meetings (at least twice per year) held with the workforce. Records must include list of participants, agendas and agreed action plan and summaries. For first audits records must cover at least 1 meeting</p>	<p>a)Are there complaint boxes? Yes N° interviews: 26 Comments: no comments</p> <p>b)Complaints procedure code: N° interviews: 26 Comments: Workers mentioned that they are aware of the boxes but have not used them.</p> <p>c)No. Of meetings: No meetings are held Number of participants: Date:</p>	Minor	It is noted that there is no proof that meetings are held between management and the workforce.	It is noted that there is no proof that meetings are held between management and the workforce.	
		d. Others, please describe					
4.10.2	<p>Indicator: Percentage of issues raised by workers which are recorded, responded to and monitored by employer.</p>	<p>a. Maintain a register recording issues raised by workers (including complaint forms), date and response taken. For first audit, register must contain all records of the previous ≥ 6 months.</p>	<p>a)Records code: The farm has a complaints procedure that include the complaints form. Period reviewed: March - September 2017 Example of complaint and action taken: At the time of the audit no complaints have been received. Workers confirmed during the interviews that they have not made any complaints at the time of the audit.</p>	Compliant			

	Requirement: 100% Applicability: All farms with >5 workers	b. Ensure that employees have access to the register at reasonable times. > verify, in the absence of complaints, with union or WA or NGO as indicated by workers.	b)Register is accessible to workers: Yes No. Of complaints registered: None If no complaints verified with union, WA, NGO name:			
		c. Others, please describe				
4.10.3	Indicator: Clear plan, with process actions and timeframe, is developed to address complaints, and comply with. Requirement: List of complaints, corresponding action plan and timeframe for resolution is available. Applicability: All farms with >5 workers	a. Maintain a register recording issues raised by workers and including the plan (including actions and timeframe) for addressing yet to be resolved conflicts. b. Ensure that the plan is adhered to.	a)List of complaints available?: At the time of the audit no complaints have been received and registered Records code: Period reviewed: March - September 2017 Plan available?: N/A Action of the plan: N/A Time frame for resolution: N/A b)Records code:No conflicts present yet Period reviewed: Example of complaint and action taken: Action was adhered to plan?	Compliant		
		c. Others, please describe				
4.10.4	Indicator: Percentage of complaints that are resolved within three months after being received. Requirement: 90%, according to the timeframe of 4.10.3. Applicability: All farms with >5 workers	a. Maintain evidence of issues raised by workers and being resolved. Evidence may include letters signed by employees or their representatives. b. Record the issues being resolved in the register as for 4.10.2. c. Maintain monthly summaries and calculations of the percentage of issues resolved within 1 month.	Date of letter: At the time of the audit no complaints have been registered. This section could not be verified Responsible: Verified by: a)Record code: Record date: Verify by: b)Issues recorded: Issues solved: % of issues resolved: Responsible:	N/A	At the time of the audit no complaints have been registered. This section could not be verified	At the time of the audit no complaints have been registered. This section could not be verified
		d. Others, please describe				
<i>Criterion 4.11: Living conditions for workers accommodated on the farm</i>						
4.11.1	Indicator: Living conditions for workers accommodated on the farm are decent and safe. Requirement: All facilities are clean, sanitary, rainproof, safe and suitable for habitation. Shared quarters need to include provisions that allow for visibility privacy, such as walls, curtains or movable rattan/bamboo screens. Potable water and cooking facilities or catering facilities are available to all accommodated workers on the farm premises. Applicability: All	a. Ensure that employees accommodated on the farm have access to decent and suitable living habitation with facilities that are clean, sanitary and rainproof. b. Ensure that shared quarters include provisions that allow for visibility, privacy, such as walls, curatins or movable rattan/bamboo screems. c. Ensure that all accommodated employees have access to potable water and cooking facilities or the availability of catering facilities.	a)Habitation construction of: The worker accommodation structure is made of bricks, cement and corrugated roofs. The rooms are well ventilated, the floor surface is covered with floor tiles and the rooms have sufficient day light. Four male workers share the sleeping quaters and sufficient space provided for comfortable living. Is rainproof? The roofs are in a good condition and is water/rainproof. Sanitary: Ablution facilities include showers, handwash basins and toilets are provided and is in a good working order. Clean? The abluition facilities are regularly cleaned and handwash soap and toilet paper is provided. b)Privacy is given by: Each shower cubicle is provided with a shower curtain and each toilet is fitted with a locking door. c)Potable water source (pipe, well, commercial brands): Water is provided from a bore hole. When is treated in the farm test results and date: Water is not treated. Food for workers is provided by: The farm provide daily, free of charge, three cooked meals.	Compliant		
		d. Others, please describe				
4.11.2	Indicator: Adequate facilities for women. Requirement: Separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together. Applicability: All farms with >5 workers	a. Provide separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together. > if women are present in the workforce (worker and payslip records): verify existence and condition of seperate sanitary facilities b. Others, please describe	Are there restrooms for women and men separate? Comments:	N/A	The are no females employed at the farm.	The are no females employed at the farm.

PRINCIPLE 5: MANAGE SHRIMP HEALTH AND WELFARE IN A RESPONSIBLE MANNER

Criterion 5.1: Disease prevention

5.1.1	<p>Indicator: Develop and maintain an operational health plan addressing: 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control), 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management) 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals</p> <p>Requirement: Demonstration that the operational health plan is functional</p> <p>Applicability: All</p>	<p>a. Provide and maintain an operational health plan that addresses: 1) Pathogens that can come from the surrounding environment into the farm (e.g., predator and vector control) 2) Pathogens that can spread from the farm to the surrounding environment (e.g., effluent filtration/sterilization, and waste such as dead-shrimp management) 3) Spreading of pathogens within the farm. Critical to avoid cross contamination, detect and prevent emerging pathogen(s), and monitor external signs of pathologies and moribund animals.</p>	<p>A. Review health plan for compliance. Health plan code: Health Management Plan (Included in Manual) Responsible: Mr. Dominic Savior 1) Main actions for external pathogens: - Water will be filtered and treated in settlement pond (1-2days) before pumping to the grow out ponds. - Post larvae have to be tested before stocking. - Visitor control (self declaration, personnel hygiene) 2) Main actions to avoid spread pathogens to the environment: - Biosecurity plan/escape protocol/monitoring quality of discharged water - The farm does not have plan to deal with mass mortality because of diseases to avoid spreading pathogens to the environment 3) Main actions to avoid spread pathogens within the farm: - Separated workers, tools, equipment for each pond. - Personnel hygiene control, all ponds will be checked daily if there is any abnormal sign.</p>	Minor	The farm does not have plan to deal with mass mortality because of diseases to avoid spreading pathogens to the environment	The farm does not have plan to deal with mass mortality because of diseases to avoid spreading pathogens to the environment	
		b. Others, please describe					
5.1.2	<p>Indicator: Filtration of inlet water for minimizing the entry of pathogens</p> <p>Requirement: Nets, grills, screens or barriers of the appropriate mesh size [85] are present on all farm or pond inlets.</p> <p>Applicability: All</p>	<p>a. Ensure that all farm or pond inlets have nets, grills, screens or barriers of appropriate mesh size.</p>	<p>A. Confirm the presence of these nets, grills, screens or barriers at farm or pond inlets. Ponds inspected: Pond A10, A18 and A36 Mesh size: Intake water will physical filtered through four layers of net before pumping to ponds Justification of mesh size based on local disease risk factors (e.g. presence, likely vectors, etc): Intake water will physical filtered through four layers of net before pumping to ponds</p>	Compliant			
		b. Others, please describe					
5.1.3	<p>Indicator: Annual average farm survival rate [86] (SR): 1) Unfed and non-permanently aerated pond systems 2) Fed but non-permanently aerated pond [87] systems 3) Fed and permanently aerated pond systems.</p> <p>Requirement: SR >25% SR >45% SR >60%</p> <p>Applicability: All</p>	<p>a. Farm should demonstrate actual farm on-farm counting work sheets and they may or may not correlate with purchase receipts. Maintain records to show the total number of shrimp stocked into each enclosure during the last 12 months. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble). In case supplying hatchery is vertically integrated to farm, exit countings at hatcheries can be used instead.</p> <p>b. Maintain harvest records for each crop (e.g. selling receipts or processing plant receipts) that are sufficient to show the total number of shrimp harvested from each enclosure. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>c. Calculate the weighted average of the Real Percentage Mortality (see above). Provide calculations to the auditor. Calculation should be based on hatchery Postlarvae count if hatchery is vertically integrated to the farm. For farms that have independent hatchery suppliers, calculations should be based on farm counts and cross reference with the hatchery counts.</p>	<p>A. review farm post-larvae counting work sheets. Farm post larvae work sheets shall not exceed 5% margin of error. If company is integrated (larvae supplier + farm) 1 count is sufficient. Auditor will need to confirm the accuracy of the method used by the farm. Receipts number: Delivery notes (016853, 016860,...) Period reviewed: 09/2016 - 09/2017; 10/2017-03/2018 Total number of shrimp stocked: 11,613,000 pcs; 3 535 000 Counting method used by farm: Average weight of individual piece x weight of stocked shrimp</p> <p>B. Review records. Confirm that farm records are sufficient to determine number of shrimp harvested from each enclosure. Selling receipt number: Delivery note Period reviewed: 09/2016 - 09/2017; 10/2017-03/2018 Total number of shrimps harvested: 8,491,477 pcs; 3 223 267</p> <p>C. Review farm's calculations to verify accuracy cross reference with the hatchery counts. Categories the farming system into 1 of the 3 categories and confirm that average real percentage mortality confirms to the requirement Farm Category: 3) Fed and permanently aerated pond systems. Lower pond survival rate in the dataset: 70% Higher pond survival rate in the dataset: 83% Annual Average Survival Rate: 75%; 91.2%</p>	Compliant			
		d. Others, please describe					
5.1.4	<p>Indicator: Percent of stocked Postlarvae (PLs) that are Specific Pathogen Free (SPF) [88] or Specific Pathogen Resistant (SPR) [89] for all important pathogens [90].</p> <p>Requirement: 100% if commercially available [91], i.e., if for any given species, at least 20% of the PLs stocked in the country are from SPF or SPR stocks, then the supply is deemed commercially available. If not commercially</p>	<p>a. Be in possession of receipts and/or statements from Postlarvae supplier indicating SPF and SPR status of hatchery broodstock and the pathogens for which the Postlarvae was tested. Maintain records during the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Maintain list of OIE for which Postlarvae diseases must be tested (see Instructions above).</p>	<p>A. If the country and species is listed by the farmer as a country/species for which 100% SPF/SPR Postlarvae is required, confirm that all Postlarvae stocked originated from SPF or SPR broodstock. Receipts number: Delivery notes (016853, 016860,...) Status of hatchery broodstock: Not SPF Evidence reviewed: Testing report (on 12/01/2017, 07/01/2017, 06/01/2017; 24/19/2017- 20/03/2018)</p> <p>B. Confirm that the OIE list is accurate and that Postlarvae was tested for the relevant OIE listed diseases. Relevant OIE diseases tested: WSSV Results: Not detected (Compliance)</p>	Compliant			

	available, PLs screened for all important pathogens can be used. Applicability: All	c. If any of the OIE listed diseases is not relevant (see Instruction), present evidence (e.g. peer reviewed papers or copies of official statement from the Competent Authority). d. Others, please describe	C. Review evidence and confirm its accuracy. OIE disease not relevant: AHNDV, NHV, Crayfish Plague, YHD, IHNN, WSD, TS, IMN, WTD Peer reviewed papers: Not applicable Official statement from the Competent Authority: Declaration Letter (SA29/164/01) fro Ministry of Agriculture, Livestock and Fisheries				
Criterion 5.2: Predator [93] control							
5.2.1	Indicator: Allowance for intentional lethal predator control of any protected, threatened or endangered species as defined by the International Union for Conservation of Nature (IUCN) Red List [94] national listing processes [95], or other official lists [96]. Requirement: None Applicability: All	a. Maintain a list of all predator control devices and their locations. b. Maintain a list of all protected, threatened or endangered species potentially visiting the farm and display list with relevant species at relevant places on-farm -	A. Review predator control procedure and list of predator control devices. Predator control devices: the farm does not use predator control devices Location of these devices: Not applicable Quantities of devices: Not applicable Which animal scare: Not applicable B. Review list for accuracy Protected, threatened or endangered species: Not applicable C. Inspect sites to verify no use of lethal predator controls which may cause mortality of protected, threatened or endangered species Is lethal predator controls use? No Interviews: 5 Comments: Confirmed no use of predator controls	Compliant			
5.2.2	Indicator: Allowance for use of lead shot and select chemicals for predator control. Requirement: None Applicability: All	a. Farm controls predators and maintains a list of predator control devices (as per 5.2.1a). -	A. Review list of predator control devices and confirm that no lead shots or non-approved chemicals are used for predator control List of predator control devices: None Are lead shots or non-approved chemicals used for predator control? No B. Inspect sites to verify no use of lead shots or non-approved chemicals for predator controls. Are lead shots or non-approved chemicals used for predator control? No Evidences: Interview and onsite observation	Compliant			
5.2.3	Indicator: In case lethal predator control is used, a basic monitoring program must be in place for documenting the frequency of visits, variety of species and number of animals interacting with the farm. Requirement: Yes Applicability: All	a. If lethal predator control is used, develop and maintain a monitoring program. b. Farm shall identify and monitor all incidents where lethal predator control was used, specifying the date, species, method used an rationale for using lethal force instead of non-lethal alternatives. c. Others, please describe	A. Review the results of the monitoring program and verify its appropriateness and accuracy of results Lethal control by: None Species controlled: Not applicable Monitoring program available: Not applicable B. Verify the farm's monitoring program of endangered species protection. Lethal control record available? Not applicable Period reviewed: 09/2016 - 09/2017 Reason to use lethal control: Not applicable	Compliant			
Criterion 5.3: Disease management and treatment							
5.3.1	Indicator: Allowance for use of antibiotics and medicated feed on ASC-labeled products (farm can be certified but specific product receiving medicated feed will not be authorized to carry ASC label). Requirement: None Applicability: All	a. Farm to prepare a list of all veterinary medicines, chemicals and biological products used on the farm in the past 12 months. For first audits, records must cover at least 1 full crop per site (see preamble). b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on each enclosure in the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).	A. Review farm's list of medicines, chemicals and biological products. Farm's list of medicines, chemicals and biological products code: Appendix A (in Manual) Main Medicines: None Main Chemicals products: Zeolite, CaCO3, CaO,... Main Biological products: VC-7, PROFS, AM-PRO Chlorine was used however they are not listed in the approved chemical list B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies). Record reviewed: Chemical and Probiotic uses Medicines used: None Chemicals products used: Zeolite, CaCO3 Biological products used: VC-7, PROFS,...	Minor	Chlorine was used however they are not listed in the approved chemical list	Interviewed and found that Chlorine, was used however they are not listed in the approved chemical list	

