ASC(Aquaculture Stewarship Council)
Farm Certifiation
Audit Report

Certificate Holder:	Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch
Scope of Assessment:	Oyster farms in Ishinomaki Bay (including Mangokuura inlet) and Oginohama Bay in Ishinomaki City, Miyagi Prefecture, Japan
Certificate Code:	ASC-AMITA-F-1004
Certificate issue date:	27 April 2018
Certificate expiry date:	26 April 2021

Form 3 – Public Disclosure Form

This form shall be submitted by the CAB no less than thirty (30) working 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.

The information on this form shall be public and should be posted on the ASC website within three (3) days of submission (except unannounced audits).
This form shall be written to be readable to the stakeholders and other interested parties.

This form should be translated into local languages when appropriate

PDF 1 Public Disclosure Form

PDF 1.1 Name of CAB	AMITA Corporation
PDF 1.2 Date of Submission	26th December 2018

PDF 1.3 CAB Contact Person

PDF 1.3.1 Name of Contact Person	Hitofumi Yamanoshita
PDF 1.3.2 Position in the CAB's organisation	Scheme manager
PDF 1.3.3 Mailing address	3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan
PDF 1.3.4 Email address	ninsho@amita-net.co.jp
PDF 1.3.5 Phone number	+81-3-5215-8326
PDF 1.3.6 Other	-

PDF 1.4 ASC Name of Client

PDF 1.4.1 Name of the Client	Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch
PDF 1.4.1.a Name of the unit of certification	Oyster farms in Ishinomaki Bay (including Mangokuura inlet) and Oginohama Bay in Ishinomaki City, Miyagi Prefecture, Japan.
PDF 1.4.2 Name of Contact Person	Mr. Yuusuke Miura
PDF 1.4.3 Position in the client's organisation	Chief, Ishinomaki Area Branch
PDF 1.4.4 Mailing address	98-2 Sasu, Watanoha, Ishinomaki-shi, Miyagi 986-2135 Japan
PDF 1.4.5 Email address	yuusuke.m@jf-miyagi.com
PFD 1.4.6 Phone number	+81-225-24-0391
PDF 1.4.7 Other	-

PDF 1.5 Unit of Certification

PDF 1.5.1 Single Site	
PDF 1.5.2 Multi-site	x
PDF 1.5.2.a Ownership status	
PDF 1.5.3 Group certification	

PDF 1.6 Sites to be audited

Site Name	GPS Coordinates	List all species per site and indicate if they are in the scope of the standard	Ownership status (owned/ subcontracted)	Date of planned audit and type of audit (Initial, SA1, SA2, recertification, etc.)	Status (new, in production/ fallowing /in harvest)
Fishery area No. 2601	38° 20.18' N, 141° 26.83' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2602	38° 20.98' N, 141° 26.82' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2603	38° 21.199' N, 141° 26.869' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2604	38° 21.00' N, 141° 26.63' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2605	38° 20.864' N, 141° 26.432' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2606	38° 20.789' N, 141° 26.374' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2607	38° 20.90' N, 141° 26.60' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2608	38° 20.26' N, 141° 26.46' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2609	38° 20.50' N, 141° 25.98' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2610	38° 20.41' N, 141° 25.71' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2611	38° 20.47' N, 141° 25.80' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest

Fishery area No. 2612 38° 20.84' N, 141° 25.20' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2613 38° 21.23' N, 141° 24.91' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2614 38° 20.92' N, 141° 24.07' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2615 38° 21.57' N, 141° 25.30' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2617 38° 21.79' N, 141° 24.75' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2618 38° 21.86' N, 141° 25.08' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2619 38° 21.881' N, 141° 25.985' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2621 38° 22.15' N, 141° 26.26' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2622 38° 22.22' N, 141° 26.54' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2623 38° 21.955' N, 141° 26.471' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2624 38° 22.264' N, 141° 26.767' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2625 38° 22.280' N, 141° 26.912' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2626 38° 22.279' N, 141° 26.975' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest

Fishery area No. 2627 38° 21.78' N, 141° 24.70' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2628 38° 20.38' N, 141° 24.79' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2629 38° 19.93' N, 141° 25.55' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2630 38° 19.62' N, 141° 26.09' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2633 38° 22.72' N, 141° 24.75' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2634 38° 22.85' N, 141° 26.00' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2635 38° 22.53' N, 141° 26.93' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2636 38° 22.275' N, 141° 27.015' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2637 38° 22.301' N, 141° 27.125' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2638 38° 22.530' N, 141° 26.407' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2639 38° 22.492' N, 141° 26.357' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2640 38° 22.622' N, 141° 26.174' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2641 38° 22.812' N, 141° 25.342' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest

Fishery area No. 2642 38° 22.51' N, 141° 24.37' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2643 38° 23.41' N, 141° 25.59' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2644 38° 23.69' N, 141° 25.74' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2645 38° 22.84' N, 141° 24.60' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2646 38° 22.66' N, 141° 23.94' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2647 38° 23.64' N, 141° 25.33' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2648 38° 23.79' N, 141° 25.64' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2649 38° 23.71' N, 141° 25.24' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2650 38° 22.53' N, 141° 23.59' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2651 38° 23.81' N, 141° 24.54' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2652 38° 23.06' N, 141° 23.58' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2655 38° 23.98' N, 141° 22.15' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2656 38° 25.57' N, 141° 22.77' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest

Fishery area No. 2657 38° 25.37' N, 141° 22.80' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2658 38° 23.29' N, 141° 21.85' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2659 38° 18.34' N, 141° 25.66' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2663 38° 23.81' N, 141° 21.02' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2664 38° 23.81' N, 141° 21.01' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2665 38° 24.38' N, 141° 22.00' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2666 38° 24.68' N, 141° 22.85' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2667 38° 23.99' N, 141° 20.60' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2668 38° 25.34' N, 141° 22.85' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2669 38° 25.07' N, 141° 22.44' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2670 38° 24.98' N, 141° 22.50' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest
Fishery area No. 2671 38° 23.93' N, 141° 19.34' E	Crassostrea gigas, in the scope	owned	21st – 22nd February 2019, SA1	in production / in harvest

PDF 1.7 Species and Standards

Standard	Species (scientific name) produced	Included in scope (Yes/No)	ASC endorsed standard to be used	Version Number
Abalone				
Bivalve	Crassostrea gigas	Yes	ASC Bivalve Standard	1.0
Freshwater Trout				
Pangasius				
Salmon				
Shrimp				
Talapia				
Seriola/Cobia				
Other				

PDF 1.8 Planned Stakeholder Consultation(s) and How Stakeholders can Become Involved

Name/organisation	Relevance for this audit	How to involve this stakeholder (in-person/phone interview/input submission)	When stakeholder may be contacted	How this stakeholder will be contacted
Names are closed due to privacy	Staff	in-person	22nd February 2019	in-person
	Local people	in-person	22nd February 2019	in-person
	Local authorities	in-person	22nd February 2019	in-person

PDF 1.9 Proposed Timeline

PDF 1.9.1	Contract Signed:	20th December 2017
PDF 1.9.2	Start of audit:	21st February 2019
PDF 1.9.3	Onsite Audit(s):	21st and 22nd February 2019
PDF 1.9.4	Determination/Decision:	22nd March 2019

PDF 1.10 Audit Team

	Column1	Name	ASC Registration Reference
PDF 1.10.1	Lead Auditor	Naoya Ogawa	
PDF 1.10.2	Technical Experts		
PDF 1.10.3	Social Auditor		

ASC Audit Report – Opening

General Requirements

C1 Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located.

C2 Audit reports may contain confidential annexes for commercially sensitive information.

C2.1 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 stipulated in the certification contract.

C2.2 The public report shall contain a clear overview of the items which are in the confidential annexes.

C2.3 Except for the annexes that contain commercially sensitive information all audit reports will be public.

C3 The CAB is solely responsible for the content of all reports, including the content of any confidential annexes.

C4 Reporting Deadlines for certification and re-certification audit reports (in working day)

C4.1 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 located.

C4.2 Within five (5) days the ASC should post the draft report to the ASC website.

C4.3 The CAB shall allow stakeholders and interested parties to comment on the report for fifteen (15) days.

C4.4 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 operation is located.

C4.5 Within five (5) days the ASC should post the final report to the ASC website.

C4.6 Audit reports shall contain accurate and reproducable results.

C5 Reporting Deadlines* for surveillance audit reports

C5.1 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 located.

C5.2 Within five (5) days the ASC should post the final report to the ASC website.

C5.3 Audit reports shall contain accurate and reproducable results.

1 Title Page

1.1 Name of Applicant	Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch
1.2 Report Title [e.g. Public Certification Report]	Public Certification Report
1.3 CAB name	AMITA Corporation

1.4 Name of Lead Auditor	Naoya Ogawa
1.5 Names and positions of report authors and reviewers	Report author – Naoya Ogawa, AMITA Corporation Report reviewer – Hitofumi Yamanoshita, AMITA Corporation
1.6 Client's Contact person: Name and Title	Mr. Yuusuke Miura
1.7 Date	9th May 2019

2 Table of Contents

3 Glossary

Terms and abbreviations that are specific to this audit report and that are not otherwise defined in the ASC glossary	None

4 Summary

A concise summary of the report and findings. The summary shall be written to be readable to the stakeholders and other interested parties.

4.1	A brief description of the scope of the audit	The scope of the audit is oyster farms in Ishinomaki Bay (including Mangokuura inlet) and Oginohama Bay in Ishinomaki City, Miyagi Prefecture, Japan.

4.2	A brief description of the operations of the unit of certification	The farm is operated by 130 families (42 in Ishinomaki area branch, 46 in Ishinomaki City East branch, 42 in Ishinomaki Bay branch). Each are family owned business but many of them employ a few of their relatives and people they know as workers. These family producers are all members of the Miyagi Prefecture Fishery Cooperative. This certification is a multi-site certificate where a number of producers carry out aquaculture under the common rules of the fishery cooperative. In this area, oysters are cultured in Longline system. Ishinomaki area branch and Ishinomaki City East branch uses two 100 m longlines as a single raft. Ishinomaki bay branch uses two 54 m longlines as a single raft. Number of rafts per producer is 2 to 16 in Ishinomaki area branch, 10 (5 for temporary culture and 5 for the main culture) in Ishinomaki City East and 6 in Ishinomaki bay branch. Currently there are 2493 rafts in total. There is a seed supplier which cultures seeds for several months in the shallow area of Mangokuura to limit the growth rate before shipping. This supplier is not included in the scope of this certificate. Stocks are all wild stocks collected locally. After the initial growth phase, stocks are placed in the open water where they are cultured for 2 years in Ishinomaki area branch and Ishinomaki City East branch and cultured for a year in Ishinomaki bay branch before shipping. Rafts are individually owned by each producer. Rafts are placed when aquaculture starts and removed after harvesting. Plots to place rafts are decided by drawing of lots. Placing rafts is carried out by many farmars cooperating with each other. Harvested oysters are processed at the facilities near the residencial areas of each area where the producer live. Oyster with shells removed are usually put in 10kg containers to be sold at the Fishery Cooperative's market by bidding. There are some oysters sold with the shells attached and there are some sales outside the fishery cooperative's market. From each raft, about 1.5 tonnes (without shell) of oysters are harvested at Ishinomaki area branch and Ishinomaki City East branch whereas about 1 tonne (without shell) of oyster is harvested at Ishinomaki bay branch. Pacific coast of Tohoku Region including the Ishinomaki city was severely damaged by the huge tunami of more than 20m caused by the The Great East Japan Earthquake on March 11, 2011. All the facilities of oyster farm were broken and lost. After the incident, people worked hard to re-start the oyster farming again. At the moment, the total amount of oysters produced from the 3 branches is about 800 tonnes which is a little less than half of what it used to be before the earthquake, but is gradually getting an increase in production amount.
4.3	Type of unit of certification (*select only one type of unit of certification in the list)*	Muti-site
4.4	Type of audit (*select all the types of audit that apply in the list)*	Surveillance audit 1