		<p>c. If any antibiotics or medicated feed is used, detail and maintain a traceability system to ensure that no treated product is sold as ASC labeled. In these cases farm needs to hold a valid ASC Chain of Custody Certification.</p>	<p>C. Capture sufficient evidence that an organization operates an accurate traceability system. If farm uses/used any antibiotics or medicated feed is used, check validity of farm's Chain of Custody. Antibiotics used: None Medicated pond Traceability excessive (pond, date of harvest, segregation form): Not applicable ASC CoC code: Not applicable</p>			
		d. Others, please describe				
5.3.2	<p>Indicator: Allowance for the use of antibiotics categorized as critically important by the World Health Organization [97] (WHO), even if authorized by the pertinent national authorities.</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Maintain a list of all antibiotics used on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review list of antibiotics used. List of antibiotic used: Not applicable. The farm does not use antibiotic Period: 09/2016 - 09/2017; 10/2017- 03/2018</p>	Compliant		
		<p>b. Farm did not use any antibiotics critically important for human medicine as categorized by the WHO and antibiotics as banned by the competent national authorities in the last 12 months.</p>	<p>B. Cross check list of antibiotics used by the farm against the WHO list of antibiotics critical to human medicine and antibiotics as banned by the competent national authorities. WHO List of antibiotic available: Not applicable. The farm does not use antibiotic Is there any critical or banned antibiotic that the farm use? No Responsible: Dominic Savior</p>			
		<p>c. Demonstrate working knowledge of critically important WHO antibiotics and antibiotics as banned by the competent national authorities and show that they are not used on the farm.</p>	<p>C. Review farmer's knowledge on banned antibiotics. Animal health responsible: Dominic Savior Comments: Onsite observation and interviewed, confirm that the farm does not use antibiotic</p>			
		-	<p>D. During on-site visits, verify there is no evidence of use of antibiotics critical for human medicine through direct observation and inspection. Evidence: By checking the chemical store, get observation of the farm Comments: There is no evidence that farm use antibiotic</p>			
		e. Others, please describe				
5.3.3	<p>Indicator: Information on chemical storage and usage.</p> <p>Requirement: Records of stocks and usage are available for all products.</p> <p>Applicability: All</p>	<p>a. Maintain storage spaces for all veterinary medicines, chemical and biological products provided in 5.3.1a</p>	<p>A. Verify that storage spaces are available and adequate for safety and preservation of quality. Location of storage: On farm Storage conditions: Good and well locked Lockable Illuminated Ventilated Spillage contention Spillage collection kit Rainproof: Yes</p>	Compliant		
		<p>b. Provide records detailing the use of any veterinary medicines, chemicals and biological products on each pond in the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>B. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies). Chemicals verified: CaCO3 Period reviewed: 09/2016 - 09/2017; 10/2017- 03/2018</p>			
		c. Others, please describe				
5.3.4	<p>Indicator: Proper use of chemical products by farm workers</p> <p>Requirement: Evidences of worker awareness / training and instructions are available</p> <p>Applicability: All</p>	<p>a. Develop Standard Operating Procedures for the use of veterinary medicines, chemicals and biological products.</p>	<p>A. Review SOP for content of the safe use and implementation of veterinary medicines, chemicals and biological products. SOP code: Included in Manual Verify by: Mr. Dominic Savior SOPs for all chemicals? Yes</p>	Compliant		
		<p>b. Ensure that employees are familiar with the SOP.</p>	<p>B. Verify through interviews that employees are aware of procedures for proper chemical usage and that they have access to current instructions. Number of interviews: 05 Comments: Training record (on 17/02/2017) for chemical storing and handling is made</p>			
		-	<p>C. During on-site visits, verify there is no evidence of failure to comply with the SOP. Chemicals use observed: CaCO3</p>			
		d. Others, please describe				
	<p>Indicator: Allowance for treating water with pesticides banned or restricted by the Rotterdam Convention on Persistent Organic Pollutants (POPs), the Stockholm Convention</p>	<p>a. Maintain a list of all products used on the farm (as per 5.3.1a) in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review list of products used for completeness. List of all products used: See 5.3.1a Example of products: CaCO3</p>	Compliant		

5.3.5	<p>Prior Informed Consent (PIC), the Stockholm Convention on Persistent Organic Pollutants (POPs) or classed as "extremely hazardous" or "highly hazardous" (classes Ia and Ib) by the World Health Organization (WHO).</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>b. Prepare declaration stating that farm did not use any pesticides banned or restricted by the Rotterdam Convention on Prior Informed Consent (PIC), the Stockholm Convention on Persistent Organic Pollutants (POPs) or the World Health Organization (WHO).</p>	<p>B. Review declarations and during on-site visits, verify there is no allowance for treating water with pesticides banned or restricted by the Rotterdam Convention on Prior Informed Consent (PIC), the Stockholm Convention on Persistent Organic Pollutants (POPs), or classed as "extremely hazardous" or "highly hazardous" (classes Ia and Ib) by the World Health Organization (WHO).</p> <p>Declaration date: 02/01/2017</p> <p>Verify or signed by: Mr. Dominic Savior</p>				
c. Others, please describe							
5.3.6	<p>Indicator: Allowance for discharge of any hazardous chemicals [98] without previous neutralization[99].</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Maintain SOP at in 5.3.4a and ensure that they include procedures for neutralization.</p>	<p>A. Review SOP for appropriateness. Chemicals that need neutralization: Sodiummetabisulfite Verify by: HACCP Is that include procedure of neutralization? Sodiummetabisulfite is neutralized by the processing factory's personnel, by adding lime to the solution.</p>	Minor	Although neutralization is made by processing factory's personnel, there is no evidence that the farm assure that Sodiummetabisulfite is completely neutralized before discharged by the farm.	Interviewed and found there is no evidence that the farm assure that Sodiummetabisulfite is completely neutralized before discharged by the farm.	
<p>b. Ensure that employees are familiar with the SOP.</p>	<p>B. Interview employees and assess compliance. Number of interviews: 05 Comments: Although neutralization is made by processing factory's personnel, there is no evidence that the farm assure that Sodiummetabisulfite is completely neutralized before discharged by the farm.</p>						
-	<p>C. During on-site visits, verify there is no evidence of failure to comply with the SOP. Neutralized chemicals observed: Not applicable. There is no use of Sodiummetabisulfite practiced at audit time.</p>						
d. Others, please describe							
5.3.7	<p>Indicator: Use of probiotic bacterial strains excluding the use of fermented product to seed further batches.</p> <p>Requirement: Only probiotic products approved by the appropriate competent authorities can be used.</p> <p>Applicability: All</p>	<p>a. Provide records detailing the use of any biological products on the farm in the last 12 months. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review records to confirm farm usage of products. During on-site inspection, verify there is no evidence for unrecorded use of any veterinary medicines, chemicals or biological products (i.e. no empty containers or non-inventoried warehouse supplies). Provide an inventory detailing the probiotics used and dosing over the past 12 months. Biological products used: VC-7, PROFS, AM-PRO Period reviewed: 09/2016 - 09/2017; 10/2017- 03/2018</p>	Compliant			
<p>b. For the list provided in 5.3.7a, show that each item is approved for aquaculture by relevant national authorities. If the regulatory agency in charge of aquaculture does not approve probiotics or other biological agents, that producers should be capable of showing purchase records, invoicing and product information associated with any probiotics used.</p>	<p>B. Confirm that listed products used are approved for aquaculture. Authority that approves biological products: Ministry of Agriculture, Livestock and Fishery Approval number or reference: Certificate of approved chemicals for use in a aquaculture farm (On 03/01/2017) If there is no authority, records available: Record is available</p>						
<p>c. If on site fermentation is practiced, maintain and comply with the protocol provided by the suppliers, including taking all required precautions to ensure that they do not have contaminant strains.</p>	<p>C. Verify that protocols are available, appropriate and complied with. Protocol code: Not applicable. The farm is not practiced onsite fermentation. Verify by: Onsite observation and interview. Is the protocol appropriate? Not applicable.</p>						
<p>d. If on site fermentation is practiced, ensure that fermented products are not used for seeding further fermentation batches and that all batches must be seeded using a commercial probiotic.</p>	<p>D. Verify through site visit and employee interviews that there are no signs of fermented products having been used for seeding further fermentation batches. Employee interviews and confirmed that farm does not practice onsite fermentation</p>						
e. Others, please describe							
<p>PRINCIPLE 6: MANAGE BROODSTOCK ORIGIN, STOCK SELECTION AND EFFECTS OF STOCK MANAGEMENT</p>							
<p><i>Criterion 6.1: Presence of exotic or introduced shrimp species</i></p>							
		<p>a. Auditors to check by inspection of farm documents that Postlarvae supplier has identified the species (Latin name) of shrimp farmed. Maintain records of Postlarvae purchases over the last 12 months. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Confirm that the farmed species is accurately identified in purchase records. Receipt number: Delivery notes (016853, 016860,...) Record reviewed: Delivery notes (016853, 016860,...) Period reviewed: 09/2016 - 09/2017; 10/2017- 03/2018 Specie identified: Penaeus Monodon</p>	Compliant			
<p>b. Prepare documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization). If species is not indigenous, please refer to c and d (below).</p>	<p>B. Confirm that documentation shows the farmed species is indigenous to the water system if the farmed species is indigenous to the water system, provide documentary evidence (peer-reviewed papers, IUCN, FAO or other international organization). If species is not indigenous, please refer to c and d (below). Evidence reviewed: Not applicable. Penaeus Monodon is not indigenous to Tanzania</p>						

<p>6.1.1</p>	<p>Indicator: Use of non-indigenous shrimp species [104].</p> <p>Requirement: Allowed, provided it is in commercial production locally [105] AND there is no evidence [106] of establishment or impact on adjacent ecosystems by that species AND there is documentation (hatchery permits, import licenses, etc.) that demonstrates compliance with introduction procedures as identified by regional, national and international importation guidelines (e.g., OIE and ICES [107]).</p> <p>Applicability: All</p>	<p>c. Prepare documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references that the species is commercially produced locally.</p> <p>d. If the species is not indigenous, provide documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references indicating no negative impacts.</p> <p>Negative impact by a self-recruiting stock includes but is not restricted to:</p> <ul style="list-style-type: none"> - changing the genetic diversity of wild shrimp through interbreeding - competition (e.g. displacement of local species) - habitat destruction <p>e. If the species is not indigenous, provide documentary evidence (hatchery permits, import licenses, etc.) that demonstrates compliance with introduction procedures as identified by regional, national and international importation guidelines (e.g., OIE and ICES)</p> <p>f. Others, please describe</p>	<p>C. Confirm that documentation shows the farmed species is commercially farmed locally if the species is not indigenous, provide Prepare documentary evidence (peer-reviewed papers, official government [competent authority] statements or other comparable references that the species is commercially produced locally.</p> <p>Specie commercially farmed locally evidence: Not applicable. Penaeus Monodon is indigenous to Tanzania</p> <p>D. Review, as a minimum, evidence of no negative impact and assess its accuracy and appropriateness by means such as an internet review, including, as a minimum, a Google search.</p> <p>Note: These documents have to assert explicitly that there is no negative environmental impact. Uploaded a copy on CUSI.</p> <p>No negative impact evidence: Not applicable. Penaeus Monodon is indigenous to Tanzania</p> <p>Peer-reviewed papers: Not applicable</p> <p>Link of Google search: Not applicable</p> <p>Official government statements/ competent authority: Not applicable</p> <p>Other reference: Not applicable</p> <p>E. Review evidence and assess its accuracy and appropriateness including hatchery documentation on OIE compliance and regional and national importation laws.</p> <p>Hatchery permits: Not applicable. Penaeus Monodon is indigenous to Tanzania</p> <p>Import licenses: Not applicable.</p>				
<p>6.1.2</p>	<p>Indicator: Prevention measures in place to prevent escapes at harvest and during grow-out include (A-F):</p> <p>A. Effective screens or barriers of appropriate mesh size for the smallest animals present; double screened when non-indigenous species.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide farm records indicating shrimp sizes (e.g. average weight recorded monthly). For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>b. Maintain records indicating the size of net mesh or grills for the entire farm, and record how selected mesh size is most appropriate for the smallest animals present at the time used. For first audits, farm records must cover ≥ 6 months.</p> <p>c. If the species is not indigenous, ensure that double screens are used on both intake and discharge points at all times</p> <p>d. Others, please describe</p>	<p>A. Review records for shrimp size in different holding units.</p> <p>Size sampling frequency: Every week</p> <p>Size record verified: Pond Health Report</p> <p>Period reviewed: 09/2016- 09/2017; 10/2017- 03/2018</p> <p>B. Review records for mesh or grill size. Confirm that the mesh /grill size that was selected was appropriate for the smallest animals present at the time used.</p> <p>Ponds verified: Pond A10, A18 and A36</p> <p>Shrimp size: Not applicable. Only one mesh size use for the whole crop.</p> <p>Mesh size: Not applicable. Ponds are sealed during whole crop until harvest</p> <p>Is appropriate? Yes</p> <p>C. During the on-site visit, inspect the size of net mesh or grills to confirm compliance. Where non-indigenous species are in culture, confirm that the farm has used double screens.</p> <p>Non indigenous: No</p> <p>Double screen available: Not applicable. Ponds are sealed during whole crop until harvest</p>	<p>Major</p>	<p>The farm cannot provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years.</p> <p>The farm cannot provide a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point</p> <p>There is no evidence that the farm checked trapping devices to sample for the existence of escapes</p>	<p>The farm cannot provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years.</p> <p>The farm cannot provide a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point</p> <p>There is no evidence that the farm checked trapping devices to sample for the existence of escapes</p>	
	<p>B. Perimeter pond banks or dykes are of adequate height and construction to prevent breaching in exceptional flood events [108].</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years.</p> <p>b. Be in possession of a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point. Show location of bund low-point on a map of the farm.</p> <p>c. Others, please describe</p>	<p>A. Review records covering ≥ 25 years or statement from government agencies to establish the maximum height of high water when flooding occurs.</p> <p>Maximum level in the last 25 years: The farm cannot provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years. Record of maximum tide levels in only 5 years is available</p> <p>Reference: From EIA report</p> <p>B. Review statement and map. During the on-site visit. Review evidence and verify that the lowest bund height is sufficient to cope with 25 years height.</p> <p>Lowest bund height: The farm cannot provide a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point</p> <p>Declaration date: Not applicable</p> <p>Organization name: Not applicable</p>				
	<p>C. Regular, timely inspections are performed and recorded in a permanent register.</p>	<p>a. Provide farm records in a permanent register for periodic and regular inspection of net mesh or grills used in production (e.g. grow-out) units.</p>	<p>A. Review records to verify inspections are regular and timely.</p> <p>Record code: All ponds are sealed until harvest. One layer of grills are used to avoid escaping during harvest. Grills are checked before installing. Interview workers and confirm compliance.</p> <p>Time frame: 09/2016 - 09/2017</p> <p>Responsible name: Mr. Dominic Savior</p>				