4.4.1 Number of sites included in the unit of certification

	Owned by client	Subcontracted by client
Initial audit – 1/2018	50	
Surveillance audit 1 – 02/ 2019	62	
Surveillance audit 2 –		
Recertification audit –		

4.5	A summary of the major findings	There was no noncompliance found during the audit. 4 Observations wil be checked at next surveillance.
4.6	The Audit determination	Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch are granted for continuationfor the ASC Bivalve certification for *Crassostrea gigas*.

5 CAB Contact Information

5.1	CAB Name	AMITA Corporation
5.2	CAB Mailing Address	3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan
5.3	Email Address	ninsho@amita-net.co.jp
5.4	Other Contact Information	Tel: +81-3-5215-8326

6 Background on the Applicant

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.	See Public Desclosure Form
6.2	A description of the unit of certification (*for intial audit*)/ changes, if any (*for surveillance and recertification audits*)	UoC is the oyster farm of 3 branches (Ishinomaki area branch, Ishinomaki City East branch and Ishinomaki Bay branch) of Miyagi Prefecture Fishery Cooperative located in Ishinomaki Bay and Oginohama Bay, which is located north west of Oshika peninsula, which is located in south Ishinomaki City. Here farming is done by family owned business basis. Plots of sea surface is allocated to each family producer and each producer manages thier own aquaculture facilities. The fishery cooperative functions as the coordinator. Each area has several oyster processing facilities where producers can remove shells to ship the oyster. All of these facilities will only handle oysters applied for this certification. Therefore UoC includes point up until shipping oysters which is being processed at the facilities.
6.3	Other certifications currently held by the unit of certification	None
6.4	Other certification(s) obtained before this audit	None
6.5	Estimated annual production volumes of the unit of certification of the current year	1100 tons
6.6	Actual annual production volumes of the unit of certification of the previous year (*mandatory for surveillance and recertification audits*)	1132.6 tons
6.7	Production system(s) employed within the unit of certification *(select one or more in the list)*	raft
6.8	Number of employees working at the unit of certification	556
6.9	Size, and/or number of ponds, pens (if multi site, per site)	2493 rafts in total (40 rafts in avarage per site)

7 Scope

7.1	The Standard(s) against which the audit was conducted, including version number	ASC Bivalve Standard Version 1.0 Jan 2012
7.2	The species produced at the applicant farm	Oyster (*Crassostrea gigas*)
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.	The scope of the audit is oyster farms in Ishinomaki Bay and Oginohama Bay in Ishinomaki City, Miyagi Prefecture, Japan. All producers belonging to Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch of Miyagi Prefecture Fisheries Cooperative are included in the scope. Although the name of the bay is divided, it is a continuous water bodies. There are 62 demarcations in this area. At the audit, auditors turned around the bay by ship and confirmed whether 62 demarcations were managed under the same mechanism. There were also 13 oyster processing plants in all, so auditors went around all the plants and confirmed the traceability system. Though there is a change in the number of demarcations (50 in initial audit, 62 in S1), there is no change in production/harvest area.
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.	[Ishinomaki Area Branch] Sawada Oyster Processing Plant – 27-1 Sawada, Sawada, Ihinomaki-shi, MIyagi Sasunohama Oyster Processing Plant – 77 Sasufujigasaki, Watanoha, Ishinomaki-shi, Miyagi Orinohama Oyster Processing Plant – 39 Orinohama, Orinohama, Ishinomaki-shi, Miyagi Tsukinoura Oyster Processing Plant – 26-1 Tsukinoura, Tsukinoura, Ishinomaki-shi, Miyagi Samuraihama Oyster Processing Plant – 28 Samuraihama, Samuraihama, Ishinomaki-shi, Miyagi Oginohama Oyster Processing Plant – 45-2 Yokohamayama, Oginohama, Ishinomaki-shi, Miyagi Momonoura Oyster Processing Plant – 6-34 Kaminoyama, Momonoura, Ishinomaki-shi, Miyagi [Ishinomaki City Tobu Branch] Maginohama Oyster Processing Plant – 25-1 Magiyashiki, Maginohama, Ishinomaki-shi, Miyagi Takenohama Oyster Processing Plant – 15 Isodana, Takenohama, Ishinomaki-shi, MIyagi Kitsunezaki Oyster Processing Plant – 28 Ienoue, Kitsunezakihama, Ishinomaki-shi, Miyagi Sudachi Oyster Processing Plant – 38-1 Sutachiyashiki, Kitsunezakihama, Ishinomaki-shi, Miyagi Fukkiura Oyster Processing Plant – 6 Fukkiyashiki, Fukkiura, Ishinomaki-shi, Miyagi [Ishinomaki Bay Branch] Mangokuura Oyster Processing Plant – 77-1 Iwaida, Watanoha, Ishinomaki-shi, Miyagi
7.5	Description of the receiving water body(ies).	Ishinomaki Bay (including Mangokuura inlet) and Oginohama Bay in Ishinomaki City, Miyagi Prefecture, Japan.

8 Audit Plan

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.

Naoya Ogawa – Lead auditor

Conducting the Audit – 21st, 22nd Feburuary 2019
Writing of the report – Completed on 10th May 2019
Reviewing the report – Completed on 13th May 2019
Taking the certification decision – on 31st May 2019

8.2 Previous Audits (if applicable):

	NC reference number	Standard clause reference	Closing deadline – status – closing date of each NC
8.2.1 Initial audit – 01/2018	2018.1	7.4.2	2019/3/30 – closed – 2019/2/22
Surveillance audit 1 – 02/ 2019			
Surveillance audit 2 – mm/ yyyy			
Recertification audit – mm/ yyyy			
Unannounced audit – mm/ yyyy			
NC close-out audit – mm/ yyyyy			
Scope extention audit mm/ yyyy			

8.3 Audit plan as implemented including:

	Dates	Locations
8.4.1 Desk Reviews	7th January 2019	–
8.4.2 Onsite audits	21st, 22nd Feburuary 2019	Ishinomaki-shi, Miyagi, Japan
8.4.3 Stakeholder interviews and Community meetings	21st, 22nd Feburuary 2019	Ishinomaki-shi, Miyagi, Japan
8.4.4 Draft report sent to client	2019	Ishinomaki-shi, Miyagi, Japan
8.4.5 Draft report sent to ASC	15th May 2019	–
8.5.5 Final report sent to Client and ASC	10th June 2019	–

8.4 Names and affiliations of individuals consulted or otherwise involved in the audit including: representatives of the client, employees, contractors,

○Miyagi Prefecture Fisheries Cooperative		
[Ishinomaki Area Branch] Ken Onodera, Manager Yusuke Miura, Chief	[Ishinomaki City Tobu Branch] Akiyoshi Abe, Manager Ryuta Takahashi, Official	[Ishinomaki Bay Branch] Takuya Abe, Manager Katsuaki Takahashi, Official
○Miyagi Prefecture		
[Tobu Area Promotion Office] Keichi Onodera, Technical Chief		

8.5 Stakeholder submissions, including written or other documented information and CAB written responses to

Name of stakeholder (if permission given to make name public)	Relevance to be contacted	Date of contact	CAB responded Yes/No	Brief summary of points Raised	Use of comment by CAB	Response sent to stakeholder
ASC QA team	ASC	13th May 2019	Yes	Clarification on details of the report	Reflected	Yes

8.6	E5.1.i List of sites exempted from the scope of an	None
8.6.1	E5.1.ii Justification for auditing site(s) meeting	None
8.7	E5.1.1.i List of sites removed after the initial audit	None
8.7.1	E5.2.2 Reason for the removal of sites from the	None
8.8	E5.4 Map of sites included in the unit of certification	See Annex
8.9	E5.5 Site(s) in fallowing period included in the audit	None

AUDIT MANUAL – ASC BIVALVE STANDARD

Created by the Bivalve Aquaculture Dialogue (BAD)

Scope: The requirements of the ASC Bivalve Standard apply globally to all locations and scales of filter-feeding bivalve aquaculture production systems. Bivalve aquaculture is defined by this Dialogue as active husbandry of bivalve shellfish from seed to harvest within a defined area and with defined ownership of the shellfish being cultured.

PRINCIPLE 1. OBEY THE LAW AND COMPLY WITH ALL APPLICABLE LEGAL REQUIREMENTS AND REGULATIONS WHERE FARMING OPERATION IS LOCATED