	<p>Requirement: Yes</p> <p>Applicability: All</p>	<p>b. Arrange for the auditor to observe an inspection during the on-site visit.</p>	<p>B. Witness the farm performing an inspection of meshes and grills to confirm that the program is effective. How do they do the inspection? The farm use grills to avoid escaping during harvest. Grills are checked before installing. Interview workers and confirm compliance. Is it appropriate? Yes</p>				
		<p>c. Others, please describe</p>					
	<p>D. Timely repairs to the system are recorded.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Keep records of mitigation and repairs in a permanent register. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review the register to verify repairs are performed and recorded. Records of mitigation and repairs code: All ponds are sealed until harvest. One layer of grills are used to avoid escaping during harvest. Grills are checked before installing. Interview workers and confirm compliance. Verify by: Interview and onsite observation Responsible name: Mr. Dominic Savior</p>				
		<p>b. Others, please describe</p>					
	<p>E. Installation and management of trapping devices to sample for the existence of escapes; data is recorded.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Identify the quantity and location of all trapping devices. The term 'trapping device' does not include mesh or grid barriers.</p>	<p>A. Review how the farm uses trapping devices to monitor escapees. Number of trapping devices: One trap for each pond, used at harvest time Location of all trapping devices: Discharged gates How are they use it? Bag net</p>				
		<p>b. Maintain a record of regular (at least weekly) trap inspections and observed escapees.</p>	<p>B. Review records of inspection and observed escapees. Monitoring frequency: After harvest Record code: There is no evidence that the farm checked trapping devices to sample for the existence of escapes</p>				
		<p>c. Configure traps properly and located suitably to ensure effective farm-wide monitoring of escapees.</p>	<p>C. During the on-site visit, inspect to verify that traps are configured properly and located suitably to ensure effective farm-wide monitoring of escapees. Traps location: Discharged gates</p>				
		<p>d. Others, please describe</p>					
	<p>F. Escape recovery protocols in place.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Develop and implement escape recovery protocols</p>	<p>A. Review escape recovery protocols and assess that protocols are implemented, there are records of escapes, records of actions taken and records of procedural modifications to prevent reoccurrence. Protocol code: Escape Recovery Protocol (Included in Manual) Verify by: Mr. Dominic Savior Is the protocol appropriate? Not available</p>				
		<p>b. Others, please describe</p>					
<p>6.1.3</p>	<p>Indicator: Escapes and actions taken to prevent reoccurrence.</p> <p>Requirement: Records are available for inspection.</p> <p>Applicability: All</p>	<p>a. When escapees are detected, record any actions taken to prevent reoccurrence. For first audits, these records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Review the suitability of any actions taken by the farm to prevent reoccurrence. Actions taken: Not applicable. There is no escapee before. Format for recording escape instances is available Record code: Record of escape</p>	<p>Compliant</p>			
		<p>b. Others, please describe</p>					
<p>Criterion 6.2: Origin of Postlarvae or broodstock</p>							
<p>6.2.1</p>	<p>Indicator: PL and broodstock have appropriate disease-free status and sources meet regional, national and international importation guidelines (e.g., OIE and ICES)</p> <p>Requirement: Documentation provided demonstrating compliance within two years of standard's publication date for wild Monodon broodstock sourced locally; applicable immediately in all other cases</p> <p>Applicability: All</p>	<p>a. Provide documentary evidence proving testing of Postlarvae for all relevant pathogens (see list in 5.1.4b and additional evidence in 5.1.4c) unless the pathogens is not present in the country. Maintain records of Postlarvae purchases or receptions over the last 12 months. For first audits, farm records must cover ≥ 6 months.</p>	<p>A. Review evidence and confirm its accuracy. Test of pathogens code: Testing report (on 12/01/2017, 07/01/2017, 06/01/2017; 23/10/2017 -03/03/2018) Laboratory name: Alphakrust Limited Verify by: Test report</p>	<p>Compliant</p>			
		<p>b. For all farms using broodstock other than wild Monodon and for farms stocking Postlarvae from wild Monodon broodstock from the 1st January 2015 onwards. Provide documentary evidence proving testing of shrimp broodstock for all relevant pathogens (see list in 5.1.4b and additional evidence in 5.1.4c). Maintain records of Postlarvae purchases over the last 12 months. For first audits, farm records must cover ≥ 6 months.</p>	<p>B. Review evidence and confirm its accuracy. Receipt number: Delivery notes (016853, 016860,...) Evidence: Testing report (on 28/01/2017, 18/12/2016;23/10/2017 -03/03/2018)</p>				
		<p>c. If farm is vertically integrated with it's hatchery, staff should have working knowledge of the introduction/importation guidelines referred to in this requirement.</p>	<p>C. Assess farm management's working knowledge of guidelines. Record of training: Not applicable. Farm is NOT vertically integrated with it's hatchery Number of interviews: Not applicable Comments: Not applicable</p>				
		<p>d. Others, please describe</p>					

6.2.2	<p>Indicator: Percent of total Postlarvae from closed loop hatchery (i.e., farm-raised broodstock)</p> <p>Requirement: P. vannamei, P. indicus, P. stylirostris 100% P. Monodon must be increased over time, and reach 100% within six years after the publication of the standard.</p> <p>Applicability: All</p>	<p>a. Provide a declaration from Postlarvae supplier identifying the species (Latin name) of shrimp farmed and the source of broodstock (including whether it is wild-caught or captive-reared). Maintain records of Postlarvae purchases over the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Others, please describe</p>	<p>A. Review declarations and verify that only captive-reared broodstock is used for all species other than P. Monodon and from the 1st January 2019, also for P. Monodon broodstock.</p> <p>Declaration number: Certificate of Compliance (on 17/03/2017; 07-03-2018)</p> <p>Postlarvae supplier: Alphakrust Limited</p> <p>Specie of shrimp: Penaeus Monodon</p> <p>Record code: Delivery notes (016853, 016860,...)</p>	Compliant			
6.2.3	<p>Indicator: Origin of wild-caught broodstock</p> <p>Requirement: Sourced from locally fished broodstock only [114].</p> <p>Applicability: Farms using seed generated from wild-caught P. Monodon</p>	<p>a. Provide a declaration from Postlarvae supplier identifying the source (coast where harvested and country of harvesting) of broodstock. Maintain records of Postlarvae purchases over the last 12 months. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Others, please describe</p>	<p>A. Review declarations and verify that only broodstock fished along the same coasts of the same country where the farm is located is used</p> <p>Declaration number: Declaration Certificate (25/04/2016; 07-03-2018)</p> <p>Broodstock: coast of harvest: Tanzania</p> <p>Country of harvest: Tanzania</p> <p>Verify by: Document reviewed</p>	Compliant			
6.2.4	<p>Indicator: Allowance for wild-caught PL other than natural tidal flow into ponds</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. Be in possession of statement from seed supplier(s) that the seed is not wild-caught (e.g. seed is derived from a broodstock held in captivity).</p> <p>b. Maintain seed receipts for all stocking events. For first audits, farm records must cover ≥ 6 months.</p> <p>c. Others, please describe</p>	<p>A. Verify that farm has statements from seed suppliers.</p> <p>Declaration number or code: Certificate of Compliance (on 17/03/2017; 07-03-2018)</p> <p>Seed supplier: Alphakrust Limited</p> <p>Seed origin: From wild-catch broodstocks</p> <p>B. Verify the farm maintains accurate records for sourcing of seed.</p> <p>Receipt number: Delivery notes (016853, 016860,...)</p> <p>Frequency of seed buy: 3-4 times/year</p>	Compliant			
Criterion 6.3: Transgenic shrimp [116]							
6.3.1	<p>Indicator: Allowance for the culture of transgenic shrimp (including the offspring of genetically engineered shrimp)</p> <p>Requirement: None</p> <p>Applicability: All</p>	<p>a. When GM shrimp are commercially available to the industry; farms should provide a declaration from its' source hatchery that the farm does not use genetically engineered (transgenic) shrimp.</p> <p>b. Deleted due to redundancy with a.</p> <p>c. Others, please describe</p>	<p>A. Verify declaration of no use of genetically engineered strains.</p> <p>Declaration number: Declaration Certificate (25/04/2016; 31/03/18)</p> <p>Verify by: Document reviewed</p> <p>Does the farm use transgenic shrimps? No</p> <p>B. Deleted due to redundancy with A.</p>	Compliant			
PRINCIPLE 7: USE RESOURCES IN AN ENVIRONMENTALLY EFFICIENT AND RESPONSIBLE MANNER							
Criterion 7.1 - Traceability of raw materials in feed							
7.1.1	<p>Indicator: Evidence of basic traceability of feed ingredients, including source, species, country of origin and harvest method demonstrated by the feed producer [118].</p> <p>Requirement: List of all ingredients making up more than 2% of the feed available provided on company letterhead.</p> <p>Applicability: All</p>	<p>a. Be in possession of a statement (on feed manufacturer company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed</p> <p>b. For all feed ingredients making up more than 2%, provide copies of 3rd party statements as stated at invoice from feed ingredient supplier indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions. (http://www.fao.org/fishery/cwp/handbook/H/en), species and harvest method. Note: not all major areas have subdivisions for reporting to the FAO.</p> <p>c. Others, please describe</p>	<p>A. Confirm that farm has records</p> <p>Feed supplier name: CP Feed, Growel</p> <p>Declaration number or code: Declaration Letter (From CP Feed, on 10/06/2017)</p> <p>Verify by: Document reviewed</p> <p>Ingredients: Fish meal, Soyabean meal, Wheat flour, Rice bran fresh</p> <p>The farm cannot provide a statement (on feed manufacturer company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed from the supplier Growel</p> <p>B. Review statements for completeness and confirm compliance</p> <p>Feed ingredients making up more than 2%: Fish meal, Soyabean meal, Wheat flour, Rice bran fresh</p> <p>Declarations: The farm cannot provide 3rd party statements as stated at invoice from feed ingredient supplier of Growel indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions</p>	Major	<p>The farm cannot provide a statement (on feed manufacturer company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed. The farm cannot provide 3rd party statements as stated at invoice from feed ingredient supplier indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions</p>	<p>Document reviewed, the farm cannot provide a statement (on feed manufacturer company letterhead) of the feed ingredients making up more than 2% of the feed from the supplier Growel</p> <p>Document reviewed, The farm cannot provide 3rd party statements as stated at invoice from feed ingredient supplier of Growel indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions</p>	