1.1 Criteria: All applicable legal requirements and regulations where farming operation is located

		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 explanitory text in the 'Audit Evidence' column as appropriate. 3. If you see any Compliance Criteria which is not listed below, please describe 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	**Value/ Metric** Provide values – if applicable for the respective Indicator
1.1.1	**Indicator:** Evidence of compliance with all applicable legal requirements and regulations where the farming operation is located (e.g., permits, licenses, evidence of lease, concessions and rights to land and/or water use) **Requirement:** Yes **Applicability**: All	a. Obtain copies of applicable land and water use laws.	Based on Fishery Act (last amended on 5th August 2015), a demarcated fishery right is established. Act on the Protection of Fishery Resources (last amended on 13th June 2014) and Sustainable Aquaculture Production Assurance Act (last amended on 13th June 2014) are also applied. No breach to any of the law are reported. The client kept a file containing all the latest applicable laws. A list of applicable laws has been prepared. Audit team confirmed permission for establishing the 12 oyster processing facilities issued by Ishinomaki public health department as well as use permit of the facilities (most owned by Miyagi Prefecture Chubu Facility Retention Fishery Cooperative and some owned by inidividuals). Register book of the facilities were confirmed. Certified copy of register of Miyagi Prefecture Fishery Cooperative includes registration of each branch. Regular inspection is not required. When there is no reported incident, no inspection from the state / prefecture is implemented. So far there has been no such incident. Demarcated fishery map, demarcated fishery permit and their list are in place. Ishinomaki Area Branch has 19 demarcations. Ishinomaki City East Branch has 17 demarcations. Ishinomaki Bay Branch has 12 demarcations. There are two shared demarcations of Ishinomaki Area Branch and Ishinomaki Bay Branch. All permitted from September 1, 2013 to August 31, 2018. Acompanied Fishery Right Exercise Regulation is also in place. The demarcated fishery permit specifies the geographical coodinates. Based on the coodinates, Miyagi prefecture has developed the map. Audit team confirmed correspondance of the coodinates in the permit and the map. During site visit, GPS was used to confirm that farming facilities are actually placed accordingly with the map. A map of National Park is available on the website of Miyagi Prefecture. Most part of oyster farm is in the Ordinary Zones of Sanriku Fukkō National Park. There is no restriction to fishery activities in this zone. There are some land areas under the designation of Special Protection Area of the national park, however, there is no farm touching any lands so the regulations of the land area are not applicable to farms. There is a map of wildlife reserve (2016 version). There are designated protected areas on land but sea ara is not applicable. 2018: Fishery Act was revise on July 25th 2018. demarcated fishery permit was renewed; Ishinomaki Area Branch has 25 demarcations. Ishinomaki City East Branch has 29 demarcations. Ishinomaki Bay Branch has 6 demarcations. There are two shared demarcations of Ishinomaki Area Branch and Ishinomaki Bay Branch. All permitted from September 1, 2018 to August 31, 2023. Acompanied Fishery Right Exercise Regulation is also in place.	Compliant		
		b. Obtain original lease agreements or land titles on file.				
		c. Keep records of inspections for compliance with national and local laws and regulations (only if such inspections are legally required in the country of operation).				
		d. Obtain all necessary permits relating to land and water use as required by local and national authorities.				
		e. Provide a detailed map of the farm with at least 4 GPS coordinates to show that farm location in relation to national preservation areas.				
		f. If the farm is sited within a national preservation area or marine protected area, maintain documents to show that the farm's activities are consistent with legal requirements and regulations of the protected area.				
		g. Others, please describe				

PRINCIPLE 2. AVOID, REMEDY OR MITIGATE SIGNIFICANT ADVERSE EFFECTS ON HABITATS, BIODIVERSITY, AND ECOLOGICAL PROCESSES						
2.1 Criteria: Benthic effects for off-bottom and suspended-culture methods[1]						
2.1.1	**Indicator:** Acceptable levels of total 'free' sulfides in surficial sediment (0–2 centimeters from the surface) measured beneath the farm in comparison to control sites[2] **Requirement:** ≤ 1500 μM, monitoring every five years is required, ≥ 1500 μM and ≤ 3000 μM, monitoring every year is required **Applicability:** Off-bottom and suspended methods over depositional substrate	a. <u>If the farm site is a non-depositional area:</u> Ensure that monitoring via video or seabed imaging transects is conducted prior to the first audit and at least once every five years thereafter (Proceed to 2.2.)	The bottom sediment is depositional substrate. They comissioned assistant professor Sakamaki of Tohoku University to collect bottom sediment and measure the S concentration from 13 plots in farm area and 13 plots in control area (areas without farms within the same bays) on Oct 25 and 26, 2017. The sample points were set to cover whole area of Ishinomaki Bay (including Mangokuura inlet) and Oginohama Bay, and from the inner part of the bay to the offing. The results were reported on Dec 11, 2017. S concentration was less than 1500 μ M in all plots. There was no significant difference in S concentration between farm area and control area. 2018: Because the result of previous survey was less than 1500 μ M, next survey will be conducted 5 years later, in 2022.	Compliant		S concentration was less than 1500 μ M in all plots covering whole area.
		b. <u>If the farm site is a depositional area of soft substrate:</u> An initial assessment of S concentration in sediments shall be conducted according to Appendix 1 & 2 of the Bivalve Standard. Direct measurement of S concentration may be replaced by an analysis of benthic community structure in areas where this biotic approach is preferred by the client or is already mandated by a regulatory body [3] (see 2.1.4.). The client shall present information detailing the sampling design used and results of the S assessment: – If S concentration is ≤ 1500 μM, monitoring shall be conducted every five years (Proceed to 2.2.). – If S concentration is ≥ 1500 μM and < 3000 μM, monitoring shall be conducted every year (Proceed to 2.2.). – If S concentration is ≥ 3000 μM (Proceed to 2.1.2.).				
		c. If the farm intends to conduct measurements of total 'free' sulfides using a method different from the one prescribed in Appendix IV & V of the Bivalve Standard (e.g. in order to comply with local regulations), the farm must first request a variation from ASC showing how the alternate method will meet the intent of the Standard in an equivalent way.				
		d. Others, please describe				
2.1.2	**Indicator:** Unacceptable levels of total 'free' sulfide in surficial sediment measured beneath the farm in comparison to control sites **Requirement:** ≥ 3000 μM **Applicability:** Off-bottom and suspended methods over depositional substrate	a. If initial assessment of S concentration is ≥ 3000 μM, the farm is not certifiable unless natural background S levels exceed 3000 μM (proceed to 2.1.3.). Management response is required to reduce S levels.	Sulphide concentration was below 1500 μ M at all surveyed points. 2018: same as above	N/A		
		b. Others, please describe				