7.1.2	<p>Indicator: Demonstration of chain of custody and traceability for fisheries products in feed through an ISEAL member or ISO 65 compliant certification scheme that also incorporates the FAO [119] Code of Conduct for Responsible Fisheries.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>a. Provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients other than products of trimmings. A list of suitable schemes is available on the ASC website. Following steps can be followed: 1. Identify all feed suppliers to the farm. 2. Prepare a list of all feed types purchased during the last 12 months. 3. For each type of feed, request from the feed supplier a list of all fisheries products that were used as feed ingredients. 4. Where feed ingredients include certified inputs (as per this requirement), request the feed supplier to provide evidence of 3rd-party traceability certification (e.g. chain of custody certificate).</p> <p>b. Others, please describe</p>	<p>A. Review evidence and confirm compliance. Certified fisheries in fish meal: None Feed supplier CoC certificate code: The farm cannot provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients in feed from supplier Growel other than products of trimmings</p>	Major	<p>The farm cannot provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients other than products of trimmings</p>	<p>Interviewed and found that the farm cannot provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients in feed from supplier Growel other than products of trimmings</p>	
Criterion 7.2 - Origin of aquatic and terrestrial feed ingredients							
7.2.1a	<p>Indicator: Timeframe for 100% (mass balance) fishmeal and fish oil used in feed to come from fisheries [122] certified by a full ISEAL member [123] that has guidelines specifically promoting ecological sustainability of forage fisheries</p> <p>Requirement: Within five years following the date of standards publication</p> <p>Applicability: All, after March 2019</p>	<p>a. Be in possession of a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients (to specify genus, species and region of harvest). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to marine meals and oils on site.</p> <p>b. Provide evidence that fish meal and fish oil products used in feed are from sources certified as compliant to the standards of an ISEAL member.</p> <p>c. Others, please describe</p>	<p>A. Confirm that farm has statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients (to specify genus, species and region of harvest). Feed supplier: Not applicable. This requirement is applicable after March 2019 Statement code: Not applicable Statement date: Not applicable</p> <p>B. Review evidence and confirm compliance. Mention the sources: Not applicable. This requirement is applicable after March 2019 origin of fishmeal/fish oil: Not applicable ISEAL member name: Not applicable</p>	N/A	<p>Not applicable. This requirement is applicable after March 2019</p>	<p>Not applicable. This requirement is applicable after March 2019</p>	
7.2.1b	<p>Indicator: FishSource score [122] [124] [125], for the fishery(ies) from which a minimum of 80% of the fishmeal and fish oil by volume is derived (See Appendix IV, subsection 3 for explanation of FishSource scoring) a. for FishSource Criteria 4 (spawning biomass assessment) b. for FishSource Criteria 1, 2, 3 and 5</p> <p>Requirement: a. 8 b. 6 or compliance with alternative interim proposal 7.1.1c</p> <p>Applicability: All</p>	<p>a. Be in possession of statement from feed manufacturer as for Indicator 7.2.1a. If fish products include products non compliant to the FS scores set in this requirement or not part of an Improver Program (IP) as defined in the requirement, the statement shall indicate also the maximum level of inclusion of non compliant fish products (mass balance calculations can be used). For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>b. For farms not using feed containing fish meal and fish oil from a manufacturer part of an Improver Program (IP). Provide a FS score for each species used as a feed ingredient (or for all species indicated in 7.1.1b.b) in all feeds used by the farm during the last 12 months. For first audits, farm records must cover ≥ 6 months and all the feed requirements apply only to fish on site.</p> <p>c. Others, please describe</p>	<p>A. Verify that farm possesses information about feed ingredients. Feed supplier: CP Feed, Growel Statement code: The farm cannot provide a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients in Growel feed (to specify genus, species and region of harvest) Statement date: Not available Mention the main ingredients: Not available</p> <p>B. Review FS scores for species used in feed and confirm compliance. Cross check against species listed in feed supplier declarations. FS score by each species: CP Feed: Not applicable. All fish meal and fish oil from CP Feed are made from by-product. Growel: There is no evidence that fish meal and fish oil used in Growel feed is in compliance to FS or it is from a manufacturer part of an Improver Program (IP)</p>	Major	<p>The farm cannot provide a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients (to specify genus, species and region of harvest) There is no evidence that fish meal and fish oil is in compliance to FS</p>	<p>The farm cannot provide a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients in Growel feed (to specify genus, species and region of harvest) There is no evidence that fish meal and fish oil used in Growel feed is in compliance to FS or it is from a manufacturer part of an Improver Program (IP)</p>	
7.2.1c	<p>Indicator: Lacking a FishSource assessment a fishery could be engaged in an Improvers Programme. (transparent and public Fisheries Improvement Project (FIP) with periodic public reporting (refer to Appendix VII).</p> <p>Requirement: See Appendix VII for details on compliance</p> <p>Applicability: All</p>	<p>c. For farms using feed containing fish meal and fish oil from a manufacturer part of an Improver Program (IP). Provide evidence (e.g. communications, agreements, meeting minutes, etc.) that the fish meal and fish oil manufacturer has joined an IP with a publically available work plan and reports on progress at least annually.</p> <p>A consulting party shall ensure that the milestones in the Action Plan are being adhered to annually, and reports on progress are to be posted publicly.</p> <p>b. Others, please describe</p>	<p>C. Review evidence and confirm accuracy (compliance with Appendix VII) A consulting party shall ensure that the milestones in the Action Plan are being adhered to annually, and reports on progress are to be posted publicly. Consulting party name: The farm cannot provide evidence (e.g. communications, agreements, meeting minutes, etc.) that the fish meal and fish oil manufacturer supplying to Growel has joined an IP with a publically available work plan and reports on progress at least annually. Mention briefly the action plan: Not available Action plan record: Not available Deadline to implement: Not available</p>	Minor	<p>The farm cannot provide evidence (e.g. communications, agreements, meeting minutes, etc.) that the fish meal and fish oil manufacturer has joined an IP with a publically available work plan and reports on progress at least annually.</p>	<p>The farm cannot provide evidence (e.g. communications, agreements, meeting minutes, etc.) that the fish meal and fish oil manufacturer supplying to Growel has joined an IP with a publically available work plan and reports on progress at least annually.</p>	

7.2.2	<p>Indicator: Percentage of non-marine ingredients from sources certified by an ISEAL member's certification scheme that addresses environmental and social sustainability</p> <p>Requirement: 80% for soy and palm oil within five years from the date of the ASC Shrimp Standard's publication</p> <p>Applicability: All, after March 2019</p>	<p>a. Be in possession of a statement from feed manufacturer identifying the percentage of soy and palm ingredients that are certified by an ISEAL guideline compliant standard for environmental and social sustainability.</p>	<p>A. Confirm that farm has statement from feed manufacturer identifying the respective percentage of soy and palm ingredients certified to an ISEAL compliant standard. Feed supplier: Not applicable. This indicator is not applicable prior March 2019 Statement code: Not applicable Statement date: Not applicable Percent of soya and palm: Not applicable</p>	N/A	Not applicable. This indicator is not applicable prior March 2019	Not applicable. This indicator is not applicable prior March 2019	
		<p>b. Provide evidence that soy products and palm oil used in feed (as listed in 7.2.2a) are from sources certified as compliant to the standards of an ISEAL member.</p>	<p>B. Review evidence and confirm compliance. Auditor should witness photocopy of certificate as well as statement of compliance by feed manufacturer. Mention SOYA and PALM source: Not applicable. This indicator is not applicable prior March 2019 Certificate number: Not applicable Certified by: Not applicable</p>				
		c. Others, please describe					
Criterion 7.3: Use of genetically modified (GM) ingredients in feed							
7.3.1	<p>Indicator: Allowance for feed containing ingredients that are genetically modified ONLY when information regarding the use of GM ingredients in shrimp feed is made easily available to retailers and end consumers, including:</p> <p>a. Disclosure on the audit reports if GMO ingredients were used in the feed fed to shrimp</p> <p>b. Disclosure if GMO ingredients were used in the feed fed to ASC-certified shrimp all along the supply chain up to the retailer. Total disclosure on therevised auditor reports are published on an easy-access database on the ASC web page (when available). This database, when available, should be made available on demand to retailer and consumers.</p> <p>c. Use of the most adequate, fast and user-friendly communication tools to inform retailers and consumers on all certified products</p> <p>Requirement: Yes [132]</p> <p>Applicability: All</p>	<p>a. Be in possession of a statement (on feed manufacturing company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed (as per 7.1.1a). Statement shall indicate the GMO status of each ingredient as follows: - GM-free (DNA-testing lab results required to accompany feed manufacturer's statement). - GM - unknown</p>	<p>A. Confirm that farm has records. Communicate information to the ASC for posting on a dedicated database Statement code: Declaration letter (from CP Feed, 10/06/2017) Supplier name: CP Feed, Growel Feed volume purchased: 364,752kgs The farm cannot provide statement indicate the GMO status of each ingredient from feed supplier Growel</p>	Minor	The farm cannot provide statement indicate the GMO status of each ingredient from feed supplier	The farm cannot provide statement indicate the GMO status of each ingredient from feed supplier Growel	
		b. Others, please describe					
7.3.2	<p>Indicator: List (footnote) of feed ingredients does not contain any GMO</p> <p>Requirement: Yes</p> <p>Applicability: Farmers using GM-free feed</p>	<p>a. (as per 7.3.1a) Be in possession of a statement (on company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed. Statement shall indicate the GMO status of each ingredient as follows: - GM-free - GM - unknown</p>	<p>A. Confirm that farm has records and that none of the ingredients has a "GM" status Statement code: Declaration letter (from CP Feed, 10/06/2017) Supplier name: CP Feed, Growel Any ingredient GMO? Soyabean meal The farm cannot provide List of feed ingredients does not contain any GMO from feed supplier Growel</p>	Minor	The farm cannot provide List of feed ingredients does not contain any GMO from feed supplier Growel	The farm cannot provide List of feed ingredients does not contain any GMO from feed supplier Growel	
		b. Others, please describe					
7.3.3	<p>Indicator: Non-GMO feed traceability by the feed producer and on the farm</p> <p>Requirement: Yes</p> <p>Applicability: Farmers using GM-free feed</p>	<p>a. Feed manufacturers to supply a list to farmer of all ingredients that have a potential to be GM sources</p>	<p>A. Review list and supporting documents generated through the literature search and confirm the accuracy of the list including, -if available, the Identity Preservation (IP) certificates Statement code: Declaration letter (from CP Feed, 10/06/2017) Supplier name: CP Feed, Growel Any ingredient GMO? Soyabean meal Checked document code: Declaration letter (from CP Feed, 10/06/2017) Checked document date: 10/06/2017 The farm cannot provide a list from feed manufacturers Growel of all ingredients that have a potential to be GM sources</p>	Minor	The farm cannot provide a list from feed manufacturers of all ingredients that have a potential to be GM sources The farm cannot provide records indicating the source (including country of origin) of all ingredients listed in 7.3.3a	Interviewed and documents reviewed, the farm cannot provide a list from feed manufacturers Growel of all ingredients that have a potential to be GM sources The farm cannot provide records from feed supplier Growel indicating the source (including country of origin) of all ingredients listed in 7.3.3a	
		<p>b. Maintain records indicating the source (including country of origin) of all ingredients listed in 7.3.3a</p>	<p>B. Verify the traceability of the ingredient list back to the primary source Checked document code: The farm cannot provide records indicating the source (including country of origin) of all ingredients listed in 7.3.3a Checked document date: Not available</p>				
		c. Others, please describe					

7.3.4	<p>Indicator: Samples taken randomly by the auditor are tested negative by PCR</p> <p>Requirement: Yes</p> <p>Applicability: Farmers using GM-free feed</p>	<p>a. Allow the auditor to take samples from different kinds of feed available at the farm</p> <p>b. Others, please describe</p>	<p>A. Collect samples and submit them to a laboratory ISO 17025 accredited or laboratories operated by universities/governmental offices for using PCR or other molecular test capable of identifying GM products. Confirm the GM-free status of the feed samples</p> <p>Laboratory ISO 17025 accredited/ university name: Eurofins. Sample code: 258-2018-03000586. Results: Negative. Auditors comments: After the NC closing for previous requirements related to Non - GMO feed, extra evidence was request to the client to prove compliance with this indicator.</p>	Compliant			
<i>Criterion 7.4: Efficient use of wild fish [136] for fishmeal and oil</i>							
7.4.1	<p>Indicator: Feed Fish Equivalence Ratio (FFER) [137] L. vannamei and P. Monodon</p> <p>Requirement: L. vannamei ≤1.35:1 and P. Monodon ≤1.9: 1</p> <p>Applicability: All</p>	<p>a. Be in possession of statement(s) from feed manufacturer indicating the average percentage of fish meal and fish oil in each type of feed used. For first audits, farm records must cover ≥ 6 months.</p> <p>b. Maintain records (e.g. receipts) showing weight of shrimp harvested. For first audits, records must cover at least 1 full production cycle per site (see preamble).</p> <p>c. Calculate the weighted average FFER</p> <p>d. Others, please describe</p>	<p>A. Verify that farm possesses information about percent inclusion of fish meal and fish oil for all feed types. Feed manufacturer name 1: CP Feed Statement(s) from feed manufacturer: Declaration Letter (on 05/07/2017) Statement date: 05/07/2017 Percent inclusion of fish meal: 10-20% Percent fish oil: 0% Feed manufacturer name 2: Growel Statement(s) from feed manufacturer: There is no statement(s) from feed manufacturer Growel indicating the average percentage of fish meal and fish oil in each type of feed used Statement date: Not applicable Percent inclusion of fish meal: Not available Percent fish oil: Not available</p> <p>B. Verify the farm keeps records showing weight of shrimp harvested. Records code: Delivery note and production break up for AKL Shrimps Records date: 09/2016 - 09/2017; 10/2017- 03/2018 Total weight of shrimp harvested: 222,391kgs</p> <p>C. Review calculations to verify accuracy. Confirm compliance. Weighted average FFER: 1.45; 1.5</p>	Minor	There is no statement(s) from feed manufacturer indicating the average percentage of fish meal and fish oil in each type of feed used	Interviewed, There is no statement(s) from feed manufacturer Growel indicating the average percentage of fish meal and fish oil in each type of feed used	FFER: 1.45
7.4.2a	<p>Indicator: Economic Feed Conversion Ratio (eFCR)</p> <p>Requirement: Records are available</p> <p>Applicability: All</p>	<p>a. Be in possession of receipts and/or statements from feed supplier indicating feed volume purchased. For first audits, farm records must cover ≥ 6 months and records must cover at least 1 full crop per site (see preamble).</p> <p>b. Maintain records showing the type of feed and the total weight used.</p> <p>c. Maintain records (e.g. receipts) showing weight of shrimp harvested by ponds. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>d. Calculate eFCR and yield for each crop harvested during the last 12 months using the formulas given in the Standard. For first audits, records must cover at least 1 full crop per site (see preamble).</p> <p>e. Calculate weighted average eFCR for the complete production cycle using the formula given in the Standard.</p> <p>f. Others, please describe</p>	<p>A. Review records to confirm that farm has records for all seed. Statement code: Commercial Invoices (170070, 170045, 170016,...) Supplier name: CP Feed, Growel Feed volume purchased: 400,752kgs</p> <p>B. Confirm that farm has complete and accurate records for feed. Records code: Pond Health Report Record date: 09/2016 - 09/2017;10/2017- 03/2018 Total weight used: 364,752kgs</p> <p>C. Verify the farm keeps records by ponds showing weight of shrimp harvested. Weight of shrimp harvested pond 18A36: 8,869kgs Weight of shrimp harvested pond 18A22: 5,565kgs Total harvested shrimp: 222,391kgs Period: 09/2016 - 09/2017; 10/2017- 03/2018</p> <p>D. Review calculations for accuracy and completeness. eFCR: 1.61; 1.46 Yield for each crop harvested: 222,391kgs</p> <p>E. Review calculations for accuracy. Weighted average eFCR for the complete production cycle: 1.61; 1.46</p>	Compliant			eFCR: 1.61
		<p>a. Maintain records showing the type of feed and the amount used. This requirement applies to all feed used in the crops that are included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Confirm the farm has complete and accurate records for feed used. Records code: Pond Health Report Record date: 09/2016 - 09/2017; 10/2017- 03/2018 Type of feed: CP Feed, Growel Amount used: 364,752kgs</p>	Compliant			

7.4.2.b	Indicator: Protein Retention Efficiency Requirement: Records are available Applicability: All	b. Be in possession of relevant documentation of % protein content from feed suppliers for all feed used in the crops included in the calculation. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Verify the farm possesses documentation for % protein. For those that use TN, conversion to protein is done by calculating TN * 6.25. Documentation could be labels on feed bags or claims on feed invoice statements. Type of documents: Certificates of Analysis (CP Feed) Name of the document: Certificates of Analysis (CP Feed) Author: CP's Lab Document code: Certificates of Analysis Document date: 09/2016 - 09/2017; 10/2017- 03/2018 % of protein: 42% (4001, 4002, 4003, 4003P, 4004S, 4004, 4005)		
		c. Use results of 7.4.2.a. and the protein content for the whole shrimp animal that is referenced in scientific literature to calculate the PRE.	C. Review farm's calculations. Cross-check purchase records against the feed quantities reported by the farm. Farm's calculations: 28.1%; 32.02% Feed quantities reported by the farm: 364,752 kgs		
		d. Others, please describe			

Criterion 7.5: Effluent contaminant load

7.5.1	Indicator: Nitrogen effluent load per ton of shrimp produced over a 12-month period [138]. Requirement: Less than 25.2 kg N per ton of shrimp for L. vannamei. Less than 32.4 kg N per ton of shrimp for P. Monodon. Applicability: All	a. Maintain records for daily water exchange rates, including diagram showing general water flows through the farm. For first audits records must cover 1 full crop per site. (see preamble).	A. Verify farm keeps records showing daily water exchange rates including diagram showing general water flows through the farm. Average daily water exchange: Less than 10% Verified by: Document review, interviewed Last updating: 08/2017	Compliant		30.08kgs/MT
		b. Maintain records showing the type of feed and fertiliser and the amount used. For first audits, records must cover at least 1 full crop per site (see preamble).	B. Confirm the farm has complete and accurate records for feed used. Period: 09/2016 - 09/2017 Total feed used Kg: 364,752kgs Total fertilizer used Kg: 123kgs Verified by: Document reviewed			
		c. Maintain records (e.g. receipts) showing weight of shrimp harvested. For first audits, records must cover at least 1 full crop per site (see preamble).	C. Verify the farm keeps records showing weight of shrimp harvested. Period: 09/2016 - 09/2017; 10/2017- 03/2018 Total shrimp harvested MT: 222,391kgs			
		d. Farms that operate earthen ponds at a daily water exchange rate of 10% or lower: Be in possession of evidence (either from the manufacturer, from an independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices) indicating N content in each feed and fertilizer used.	D. Verify the farm possesses evidence. Independent ISO 17025 accredited laboratory name: CP Feed's Lab Feed N content: 6.72% (converted from protein content) Fertilizer N content: 46%			
		e. Farms that DO NOT operate earthen ponds at a daily water exchange rate of 10% or lower: - Submit results of N concentration in effluent water from a fully independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices. - Submit results of N concentration in supply water from a fully independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices.	E. Confirm the laboratory is suitably qualified to conduct water testing. Review test results Independent ISO 17025 accredited laboratory name: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Results of N concentration in effluent water: Not applicable			
		f. Farms that DO NOT operate earthen ponds at a daily water exchange rate of 10% or lower: Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).	F. Verify the farm keeps complete records of water intake. Records date: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Record code: Not applicable Verified by: Not applicable			
		g. In situations where it is impractical for farms to accurately measure the volume of effluent water (e.g. due to irregular seasonal flooding), farms shall provide a diagram describing farm and size and volume of each enclosure	G. Verify accuracy through direct observation. For first time audits: auditors should cross-check the accuracy of the farm's map of at least 1 pond chosen randomly using Google Maps, satellite images or similar means (if detailed information is available). Farm Volume m3: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Pond verified: Not applicable Verified by: Not applicable			
		h. In situations where it is impractical for farms to accurately measure the volume of effluent water (e.g. due to irregular seasonal flooding), farms shall provide records of stocking and harvest events in each enclosure and a calculation of the average number of production cycles per pond over 12 months	H. Review records and verify accuracy of the calculation Records date: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Record code: Not applicable Verify by: Not applicable			

		<p>i. In situations where it is impractical for farms to accurately measure the volume of effluent water (e.g. due to irregular seasonal flooding), farms shall submit results of N concentration in pond water from a fully independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices.</p>	<p>I. Confirm the laboratory is suitably qualified to conduct water testing. Review test results Independent ISO 17025 accredited laboratory/university name: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Results of N concentration in pond: Not applicable</p>				
		<p>j. In situations where it is impractical for farms to accurately measure the volume of effluent water (e.g. due to irregular seasonal flooding), farms shall provide evidence indicating average daily % water renewal.</p>	<p>J. Review evidence and confirm accuracy Average daily water exchange: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Verified by: Not applicable Last updating: Not applicable</p>				
		<p>k. Apply the relevant formula and calculate N discharge per ton of shrimp produced</p>	<p>K. Review farm's calculations to confirm the farm complies with the Requirement. Formula used: N load kg/ton shrimp = N input in kg x 0.3 / tons of shrimp produced Kg N/TM shrimp: 30.08kgs/MT; 29.73kgs/MT</p>				
		<p>I. Others, please describe</p>					
<p>7.5.2</p>	<p>Indicator: Phosphorous effluent load per ton of shrimp produced over a 12-month period. Requirement: Less than 3.9 kg P per ton of shrimp for L. vannamei. Less than 5.4 kg P per ton of shrimp for P. Monodon. Applicability: All</p>	<p>a. Maintain records showing the type of feed and fertilizer and the amount used. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>A. Verify farm keeps records showing daily water exchange rates including diagram showing general water flows through the farm. Average daily water exchange: Less than 10% Verified by: Document review Last updating: 07/2017</p>	<p>Compliant</p>			<p>5.01kgs/MT</p>
		<p>b. Maintain records (e.g. receipts) showing weight of shrimp harvested. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>B. Confirm the farm has complete and accurate records for feed used. Period: 09/2016 - 09/2017; 10/2017- 03/2018 Total feed used Kg: 364,752kgs Total fertilizer used Kg: 123kgs Verified by: Document reviewed</p>				
		<p>c. Farms that operate earthen ponds at a daily water exchange rate of 10% or lower: Be in possession of evidence (either from the manufacturer or from an independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices) indicating P content in each feed and fertilizer used.</p>	<p>C. Verify the farm keeps records showing weight of shrimp harvested. Period: 09/2016 - 09/2017 ;10/2017- 03/2018 Total shrimp harvested MT: 222,391kgs</p>				
		<p>d. Farms that DO NOT operate earthen ponds at a daily water exchange rate of 10% or lower: Be in possession of evidence (either from the manufacturer, from an independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices or laboratories operated by university's/governmental offices) indicating P content in each feed and fertilizer used.</p>	<p>D. Confirm the laboratory is suitably qualified to conduct water testing. Review test results Independent ISO 17025 accredited laboratory name: CP Feed's Lab Feed P content: 1.52% Fertilizer P content: 19.8% (Converted from P2O5)</p>				
		<p>e. Farms that DO NOT operate earthen ponds at a daily water exchange rate of 10% or lower: Maintain records of water intake. For first audits, records must cover at least 1 full crop per site (see preamble).</p>	<p>E. Verify the farm keeps complete records of water intake. Records date: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Record code: Not applicable Verified by: Not applicable</p>				
		<p>f. Farms that CANNOT measure the amount of effluent water: provide a diagram describing farm and size and volume of each enclosure</p>	<p>F. Verify accuracy through direct observation. Cross-check the accuracy of the farm map or diagram using Google Map, satellite images or similar means (if detailed information is available). Farm Volume m3: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Pond verified: Not applicable Verified by: Not applicable</p>				
		<p>g. Farms that CANNOT measure the amount of effluent water: provide records of stocking and harvest events in each enclosure and a calculation of the average number of production cycles per pond over 12 months</p>	<p>G. Review records and verify accuracy of the calculation Records date: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Record code: Not applicable Verify by: Not applicable</p>				
		<p>h. Farms that CANNOT measure the amount of effluent water: Submit results of P concentration in pond water from a fully independent ISO 17025 accredited laboratory or laboratories operated by university's/governmental offices.</p>	<p>H. Confirm the laboratory is suitably qualified to conduct water testing. Review test results Independent ISO 17025 accredited laboratory/university name: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Results of N concentration in pond: Not applicable</p>				

		<p>i. Farms that CANNOT measure the amount of effluent water: Provide evidence indicating average daily % water renewal.</p> <p>j. Apply the relevant formula and calculate P discharge per ton of shrimp produced</p> <p>k. Others, please describe</p>	<p>I. Review evidence and confirm accuracy Average daily water exchange: Not applicable. Only take water at the first crop of year and no discharge until the last crop of the year Verified by: Not applicable Last updating: Not applicable</p> <p>J. Review farm's calculations to confirm the farm complies with the Requirement. Formula used: P load kg/ton shrimp = P input in kg x 0.2 / tons of shrimp produced Kg P / MT shrimp: 5.01kgs/MT; 5.03kgs/MT</p>			
7.5.3	<p>Indicator: Responsible handling and disposal of sludge and sediments removed from ponds and canals.</p> <p>Requirement: No discharge or disposal of sludge and sediments to public waterways and wetlands.</p> <p>Applicability: All</p>	<p>a. Provide a detailed sludge and sediment management plan. The plan will ensure that no sludge or sediments in any form is discharged directly into receiving waters or natural ecosystems.</p> <p>b. Maintain records of sludge sediment disposal and or movements. For first audits, farm records must cover ≥ 3 months.</p> <p>c. If sludge/sediments is transferred to an external party, be in possession of a declaration from the receiving party that specifies the sludge volume, delivery date, and expected use. The party shall declare that the sludge will not be discharged directly into receiving waters or natural ecosystems.</p> <p>d. If a sludge/sediment repository is used, provide a map showing its location within the farm or documents showing legal access to the repository (either ownership or a statement from the owner of right of use).</p> <p>-</p> <p>f. Others, please describe</p>	<p>A. Review the farm's sludge/sediment management plan. Farm's sludge/sediment management plan code: Appendix D - Sludge and Sediment management plan (Included in Manual) Record date: 02/01/2017 Last updating: 02/01/2017</p> <p>B. Review records to confirm appropriate disposal according to plan. Records available: Not applicable. Sediment is not disposed or moved Records date: Not applicable. Last updating: Not applicable.</p> <p>C. If yes to (c), confirm farm has appropriate documentary evidence. Declaration code: Not applicable. Sediment is not disposed or moved Sending date: Not applicable Use: Not applicable</p> <p>D. If yes to (d), inspect sludge repository during on-site visit. Map available: Not applicable. Sediment is not disposed or moved Legal access verified by: Not applicable</p> <p>E. During local community and employee interviews, verify there is no evidence that the farm discharged sludge/sediments directly into receiving waters on natural ecosystems at least for the previous 1 year Interviews declarations: Onsite observation and interview, confirmed that sludge/sediment is not moved or disposed.</p>	Compliant		
7.5.4	<p>Indicator: Treatment of effluent water from permanently aerated ponds.</p> <p>Requirement: Evidence that all discharged water goes through a treatment system [139], and concentration of settleable solids in effluent water < 3.3 mL/L [140].</p> <p>Applicability: Farms with permanently aerated ponds</p>	<p>a. Provide a detailed effluent water treatment plan including the calculation of the hydraulic retention time.</p> <p>b. Maintain a settlement basin managed following the specifications of this requirement.</p> <p>c. Maintain records of water discharge from the settlement basin or suitable alternative. For first audits, farm records must cover ≥ 3 months.</p> <p>d. Maintain records of settleable solids measurement on all instances of water discharge following the specification in [140]</p> <p>e. Arrange for a settle able solid measurement to take place while the auditor is at the farm.</p> <p>f. Others, please describe</p>	<p>A. Review the farm's effluent water treatment plan. Effluent water treatment plan code: Included in Manual Record date: 02/01/2017 Verified by: Mr. Dominic Savior</p> <p>B. During on-site visit, inspect the settlement basin or a suitable alternative and confirm compliance. The water from pond is treated in 8 hours before discharge into environment</p> <p>C. Review records to confirm appropriate effluent management according to plan. Records code: ETP discharge during harvest Record date: 04/06/2017 - 06/09/2017; 25/02/18- 29/03/18 Last updating: 06/09/2017</p> <p>D. Review records for completeness and confirm compliance Records code: ETP discharge during harvest Record date: 04/06/2017 - 06/09/2017; 25/02/18- 29/03/18 Last updating: 06/09/2017</p> <p>E. Witness the measurement of settle able solids to confirm compliance with procedures. Methodology used: Imhoff Cone. There is not discharging at audit time, so the auditor have observed the farm doing a mock measurement Briefly of equipment's: Imhoff cone Does the auditor agree with client procedure? Yes.</p>	Compliant		
		<p>a. Provide DO measurements .</p>	<p>A. Review dataset to confirm that monitoring covers the required timeframe. Period dates: 01/01/2017 - 31/08/2017; 10/17- 03/2018 Minimum DO: 7.9 mg/L Maximum DO: 8.2 mg/L Reference: DO measurement record Name of the reviewed document: Mr. Dominic Savior</p>	Minor	Calculation of percent change in DO has been provided, however it is not accurate.	Calculation of percent change in DO has been provided, however it is not accurate.