2.1.3	**Indicator:** In cases where natural background sulfide levels exceed 3000 µM, the annual S concentrations should not significantly[3] exceed levels measured at reference sites located outside the farm[4] **Requirement:** Yes **Applicability:** Off-bottom and suspended methods over depositional substrate	a. Provide results comparing sampled S culture area to reference sites outside the farm (see Appendices I & 2 for the comparison to control sites). If S concentrations beneath the farm structures are not found to be significantly higher ($p<0.05$) than reference sites , monitoring shall be conducted every year. (Proceed to 2.1.5.). b. Others, please describe	Sulphide concentration was below 1500 µM at all surveyed points. 2018: same as above	N/A		
2.1.4	**Indicator:** Sulfide analysis may be replaced by direct analysis of benthic community structure (i.e. infaunal surveys) in areas where this biotic approach is preferred by the applicant or is already mandated by a regulatory body[5] **Requirement:** Yes **Applicability:** Off-bottom and suspended methods over depositional substrate	a. Notify the CAB if the farm used the biotic approach and identify a source reference (i.e. a scientific publication) for the method used. b. Provide documentary evidence to show how the farm established equivalency of biotic indices with sulfide levels (e.g. reports from analysis of infaunal surveys). c. If S equivalency is < 3000 µM, proceed to 2.1.1. If S equivalency is > 3000 µM, proceed to 2.1.2. d. Others, please describe	Benthic community structure analysis has not been conducted. At the time of sampling the sediment sample, the investigator visually confirmed, but pests were not confirmed. 2018: same as above	N/A		
2.1.5	**Indicator:** Allowance for bivalve aquaculture over areas that provide a particularly significant or essential biological or ecological function within the broader ecosystem[6] **Requirement:** None **Applicability:** Off-bottom and suspended methods	a. Prepare results from video or seabed imaging survey of the farm. b. Summarize information about sensitive habitats in proximity to farming operations (e.g. using a map of habitat distribution; see 1.1.1e) noting any areas where biogenic structures are located [8]). c. Others, please describe	There are several photos of sea bed of Oginohama Bay. There are photos and results of survey carried out in 2013 in Mangokuura. A marine chart of Ishinomaki Bay developed by Japan Coast Guard shows rocks, muds, sands, silts classification of bottom sediment. On Nov 28, 2017 they shot video at 6 plots in the sea of Ishinomaki Bay. Due to the nature of the equipment used, they could not shoot video while moving. So video was shot to record surrounding images of the 6 plots. Sediments seen were mainly sand with silt. No important habitat was identified. Audit team confirmed the DVD and material containing the results of the survey. There has been no place said to be important habitat. Assistant Professor Tamaki of Ishinomaki Senshu University was consulted for the impact of the oyster farm on Zostera bed. .It was confirmed that Zostera marina lives in areas with depth less than 4m and hence their habitat does not overlap with oyster farm and so no impact is expected. Regarding tidal wetland, there is only an artificial one in Mangokuura. Assisstant professor Okoshi commented that there are cases when oyster reefs are formed in tidal wetland, periphyton expands and affects the apanese littleneck etc. So the situation must be monitored. In this area, no oyster reef has been confirmed. Stock culture and temporary culture area is not in the tidal wetland. Hence it is unlikely that the farm affects the tidal wetland. 2018: Additional shooting was done at 10 points on November 6, 2018. No significant habitat was observed. In addition, Tohoku University has been regularly entering the tidal wetland survey in Mangokuura, but the impact of oyster aquaculture has not been observed, and it has been reported that the condition of the tidal wetland continues to be fine.	Compliant	Observation: Since no important habitat was identified by the video survey or by any other means, it is unlikely to identify such habitat. However, the farm should continue conducting the video survey with increased number of plots. Observation: Regarding the tidal wetland of Mangokuura, there is no issue at the moment. However, it is regarded as an important habitat, therefore the farm should continue regular collection of data such as research results of the prefecture and check its contents.	

2.2 Criteria: Pelagic effects						
2.2.1	**Indicator:** The ratio of clearance time[7] (CT) over retention time[8] (RT) **Requirement:** >1 **Applicability:** All* *If the area of all of the farms within a water body as defined in Appendix I of the Bivalve Standard, inclusive of the certification unit, is less than 10% of the total area of the water body, then requirements 2.2.1 and 2.2.2 need not apply.	a. Present a map showing the water body and all farm locations (including the unit of certification). Calculate the percent of the water body area covered by farms and present values used in the calculation. b. If combined area of all farms is < 10 % of total are of the water body, then 2.2.1 does not apply (Proceed to 2.3.1.). c. If the area of the farm is >= 10% of the water body, calculate clearance time (CT) of the dominant bivalve stocks (wild and cultured) for the water body. Provide all bivalve census information and published clearance rates[9] used in the calculation. d. If the area of the farm is >= 10% of the water body, calculate the retention time (RT) of the water body. Calculate CT / RT ratio. Provide all data used in the calculation, including references. e. Others, please describe	Demarcated fishery map is in place. A map of allocated plots for each raft in the demarcation is also in place. The are occupied by oyster rafts in the demarcation was calculated. Occupied are of each raft is calculated as 100m x 1.2m = 120m2 and 54m x 1.2m = 64.8m2. Number of rafts were mutiplied. The result shows the occupied percentage of rafts in the demarcation as 0.93% which is well below 10%. In a part of Mangokuura, there are areas where rafts occupy more than 10%. However, these rafts are only used for one month in a year for temporary keeping the stocks and not used for the rest of the year. Audit team confirmed the accuracy of the culculation during site visit. 2018: Because the fishery permit was renewed and fishery area was changed a little, recalculation was conducted. However, rafts occupy 0.72% on average, and there confirmed no problem.	Compliant		The occupied percentage of rafts in the demarcation is 0.72%.
2.2.2	**Indicator:** Where clearance time is less than retention time, the ratio of clearance time over primary production time[9] (PPT) **Requirement:** >3 **Applicability:** All farms not compliant with 2.2.1.	a. Calculate the yearly averaged phytoplankton biomass (B) and primary production (PPP) for the entire water body. Provide all information regarding the sampling methods used and the locations and times of each sample. Provide all references used in the conversion of values into similar units. b. Calculate primary production time (PPT) and CT / PPT ratio. Provide all data used in the calculation, including references. c. Others, please describe	Not applicable as 2.2.1 is compliant. 2018: same as above	N/A		
2.2.3	**Indicator:** Equivalency with requirements 2.2.1 or 2.2.2 may be demonstrated, if a farm or group of farms is able to prove, through more comprehensive carrying capacity modeling that, in aggregate, they do not exceed the ecological carrying capacity of the applicable water body in which they are located **Requirement:** Yes **Applicability:** –	a. Provide the published peer-reviewed publication describing the model as applied to the present state of the water body and all associated aquaculture. b. Provide the model estimates of CT, RT, and PPT. If these were not directly presented in the publication, provide additional information as to how these parameters were calculated. c. Others, please describe	Not applicable as 2.2.1 is compliant. 2018: same as above	N/A		