7.5.5	Indicator: Percentage change in diurnal dissolved oxygen (DO) relative to DO at saturation in receiving water body [141] for the water's specific salinity and temperature. Requirement: ≤ 65% Applicability: All	b. Calibrate all equipment at the frequency and by the method recommended by the manufacturer. Temperature, salinity and altitude are to be adjusted for in calibration or calculations.	B. Verify the farm technicians calibrate equipment as required. Manufacturer name: Oxyguard Frequency recommended: Every time before measurement Method recommended: Before each measurement Is it in compliance by manufacturer? Yes			
		c. Calculate percent change in DO for each monitoring date using the equation in Annex D.	C. Review calculations to confirm accuracy. Accurate calculations? Calculation of percent change in DO has been provided, however it is not accurate. Records code or name: DO measurement record Date of recording: 01/01/2017 - 31/08/2017			
		d. Use results of 3.2.1c to calculate the average percent change in DO over the entire 12-month monitoring period. For first audits, farm records must cover ≥ 6 months.	D. Confirm the average percent change in DO is ≤ 65%. Period: 09/2016 - 09/2017 Average Percent change in DO: Calculation of percent change in DO has been provided, however it is not accurate.			
		e. Arrange to take DO measurements while the auditor is at the farm.	E. Witness the farm measuring DO to confirm compliance with procedures. On-site values should fall within range of farm data for DO. If an out of range measurement is observed, raise a non-conformity. Audit DO: At morning: 72% At afternoon: 122% Falls in farm range data set? Not available. There is no data set for comparing.			
		f. Others, please describe				
Criterion 7.6: Energy efficiency						
7.6.1	Indicator: Energy consumption [142] by sources [143] over a 12-month period. Requirement: Records available for all activities. Applicability: All	a. Maintain a list of the activities (e.g. water aeration, water pumping, offices, internal transportation, etc.) included in the calculation of energy consumption	A. Review list for completeness Energy sources: Diesel Mention the main farm's activities: Aeration, water pumping, office, lighting, transportation	Compliant		
		b. Maintain records (e.g. receipts) of farm energy consumption. Compute the quantity of fuel and electricity used by the farm in the last 12 months. For first audits, farm records must cover ≥ 6 months.	B. Review calculations. Verify the farm keeps records of energy consumption. Record date: 09/2017 Farm energy consumption in the last year (or 6 months): 373,070 liters			
		c. Others, please describe				
7.6.2	Indicator: Annual Cumulative Energy Demand (mega joules/ton of shrimp produced) [144] over a 12-month period. Requirement: Records available for verification of calculations. Applicability: All	a. Using the records in 7.6.1b calculate the Annual Cumulative Energy Demand for the farm per tonne of shrimp produced (ascertain that the period corresponding to the production tonnage is equivalent to the same period of energy consumption reported).	A. Review calculations. Verify the farm keeps records of energy consumption. And ascertain that the production period of the tonnage produced corresponds to the energy consumption. Period: 09/2016 - 09/2017; 10/2017 - 03/2018 MJ/MT shrimp: 64293.45 MJ/MT; 32197.68 MJ/MT	Compliant		
		b. Others, please describe				
Criterion 7.7: Handling and disposal of hazardous materials and wastes						
7.7.1	Indicator: Safe storage and handling of chemicals and hazardous materials [145]. Requirement: Evidence of procedures in place. Applicability: All	a. Identify all chemicals and hazardous materials used on the farm.	A. During on-site inspections, verify that the farm's list of chemicals and hazardous materials is accurate. Mention the main chemicals and hazardous material: Engine oil, chemical Last updating: 2017	Major	The farm cannot provide procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm Onsite observation and found that chemical and hazardous waste is not safe storage (there is no spill conventions, there is no warning signs)	The farm cannot provide procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm Onsite observation and found that chemical and hazardous waste is not safe storage (there is no spill conventions, there is no warning signs)
		b. Prepare a procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm	B. Review the farms procedure. Verify implementation during the on-site audit. Procedure available: The farm provided procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm, however it is not enough clear for dealing hazardous waste Record date: Not available Record code: Not available Verified by: Not available			
		c. Ensure safe storage of all chemicals and hazardous materials.	C. Inspect storage areas to verify that chemicals are stored safely. Briefly describe the storage conditions: Onsite observation and found that chemical and hazardous waste is not safe storage (there is no spill conventions, there is no warning signs)			
		d. Ensure that all employees are trained in farm procedures for safe storage and handling of chemicals and hazardous materials.	D. Interview farm staff to verify that employees have received training and procedures are followed. Record training code: AKL/TR/01 Training date: 17/02/2017 Given by: Mr. Dominic Savior and Mr. Leninraj			
		e. Others, please describe				

7.7.2	Indicator: Responsible handling and disposal of wastes based on risk assessment and possibilities of recycling. Requirement: Evidence of procedures in place. Applicability: All	a. Prepare a plan for farm waste management that is based on risk assessment and national guidelines. Ensure that the plan covers responsible handling and disposal of all farm wastes.	A. Review the farm's waste management plan to confirm that it explicitly addresses responsible handling and disposal of all farm wastes. Inspect the farm's disposal practices while on-site to verify that the plan is implemented. Farm's waste management plan code: Appendix E - Waste Management Plan Plan date: 02/01/2017 Verify by: Mr. Dominic Savior	Compliant			
		b. Provide evidence that no human or animal solid waste is being discharged into the natural environment and demonstrate that the use of the most responsible disposal solutions based on what is locally available.	B. Inspect the farm for any evidence of waste being discharged into the natural environment. Is there any human or animal solid waste discharged into the natural environment? Does The farm implement the use of the most responsible disposal solutions based on what is locally available? Yes				
		c. Demonstrate that the farm separates and recycles waste wherever is possible (e.g. Feed bags and plastic containers).	C. Inspect the farm for any evidence that the farm separates and recycles waste. Does the farm operate and recycle waste? Yes What is the way to separate and recycle waste? By recycle possibility				
		d. Others, please describe					

11 Findings

NC reference	Indicator	Grade of NC	Description of NC	Evidence	Date of detection	Status	Related VR (#)	Root cause (by client)	Corrective/preventive actions implemented	Deadline for NC close-out	Evaluation by CAB (including evidence)	Date request for delay received	Justification for delay	Next deadline	Request evaluation by CAB	Date request approved
1	2.1.1	Minor	Verified BEIA and found that it is not included all of requirements for BEIA.	Verified BEIA and found that it is not included all of requirements for BEIA.	14/09/2017	Closed	NA	Though BEIA study conducted by registered experts and requirements for BEIA not briefed in the report due to lack of awareness on ASC Standards	<u>Corrective:</u> BEIA study conducted by registered experts in November 2017, and all requirements for BEIA included in the report. <u>Preventive action:</u> ASC Shrimp Standard provided to the BEIA registered experts to prevent the occurrence of such issue in future. BEIA will be review by company staff.	13/12/2017	1. BEIA report, revised Nov 2017					
2	2.3.2	Minor	The farm cannot provide the list of endangered species that occur in the area. The farm can provide the list of marine and fresh water endangered species by national authorities, however there is not list of endangered species on land.	The farm cannot provide the list of endangered species that occur in the area. The farm can provide the list of marine and fresh water endangered species by national authorities, however there is not list of endangered species on land.	14/09/2017	Closed	NA	Though there is no endangered species reported so far surrounding the project area and same not briefed in the BEIA report due to lack of awareness on ASC Standard.	<u>Corrective:</u> BEIA study conducted by registered experts and included the evidences from all the Government Authorities regarding endangered species both marine & terrestrial. <u>Preventive action:</u> ASC Shrimp Standard provided to the BEIA registered experts to prevent the occurrence of such issue in future. BEIA will be review by company staff.	13/12/2017	Action plan and evidence are accepted. 1. BEIA report, revised Nov 2017. List of endangered species included.					
3	2.5.3	Major	The farm cannot provide monthly records of specific conductance measured in a freshwater well used by the farm. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor	Interviewed and found that the farm cannot provide monthly records of specific conductance measured in a freshwater well used by the farm. There was no conductance measurement be taken in presence of the auditor.	14/09/2017	Closed	NA	Specific conductance not measured in freshwater well as it is located in camp area for utility purpose only which is far away from farming activities. It has happened due to lack of awareness on ASC standard	<u>Corrective:</u> Specific conductance measured in a freshwater well used by the farm and results included in the BEIA report. <u>Preventive:</u> Training conducted on ASC standard and documented to prevent such occurrence in future.	13/12/2017	1. Monthly records of conductance measured in freshwater well 2. ASC training record					
4	2.5.4	Major	The farm does not have records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields. The B-EIA does not identify the sampling stations and the frequency of monitoring. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor	The farm does not have records for every six months of specific conductance measured in adjacent land ecosystems and agricultural fields. The B-EIA does not identify the sampling stations and the frequency of monitoring. The farm cannot arrange for a specific conductance measurement to be taken in presence of the auditor	14/09/2017	Closed	NA	Specific conductance not measured in adjacent land ecosystem as there is no agriculture fields near farming area and same declared by Mafia District Council. BEIA does not identify the sampling stations and the frequency of monitoring and also farm cannot arrange for specific conductance measurement to be taken in presence of auditor due to lack of awareness on ASC Standard and unavailability of chloride test kit at farm.	<u>Corrective:</u> Specific conductance measured in adjacent land ecosystems and results included in the BEIA report along with the identification of sampling stations and the frequency of monitoring. <u>Preventive:</u> Training conducted on ASC standard and documented to avoid such kind of incidents in future.	13/12/2017	1. Records of conductance measured. 2. BEIA report, revised Nov 2017. 2. ASC training record					
5	3.1.1B	Minor	The p- SIA does not adhere to all the steps outlined in Appendix II e.g. It was difficult to determine if sufficient time was provided for interested parties to participate and/or get informed as there is no execution plan with timeframes and or no records to proof the process. Attendance record for one meeting with each stakeholder dated the 21 and 23 August 2017 was provided but no records of agendas or discussion points and outcomes are not attached to the report. A copy of the report has not been provided to the Local government Mafia District Council or to a civil society organization chosen by the community. The conclusions or outcomes listed in the report has not been agreed between farm and surrounding community on how to manage risks and impacts included in the report. Develop and approve with all stakeholders a monitoring plan and indicators on both positive and negative risks and impacts.	It is noted that the p-SIA was conducted by the HR Manager of the farm. Credentials and proof of previous participatory consultation could not be verified to determine suitability of the commissioned person. The p- SIA does not adhere to all the steps outlined in Appendix II e.g. It was difficult to determine if sufficient time was provided for interested parties to participate and/or get informed as there is no execution plan with timeframes and or no records to proof the process. Attendance record for one meeting with each stakeholder dated the 21 and 23 August 2017 was provided but no records of agendas or discussion points and outcomes are not attached to the report. A copy of the report has not been provided to the Local government Mafia District Council or to a civil society organization chosen by the community. The conclusions or outcomes listed in the report has not been agreed between farm and surrounding community on how to manage risks and impacts included in the report. Develop and approve with all stakeholders a monitoring plan and indicators on both positive and negative risks and impacts.	14/09/2017	Closed	NA	Though pSIA study conducted but not briefed on monitoring plan and indicators on both positive and negative risks and impacts due to lack of awareness on ASC Standard.	<u>Corrective:</u> pSIA Committee formed with the approval of Mafia District Commissioner. pSIA Committee meeting conducted on 13/10/2017 discussed all the aspects related to ASC Standard that includes monitoring plan and indicators on both positive and negative risks and impacts. pSIA Committee meeting minutes conducted and documented along with group photo of committee members & Mr Frank Jacob katindi certificate of Post Graduate Diploma in Mediation and Arbitration. It has been decided that pSIA Committee members will meet once in 6 months. Copy of pSIA report provided to the Mafia District Council and acknowledgement for the same documented. <u>Preventive action:</u> Training conducted and documented on ASC Standard to avoid such incidence in future	13/12/2017	Action plan and evidence are accepted. 1. Invitation of Mafia District. 2. Letter of Mafia District confirming participation. 3. List of committee members. 4. Invitation letter to the stakeholders. 5. Minute of meeting 6. Record of Attendance meeting. 7. Acknowledgement letter of Mafia District of receiving the pSIA report.					

6	3.2.1	Minor	It is noted that the farm has not develop and apply a verifiable conflict resolution policy for local communities.	It is noted that the farm has not develop and apply a verifiable conflict resolution policy for local communities.	14/09/2017	Closed	NA	Though conflict resolution format file maintained in HR office and never reported any such issues by local communities. Farm has not develop conflict resolution policy due to lack of understanding on ASC Standard.	<p>Corrective: Farm has developed a conflict resolution policy and procedure for local communities and same communicated in the pSIA Committee meeting minutes. Conflict resolution policy and procedure included and documented in the pSIA report.</p> <p>Preventive action: Training conducted and documented on ASC Standard to avoid such incidence in future</p>	13/12/2017	Action plan and evidence are accepted. 1. Conflict resolution Policy. 2. ASC trainig record					
7	3.2.2	Minor	It is noted that the farm has a complaint procedure noted in the Alphakrust operational manual but does not include the stakeholders identified in the p-SIA.	It is noted that the farm has a complaint procedure noted in the Alphakrust operational manual but does not include the stakeholders identified in the p-SIA.	14/09/2017	Closed	NA	Though complaint procedure included in the Alphakrust Operational Manual and format for same accessible in HR Office for reporting but procedure for complaint not included in the pSIA report due to lack of awareness on ASC Standard.	<p>Corrective: Complaint procedure included and documented in pSIA report. The procedure for complaint well communicated in pSIA Committee meeting minutes.</p> <p>Preventive action: Training conducted for reporting but procedure for complaint not included in the pSIA report due to lack of awareness on such issue in future.</p>	13/12/2017	Action plan and evidence are accepted. 1. Complaint Procedure updated 2. ASC training record					
8	4.4.1	Major	a). It is noted that 37 of the 223 employees were trained on the 9 February 2017, the balance of the employees still to be trained. Also no proof could be provided that recent appointed employees received H&S induction training. No previous training records were provided. c) It is noted that facility does not have a complete risk assessment that identifies risks associated with job activities.	a). It is noted that 37 of the 223 employees were trained on the 9 February 2017, the balance of the employees still to be trained. Also no proof could be provided that recent appointed employees received H&S induction training. No previous training records were provided. c) It is noted that facility does not have a complete risk assessment that identifies risks associated with job activities.	14/09/2017	Closed	NA	Though H&S induction training conducted only for 37 employees and remaining employees were scheduled for the training in the end of September 2017 as training will not much efficient if conducted together for all employees. Though risk management procedure available in the Farm Operational Manual but does not have complete risk assessment with job activities and it has happened due to lack of awareness on ASC Standard	<p>Corrective: Occupational H&S training conducted for rest all the employees currently working at Farm. Complete risk assessment done and identified the risks associated with job activities. Training conducted & documented on occupational health & Safety .</p> <p>Preventive: Training on ASC standard to avoid such occurrence in future.</p>	13/12/2017	Action plan and evidence are accepted. 1. Records of induction H&S. 2. Occupational Health and Safety Risk Assessment updated 3. ASC training record					
9	4.8.1	Minor	It is noted that the employees involved with harvesting does not receive a day off after every 7 days worked. The farm's employment policy and the fixed term employment contract clearly states that after every 6 days worked the employee will receive a day off. Consecutive days worked varied from 8, 9 and 14 days.	It is noted that the employees involved with harvesting does not receive a day off after every 7 days worked. The farm's employment policy and the fixed term employment contract clearly states that after every 6 days worked the employee will receive a day off. Consecutive days worked varied from 8, 9 and 14 days.	14/09/2017	Closed	NA	Though it is not a regular process and it has happened because unavailability of skilled staff during harvesting and discontinuity of workers from the job ; it has happened due to lack of awareness on ASC Standard	<p>Corrective: Training conducted for another batch of staffs to make awareness about the harvesting process and this will lead to have two different batch of staffs available during harvesting and to make sure each batch staff receive a day off after every 6 days worked.</p> <p>Preventive: Training conducted and documented on harvesting and training on ASC standard to avoid such incidence in future.</p>	13/12/2017	Action plan and evidence are accepted. 1. Record of training harvest activity. 2. ASC training record					
10	4.8.2	Minor	It is noted that the permanent contract in clause 7 mention the end time of the working day, but the employment contract does not state that workers have the right to leave the farm after the end of the working day.	It is noted that the permanent contract in clause 7 mention the end time of the working day, but the employment contract does not state that workers have the right to leave the farm after the end of the working day.	14/09/2017	Closed	NA	Though the workers have the right to leave the farm after the end of working day but it is not included in the contract for them who stays in camp accomodation provided by company , due to lack of awareness on ASC Standard	<p>Corrective: Alphakrust Camp accomodation policy and procedure included in the employment manual where it is clearly stated that the workers have the right to leave the farm after the end of working day.</p> <p>Preventive: Training conducted and documented on ASC standard</p>	13/12/2017	Action plan and evidence are accepted. 1. Camp accomodation policy and procedure updated 2. ASC training record					
11	4.10.1	Minor	It is noted that there is no proof that meetings are held between management and the workforce.	It is noted that there is no proof that meetings are held between management and the workforce.	14/09/2017	Closed	NA	As it's a regular policy of the company to have a meeting with the workforce but same not documented due to lack of awareness on ASC Standard	<p>Corrective: Last management meeting with work force conducted on 30/9/2017. Meeting minutes documented.</p> <p>Preventive: Training conducted and documented on ASC Standard to avoid such incidence in future.</p>	13/12/2017	Action plan and evidence are accepted. 1. Meeting minutes pf 30/09/2017. 2. ASC training record					
12	5.1.1	Minor	The farm does not have plan to deal with mass mortality because of diseases to avoid spreading pathogens to the environment	The farm does not have plan to deal with mass mortality because of diseases to avoid spreading pathogens to the environment	14/09/2017	Closed	NA	Though it is included in Farm Operational Manual major shrimp diseases prevention and control , but not have a plan to deal with mass mortality because never encountered such issues as Tanzania coast is free from any kind of pathogens that can lead to mass mortality. It has happened due to lack of awareness on ASC Standard	<p>Corrective: Mass mortality management plan included in the Farm Operational Manual. Training conducted and documented on mass mortality.</p> <p>Preventive: Training conducted and documented on ASC Standard to avoid such incidence in future.</p>	13/12/2017	Action plan and evidence are accepted. 1. Mortality management plan updated. 2. Training record on mass mortality. 3. ASC training record					

13	5.3.1	Minor	Chlorine was used however they are not listed in the approved chemical list	Interviewed and found that Chlorine, was used however they are not listed in the approved chemical list	14/09/2017	Closed	NA	Though chlorination procedure included in Farm Operational Manual and same included in the list of approved chemicals by Tanzania Fisheries Department but not included in the Appendix A of Farm Operational Manual due to lack of own check by Quality Manager Mr. Dominic. The frequency of checking is once in a year at the time of review or whenever necessary and same was left to be checked on July 2017.	Corrective: Chlorine included in the Appendix A List of approved chemicals of Farm Operational Manual. Preventive: Training conducted and documented on documentation and record control and as per the frequency i.e., once in a year or at the time of reviewing the documents checking has to be done or whenever necessary to avoid such incidence in future.	13/12/2017	Action plan and evidence are accepted. 1. List of Chemicals updated. 2. Training record of Documentation and record control.						
14	5.3.6	Minor	Although neutralization is made by processing factory's personnel, there is no evidence that the farm assure that Sodiummetabisulfite is completely neutralized before discharged by the farm.	Interviewed and found there is no evidence that the farm assure that Sodiummetabisulfite is completely neutralized before discharged by the farm.	14/09/2017	Closed	NA	Though neutralization procedure for Sodium Metabisulfite available with the processing factory and same followed during harvesting by processing staffs. There is no evidence for the same for the Farm due to lack of awareness on ASC Standard.	Corrective: Sodium metabisulfite neutralizing record made and documented and same will be followed from next harvesting onwards. Preventive: Training conducted and documented on ASC Standard to avoid such occurrence in future.	13/12/2017	Action plan and evidence are accepted. 1. Record template of neutralization for metabisulfite. 2. ASC training record						
15	6.1.2	Major	The farm cannot provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years. The farm cannot provide a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point There is no evidence that the farm checked trapping devices to sample for the existence of escapes	The farm cannot provide official records or statement showing local maximum water level (river levels, tide levels, flooding levels, etc) in the previous 25 years. The farm cannot provide a statement from local authorities or reputable organisation reporting the altitude (m above sea-level) of the bund in its lowest point There is no evidence that the farm checked trapping devices to sample for the existence of escapes	14/09/2017	Closed	NA	Though we have the procedure in Farm GAP manual escape recovery protocol but evidence for checking trapping device not available along with official statement for tidal level and altitude of the bund in its lowest point due to lack of awareness on ASC Standard.	Corrective: Official statement provided by Tanzania Port Authority regarding maximum tidal level in the previous 25 years and evidence included in the BEIA report along with the lowest bund point survey field book Evidence format made for checking trapping devices to sample for the existence of escapes. Preventive: Training conducted and documented on ASC Standard to prevent the occurrence of such issue in future.	13/12/2017	Action plan and evidence are accepted. 1. Official records of maximum water level in the previous 25 years. 2. Statement from local authorities reporting the altitude of the bund in its lowest point. 3. Template records of net and trapping device inspection. 4. ASC training record						
16	7.1.1	Major	The farm cannot provide a statement (on feed manufacturer company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed. The farm cannot provide 3rd party statements as stated at invoice from feed ingredient supplier indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions	Document reviewed, the farm cannot provide a statement (on feed manufacturer company letterhead) of the feed supplier identifying all the feed ingredients making up more than 2% of the feed from the supplier Growel Document reviewed, The farm cannot provide 3rd party statements as stated at invoice from feed ingredient supplier of Growel indicating the country of origin and (for fish products), fishing area according to FAO major fishing areas and subdivisions	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	Corrective: Related documents provided by the feed manufacturer. Preventive: To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. Statement of the feed supplier identifying all the feed ingredients making up more than 2%. 2. Copies of 3rd party statements for the feed ingredient supplier indicating the country of origin and fishing area according to FAO.						
17	7.1.2	Major	The farm cannot provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients other than products of trimmings	Interviewed and found that the farm cannot provide 3rd party evidence (through an ISEAL member or ISO 65 compliant certification scheme that incorporates the FAO Code of Conduct for Responsible Fisheries) demonstrating chain of custody and traceability for all marine ingredients in feed from supplier Growel other than products of trimmings	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	Corrective: Related documents provided by the feed manufacturer. Preventive: To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. BAP certificate of feed mills.						
18	7.2.1b	Major	The farm cannot provide a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients (to specify genus, species and region of harvest) There is no evidence that fish meal and fish oil is in compliance to FS	The farm cannot provide a statement from feed manufacturer identifying the origin of all marine meals and oils products used as feed ingredients in Growel feed (to specify genus, species and region of harvest) There is no evidence that fish meal and fish oil used in Growel feed is in compliance to FS or it is from a manufacturer part of an Improver Program (IP)	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	Corrective: Related documents provided by the feed manufacturer. Preventive: To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. FS of the feed ingredients.						

19	7.2.1c	Minor	The farm cannot provide evidence (e.g. communications, agreements, meeting minutes, etc.) that the fish meal and fish oil manufacturer has joined an IP with a publicly available work plan and reports on progress at least annually.	The farm cannot provide evidence (e.g. communications, agreements, meeting minutes, etc.) that the fish meal and fish oil manufacturer supplying to Growel has joined an IP with a publicly available work plan and reports on progress at least annually.	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	<u>Corrective:</u> Related documents provided by the feed manufacturer. <u>Preventive:</u> To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. IFFO Certificates.						
20	7.3.1	Minor	The farm cannot provide statement indicate the GMO status of each ingredient from feed supplier	The farm cannot provide statement indicate the GMO status of each ingredient from feed supplier Growel	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	<u>Corrective:</u> Related documents provided by the feed manufacturer. <u>Preventive:</u> To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. GMO's Growel declaration						
21	7.3.2	Minor	The farm cannot provide List of feed ingredients does not contain any GMO from feed supplier Growel	The farm cannot provide List of feed ingredients does not contain any GMO from feed supplier Growel	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	<u>Corrective:</u> Related documents provided by the feed manufacturer. <u>Preventive:</u> To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. GMO's Growel declaration						
22	7.3.3	Minor	The farm cannot provide a list from feed manufacturers of all ingredients that have a potential to be GM sources The farm cannot provide records indicating the source (including country of origin) of all ingredients listed in 7.3.3a	Interviewed and documents reviewed, the farm cannot provide a list from feed manufacturers Growel of all ingredients that have a potential to be GM sources The farm cannot provide records from feed supplier Growel indicating the source (including country of origin) of all ingredients listed in 7.3.3a	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	<u>Corrective:</u> Related documents provided by the feed manufacturer. <u>Preventive:</u> To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. GMO's Growel declaration						
23	7.4.1	Minor	There is no statement(s) from feed manufacturer indicating the average percentage of fish meal and fish oil in each type of feed used	Interviewed. There is no statement(s) from feed manufacturer Growel indicating the average percentage of fish meal and fish oil in each type of feed used	14/09/2017	Closed	NA	Though it has been communicated in advance with feed manufacturer for the related documents but not provided the same on time due to delayed response from feed manufacturer.	<u>Corrective:</u> Related documents provided by the feed manufacturer. <u>Preventive:</u> To avoid such incidence in future it has been notified to feed manufacturer to provide related documents well in advance once consignment shipped from the origin and if same not followed will stop purchasing feed from them.	13/12/2017	Action plan and evidence are accepted. 1. Growel declaration						
24	7.5.5	Minor	Calculation of percent change in DO has been provided, however it is not accurate.	Calculation of percent change in DO has been provided, however it is not accurate.	14/09/2017	Closed	NA	It has happened due to lack of understanding on the calculation as per ASC Standard.	<u>Corrective:</u> Calculation of percent change DO has been corrected. <u>Preventive:</u> To avoid misunderstanding in future proper procedure for the calculation are in place.	13/12/2017	Action plan and evidence are accepted. 1. Procedure of calculation for DO 2. Calculation records						
25	7.7.1B	Major	The farm cannot provide procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm Onsite observation and found that chemical and hazardous waste is not safe storage (there is no spill conventions, there is no warning signs)	The farm cannot provide procedure for their safe storage and handling of all chemicals and hazardous materials used on the farm Onsite observation and found that chemical and hazardous waste is not safe storage (there is no spill conventions, there is no warning signs)	14/09/2017	Closed	NA	Though procedure available in Farm Operational Manual for storage and handling of chemicals but safe storage & handling of all chemicals / hazardous materials not briefed in the procedure due to lack of awareness on ASC Standard.	<u>Corrective:</u> Procedure for safe storage and handling of all chemicals and hazardous materials included in the Farm Operational Manual. Proper demarcated place away from farm for keeping used oils & lubricants. Keep spill conventions and warning signs are in place. Photographs for the same available. <u>Preventive:</u> To avoid such occurrence in future training conducted and documented on safe storage and handling of all hazardous chemicals.	13/12/2017	Action plan and evidence are accepted. 1. Procedure for safe storage and handling chemicals and hazardous materials. 2. Training of records in Hazardous chemical, safe storage and handling. 3. Photographs for storage area. 4. Pictures of Proper demarcated place away from farm for keeping used oils & lubricants. Keep spill conventions and warning signs are in place.						