2.3 Criteria: Critical habitat and species interactions						
2.3.1	**Indicator:** Allowance for harm to threatened/endangered species[10] or the habitat on which they depend **Requirement:** None **Applicability:** All	a. Provide a list of threatened or endangered species as identified by national law or the IUCN Red List. To obtain the IUCN Red List designated species, perform the above search and record all IUCN Red List species and farm-related threats. b. Provide a map showing location of the farm (see Indicator 1.1.1e) relative to the known distribution of endangered species or critical habitats in the area. c. If a threatened or endangered species is identified in region of the farm (including receiving and source waters), document the specific actions the farm takes to minimize impacts. – e. Others, please describe	Redlist of Miyagi Prefecture (2016) is prepared. There is a list of main rare species found in Ishinomaki City. Redlist species can be found in Mangouura. But they are wetland species and so not likely to be affected by the farm. These redlist species are not found in the Oginohama Bay. On Dec 5, 2017, Assisstant Professor Okoshi of Tohoku University was commissioned to conduct periphyton survey on stock oysters cultured near the wetland. No rare species was identified. Assisstant Professor Okoshi commented "Habitat of the rare species do not overlap with farm area. So it is unlikely that the farm affect other rare species". Wild Bird Society of Japan Miyagi Prefecture Branch was consulted to develop a list of wild birds. There are 46 birds of which 14 are redlist species. There is no anticipated impact of farms on them. Rafts actually have positive impact by providing the birds place to rest and feeding ground. Interview with local community and producers also confirmed that there is no impact on rare species. 2018: The situation is not changed.	Compliant		
2.4 Criteria: Environmental awareness						
2.4.1	**Indicator:** Evidence of environmental training, compliance to regional codes of practices or implementation of environmental management plans. **Requirement:** Required **Applicability:** All	a. Provide documentation of environmental training/education of staff (e.g. certificates, evidence of workshops attended etc.) (OR) b. Provide documentation of regional codes of practice and actions taken to ensure compliance, including staff training (OR) c. Provide evidence for implementation of an environmental management plan. d. Others, please describe	Each Branch and the as a whole, they conducted explanatory seminar and workshops on ASC requirements. Ishinomaki Area Branch on Sep 6, 2017, Ishinomaki Area Branch Oyster Group on Jul 3, 2017, Ishinomaki City East Branch on Aug 28, 2017. On Nov 24, 2017 the 3 branches jointely organized a workshop for oyster producers. About 40 people participated to learn about ASC requirements especially on environemental aspects, prevention of oil contaminations and safety management. Producers who did not participate were provided with the training materials and then received a seminar at each branch. Each branch has developed Farm Use Plan based on Sustainable Aquaculture Production Assurance Act. The plans are approved by Miyagi Prefecture. The approval period is the same period as the demarcated fishery permit. The plan is explained to all member producers and approved internally before applying to the prefecture. Based on the plans, each branch carries out water quality (temperature and dissolved oxygen) and bottom sediment (colour, odour, benthic organism) survey twice a year. The results are reported to Miyagi Prefecture. 2018: Many producers participated in the certification ceremony on September 25, 2018, and WWF Japan also gave a lecture on the environment. Also in 2018, meetings were held at each branch where producers were gathered. Ex) Ishinomaki City East Branch: September 21st, Ishinomaki Area Branch: June 27th, Ishinomaki Bay Branch: September 13th. Minutes was confirmed. In the meeting, explanation of ASC and health & safety were conducted.	Compliant	Observation: Not all the memebrs participated in the workshop. The farm should continue training the members on regular basis.	