III. ASC Audit Report - Traceability/ Ripoti ya Ukauzi ya ASC- Ufuatili

10 Traceability Factor/ Kipengele cha Ufuatili	Description of risk factor if present. / Maelezo ya kipengele cha hatari kama kipo	Describe any traceability, segregation, or other systems in place to manage the risk./ Elezea mfumo wa ufuatiliazi, utenganisho au mifumo mingine yoyote inayotumika kukabiliana na hatari
10.1 The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, produced within the same operation./Uwezekano wa kuchanganya au ubadilishaji wa bidhaa zilizoidhinishwa na zisizo kuthibitishwa, ikiwa ni pamoja na bidhaa zenye muonekano sawa au unaofanana, zinazozalishwa katika biashara hiyo hiyo.	There is no possibility of mixing or substitution. Whole farm is registered for ASC certification with the same species. There is no access of other providers to the production unit/ Hakuna uwezekano wa kuchanganya au kubadilisha.Shamba lote limesajiliwa kwa uidhinishwaji wa ASC kwa spishi moja. Hakuna upatikanaji wa watoa huduma wengine kwenye kitengo cha uzalishaji	The farm has controlled entrance points that record the entrance or exit of any vehicle./ Shamba limeshibiti sehemu za kuingilia ambazo zinarekodi kuingia au kutoka kwa gari lolote.
10.2 The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, present during production, harvest, transport, storage, or processing activities./ Uwezekano wa kuchanganya au kubadilisha bidhaa zilizothibitishwa na zisizothibitishwa, ikiwa ni pamoja na bidhaa zenye muonekano sawa au zinazofanana, wakati wa uzalishaji, uvunaji, usafiri, uhifadhi, au shughuli za usindikaji.	There is no possibility of mixing or substitution. Whole farm is registered for ASC certification. The farm is responsible of products until harvest were shrimp is collected in tanks over a truck at pond gate./ Hakuna uwezekano wa kuchanganya au kubadilisha. Shamba lote limesajiliwa kwa vyeti vya ASC. Shamba linawajibika kwa bidhaa mpaka mavuno ya uduvi kisha yanakusanywa kwenye matenki yaliyo juu ya malori kwenye lango la bwawa .	The product harvested is transferred from pond outlet and put directly in sealed containers/ Bidhaa iliyovunwa inahamishwa kutoka bwawani na moja kwa moja inawekwa kwenye chombo kisichoingiza hewa
10.3 The possibility of subcontractors being used to handle, transport, store, or process certified products./Uwezekano wa wakandarasi wanaotumiwa kusimamia, kusafirisha, kuhifadhi, au kusindika bidhaa zilizothibitishwa.	Farm does not use any subcontractor to handle certified product. Transport, store, or process certified products are made by the processing factory./Shamba halitumii mkandarasi yeyote kusimamia bidhaa zilizoidhinishwa. Usafirishaji, uhifadhi au usindikaji wa bidhaa zilizothibitishwa hufanywa na kiwanda cha usindikaji.	There is no subcontractors, there is no intention of use subcontractors until now. Harvested shrimp are transported by farm's owner/. Hakuna makandarasi, hakuna nia ya kutumia makandarasi mpaka sasa. Uduvi uliovuliwa husafirishwa na mmiliki wa shamba
10.4 Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product enters the chain of custody./ Nafasi nyingine yoyote ambapo bidhaa zilizothibitishwa zinaweza kuchanganywa, kubadilishwa, au kubandikwa alama kwa makosa na bidhaa isiyokuwa imethibitishwa kabla bidhaa haijaingia kwenye mnyororo wa umiliki.	No opportunity where certified product could potentially be mixed, substituted, or mislabelled with non-certified product./ Hakuna fursa ambapo bidhaa zilizothibitishwa zinaweza kuchanganywa, kubadilishwa, au kukosewa vibandiko na bidhaa ambayo haijathibitishwa.	There is no other shrimp farm surrounding the registered farm, there is no risk./ Hakuna shamba la uduvi karibu na shamba lililosajiliwa, hakuna hatari

10.5

Detail description of the flow of certified product within the operation and the associated traceability system which allows product to be traced from final sale back to the unit of certification
This shall include the traceability documentation at each stage of handling certified product and how product can be linked from each document (e.g. through batch codes, lot codes, etc.).
This shall also include a detailed description of the systems used to segregate and identify certified product at each stage of handling./*Maelezo ya kina ya mtiririko wa bidhaa zilizothibitishwa katika kampuni na mfumo wa ufuatiliizi unaoruhusu bidhaa kufuatiliwa kutoka kwa uuzaji wa mwisho hadi kwenye kitengo cha uidhinishwaji. Hii itajumuisha nyaraka za ufuatiliaji kwa kila hatua ya kushughulikia bidhaa zilizothibitishwa na jinsi bidhaa zinavyoweza kuunganishwa na kila nyaraka (k.m. kwa njia ya batch codes, lot codes, nk). Hii pia itajumuisha ufafanuzi wa mifumo inayotumiwa kutenganisha na kutambua bidhaa zilizothibitishwa kwa kila hatua ya utunzaji.*

There is a strong traceability system at the farms. It allows to trace the product from the final sale back to the unit of certification. There are some documents that permits to identify the certified product./ *Kuna mfumo imara wa ufuatiliizi kwenye shamba. Inawezesha kufuatilia bidhaa kutoka kwenye mauzo ya mwisho hadi kwenye kitengo cha uidhinishwaji. Kuna baadhi ya nyaraka zinazoruhusu utambuzi wa bidhaa iliyodhibitishwa.*

1. Seed stocking: Minutes of hand-over seed signed by both parties, VAT Invoice mentioned date of buying seed. From these records/documents it is traceable to batch of seed
 2. Grow-out: During this period, the farm use pond diary to record as well as traceability
 3. Harvest and transfer shrimp to transportation vehicle: All shrimp after harvested will be transferred by the farm's owner so there is no risk of mixing during transportation.
 4. Other Production records/
- 1. Akiba ya mbegu: hadidu rejea za upeanaji wa mbegu zilizosainiwa na pande zote mbili, ankara ya VAT ikitaja tarehe ya kununua mbegu. Kutoka kwenye rekodi hizi / nyaraka ni rahisi kufuatilia kundi la mbegu
2. Kukua: Katika kipindi hiki, shamba linatumia rekodi za bwawa pamoja na ufuatiliizi
3. Kuvuna na kuhamisha uduvi kwenda gari la usafiri: Uduvi wote baada ya kuvunwa utahamishwa na mmiliki wa shamba hivyo hakuna hatari ya kuchanganya wakati wa usafirishaji.
4. Rekodi nyingine za uzalishaji*

10.6

Traceability Determination: / Uamuzi wa Ufuatiliaji:

10.6.1

The traceability and segregation systems in the operation are sufficient to ensure all products identified and sold as certified by the operation originate from the unit of certification, or/ *Mifumo ya ufuatiliaji na utenganisho katika biashara inatosha kuhakikisha bidhaa zote zilizothibitishwa na kampuni zinatoka kwenye kitengo cha uidhinishwaji, au*

Yes. There is no non-certified product in the operation; so all of products harvested from this farm originate from unit of certification./ *Ndiyo. Hakuna bidhaa isiyothibitishwa katika kampuni; kwa hiyo bidhaa zote zilizovunwa kutoka kwenye hili shamba zinatoka kwenye kitengo cha uidhinishwaji.*

10.6.2

The traceability and segregation systems are not sufficient and a separate chain of custody certification is required for the operation before products can be sold as ASC-certified or can be eligible to carry the ASC logo./ *Mifumo ya ufuatiliaji na utenganisho haitoshi na mnyororo tofauti wa umiliki unahitajika katika kampuni kabla bidhaa hazijauzwa kama zile zilizothibitishwa na ASC au inaweza kustahili kuwa na alama ya ASC.*

No, systems is sufficient and it is not required a separate chain of custody certification for the farm./ *Hapana, mifumo inatosha na haihitaji mnyororo tofauti wa umiliki kwa ajili ya shamba.*

10.6.3

The point from which chain of custody is required to begin./ *Hatua ambapo mnyororo wa uidhinishwaji unatakiwa kuanza*

At point of landing (farm gate) when shrimp is harvested and transferred from ponds to transportation vehicle before transporting to processing factory./ *Hatua kwenye lango la shamba ambapo uduvi unavunwa na kuhamishwa kutoka kwenye mabwawa kwenda kwenye gari la kusafirisha kabla ya kusafirisha kwenda kwenye kiwanda cha usindikaji.*

10.6.4

Is a separate chain of custody certificate required for the producer?/ *Je mnyororo wa umiliki tofauti unahitajika kwa mzalishaji?*

No, There is no necessary a separate chain of custody for the farm./ *Hapana, hakuna haja ya kuwa na mnyororo wa umiliki tofauti unaohitajika kwenye shamba.*

IV. ASC Audit Report - Closing/ *Ripoti ya Ukaguzi ya ASC- Kufunga*

12 Evaluation Results/ *Tathmini ya matokeo*

12.1 A report of the results of the audit of the operation against the specific elements in the standard and guidance documents./ *Ripoti ya matokeo ya ukaguzi kwenye kampuni dhidi ya vipengele maalum katika nyaraka za viwango na miongozo.*

Auditors team found that ALPHAKRUST LTD is not fully in compliance with some social and environmental indicators reviewed.

8 major non -conformity and 17 minor non conformities were raised during the audit.

Timu ya wachunguzi iligundua kuwa ALPHAKRUST LTD haikubali kikamilifu na viashiria vya karibu na kijamii na mazingira vinavyopitiwa.

8 kubwa yasiyo ya ufanisi na 17 yasiyo ya kufanana non walikuza wakati wa ukaguzi.

After the NC closing for some requirements related to Non -GMO feed, extra evidence was request to the client to prove compliance with 7.3.4 indicator so that certification decision was delayed.

Baada ya kufungwa kwa NC kwa mahitaji fulani kuhusiana na malisho yasiyo ya GMO, ushahidi wa ziada uliomba ombi kuthibitisha kufuata na kiashiria 7.3.4 ili uamuzi wa vyeti uchelewe.

12.2 A clear statement on whether or not the audited unit of certification has the capability to consistently meet the objectives of the relevant standard(s)./ *Taarifa ya wazi juu ya kama kitengo cha uidhinishaji kina uwezo au hakina uwezo wa kutimiza malengo ya kiwango husika.*

ALPHAKRUST LTD is in compliance with the ASC requirements under Shrimp standard after provided appropriate action plans and complete evidence for closing all the NCs..

ALPHAKRUST LTD inafanana na mahitaji ya ASC chini ya kiwango cha Shrimp baada ya kutoa mipango ya utekelezaji sahihi na ushahidi kamili wa kufunga NC zote.

12.3 In cases where Biodiversity Environmental Impact Assessment (BEIA) or Participatory Social Impact Assessment (PSIA) is available, it shall be added in full to the audit report. IF these documents are not in English, then a synopsis in English shall be added to the report as well. / *Katika hali ambapo Tathmini ya Athari za Bioanuai ya Mazingira (BEIA) au Tathmini ya Athari Shirikishi za Kijamii (PSIA) zinapatikana, itaongezwa kikamilifu katika ripoti ya ukaguzi. IWAPO nyaraka hizi hazipo kwa Kiingereza, basi muhtasari wa Kiingereza utaongezwa kwenye ripoti hii.*

Documents attached

Hati zilizounganishwa

13 Decision/ *Maamuzi*

13.1 Has a certificate been issued? (yes/no)/ *Je cheti kimetolewa? (ndio/hapana)*

Certificate code: CUP-C851719-ASC-01-2018-SH

13.2 The Eligibility Date (if applicable)/. *Tarehe ya uidhinishwaji (kama inahusu)*

11-04-2018

13.3 Is a separate coc certifice required for the producer? (yes/no)/ *Je kibali tofauti kinatolewa kwa ajili ya mzalishaji? (ndio/hapana)*

No, There is no necessary a separate chain of custody for the farm./ *Hapana, hakuna haja ya kuwa na minyororo tofauti ya umiliki wa shamba*

13.4 If a certificate has been issued this section shall include:/ *Kama kibali kinatolewa kipengele hiki kitajumuisha:*

13.4.1 The date of issue and date of expiry of the certificate./ *Tarehe ya kutoa na kuisha kwa kibali*

Issue date: 11-04-2018
Expiry date:10-04-2021

13.4.2 The scope of the certificate/ *Ukubwa/wigo wa kibali*

ASC Shrimp Standard, Version 1.0 March 2014

13.4.3 Instructions to stakeholders that any complaints or objections to the CAB decision are to be subject to the CAB's complaints procedure. This section shall include information on where to review the procedure and where further information on complaints can be found./ *Maelekezo kwa wadau kwamba malalamiko yoyote au vikwazo kwa uamuzi wa CAB ni lazima uwe chini ya utaratibu wa malalamiko ya CAB. Sehemu hii itajumuisha taarifa kuhusu wapi pa kufanyia mapitio ya utaratibu na ambapo taarifa zaidi kuhusu malalamiko zinaweza kupatikana.*

There is no comments until now.

In order to comment of the draft version of this report, please contact to: /*Hakuna maoni yoyote mpaka sasa. Ili kutoa maoni kwenye toleo la awali la ripoti hii:*

1. Lead auditor: Mr. Le Xuan Quynh - LeQuynh@ControlUnion.com; / *Mkaguzi Mkuu-Bwn. Le Xuan Quynh - LeQuynh@ControlUnion.com*;

2. Certifier and Scheme Cordinator: Ms. Sandra Midori Kawazo - skawazo@ControlUnion.com/ *Muidhinishaji na Mratibu wa mradi - Bi . Sandra Midori Kawazo - skawazo@ControlUnion.com*/

3. Stakeholders comments; <http://www.cuperu.com/portal/en/comments-of-the-stakeholders>

4. Complains or objections; <http://www.cuperu.com/portal/en/cuc/cuc-terminos-y-condiciones>

14 Surveillance/ Uchunguzi

14.1 Next planned Surveillance/ Uchunguzi ujao uliopangwa

14.1.1 Planned date/ *Tarehe iliyopangwa*

02/2019

14.1.2 Planned site/ *Eneo lililopangwa*

ALPHAKRUST LTD farm
ALPHAKRUST LTD shamba

14.2 Next audit type/ *Aina ijayo ya ukaguzi*

14.2.1 Surveillance 1/ *Uchunguzi wa 1*

X

14.2.2 Surveillance 2/ *Uchunguzi wa 2*

14.2.3 Re-certification / *Utoaji wa pili wa kibali*

14.2.4 Other (specify type)/ *Nyingine (ainisha)*