PRINCIPLE 3. AVOID ADVERSE EFFECTS ON THE HEALTH AND GENETIC DIVERSITY OF WILD POPULATIONS						
3.1 Criteria: Introduced pests and pathogens						
3.1.1	**Indicator:** Allowance for the illegal introduction of a non-native species, pest or pathogen attributable to the farm within 10 years prior to assessment. **Requirement:** None **Applicability:** All	a. Maintain documentation showing the origin of culture stock including names, addresses, contact person(s) and delivery dates when applicable. – c. Others, please describe	Each producer collects their own stocks. Stocks for 72000 scallop disks can be collected in 100m. Each disk holds about 100 stocks. Some die in the initial culturing phase. When the disks are brought to open water, about 70 to 80 stocks are attaching to a disk. Each branch has summarized production start date, number of scallop disks, number of rafts, status of stock attachment for 2017. There is a list of amount of stocks sorted by producers. There is a list of completion date of stock collection, peak date of production, own consumption amount and amount for sales of the collected stocks for 2016 is in place. The same list will be made for 2017 soon, A list of production of oyster stocks for the past 10 years has been developed. The prefecture conducts survey in the prefecture every year. They have never purchased any stocks from external parties. It was confirmed by interview with local community and local producers. 2018: The record of the year 2018 oyster seedlings was confirmed. There is no purchase from the outside. There are results investigation of 2017 results investigation of 2018. The amount of input for each producer in 2018 is also summarized.	Compliant		
3.1.2	**Indicator:** Documentation of compliance with established protocol or evidence of following appropriate best management practices for preventing and managing disease and pest introductions with seed and/or farm equipment. **Requirement:** Required **Applicability:** All	a. Provide documentation of established protocol or best management practices used in preventing and managing disease and pest introductions. b. Provide evidence that the farm has implemented established protocols or best management practices for preventing and managing disease and pest introductions with seed and/or farm equipment. c. Others, please describe	There has never been any disease or pest occured on the locally collected stocks, So it is condidered that continued use of the locally collected stocks is fine. On 2nd February 2011, the state government notified each prefecture about the risk of Oyster Herpes Virus. In response to this, Miyagi Prefecture Agriculture, Forestry and Fisheries Department General Manager ordered not to purchase culture stocks from other prefectures. They have never purchased any stocks from external parties. There has never been any disease or pest occured. Voluntary self-check of oyster norovirus is conducted once a week. 2018: There is no change in the procedure. There is no import of seedlings from the outside.	Compliant		

3.2 Criteria: Sustainable wild seed procurement						
3.2.1	**Indicator:** Excluding larval collection, evidence that purchased or collected wild seed is not harvested from an open-access, unregulated source **Requirement:** Required **Applicability:** All	a. Maintain documentation showing the origin of culture stock with names, addresses, contact person(s) and delivery dates of each purchase. b. Provide documentation that wild seed has not been collected from an open-access, unregulated source. c. Others, please describe	During July to August when larva occurs, the Prefecture issues Coastal Aquaculture News (Seed Oyster News) every week. Larva occurs naturally in abundance and only a little portion is considered to be used. The statistics shows that past 50-year-use of larva has not affected the natural population. They have developed a material showing estimated percentage of wild stocks collected. Calculation shows about 40% is used. From the experience so far, they know that wild stocks are maintained. Stock input from the nature and other farms in the area will contribute to a rick resource of wild stocks. The earthquake in 2011 washed away all the farming facilities. Wild stocks were collected even after that. The amount of wild stocks are still maintained implying that input of stocks from the farm is not neccessary to maintain the wild stock resource. The demarcated fishery right exercise regulation includes "Oyster suspended farming" and "Stock oyster suspended farming". Based on this, they can only collect stocks in the demarcation. 2018: There is no change in the procedure.	Compliant		
3.3 Criteria: Introduced non-native cultivated species						
3.3.1	**Indicator:** Evidence of responsible[11] introduction of non-native cultivated species **Requirement:** Required **Applicability:** All	a. If the farm works with the culture of newly-introduced non-native bivalve species, obtain permit(s) substantiating compliance with ICES guidelines for introduction of exotic species and certification to ICES requirements regarding parasites and pathogens.[11]. b. Others, please describe	There is no use of non-native oyster culture stock.	Compliant		
3.4 Criteria: Native species cultivation						
3.4.1	**Indicator:** For hatchery produced seed, documentation of efforts made to address genetic concerns specific to species and geographic region where the seed will be out-planted **Requirement:** Required **Applicability:** All farms producing seed	a. Provide documentation of the use of local, wild broodstock to address genetic concerns specific to species and the geographic region where the seed will be out-planted (OR) b. Provide documentation of the scale of farming activities and the reproductive potential of crops (e.g., whether diploid or triploid, or considering age at harvest and age at first maturation) are well-below the size and reproductive potential of the natural population within a reasonable "dispersal kernel" from the farm. (OR) c. Provide documentation on the production of sterile seed for out-planting from breeding programs that intentionally alter wild stocks for improved culture traits, such as growth, yield, survival and morphology (OR) d. Provide documentation of cooperation with restoration efforts in the geographic region using out-planting that involves the intentional divergence from wild stocks to produce disease resistant wild populations e. Others, please describe	Farmers are using the local natural culture stock so that there is no genetic concern. Fisheries Agency notified each Prefecture to investigate and report when triploid is planned to be used. In Miyagi Prefecture there was a research of triploid in the past. However, it was decided that the prefecture is not going to allow the use of triploid so that there is no use of triploid in the prefecture now. They have plenty of naturally occurring larva. So no hatchery produced seed is used. 2018: There are no genetic problems due to the use of native and natural seedlings.	Compliant		

3.5 Criteria: Transgenic animals						
3.5.1	**Indicator:** Allowance for farming of transgenic[12] animals **Requirement:** None **Applicability:** All	a. Maintain documentation showing the origin of culture stock with names, addresses, contact person(s) and delivery dates of each purchase (see 3.2.1a). b. Prepare a declaration stating that the farm does not culture transgenic bivalves. – d. Others, please describe	They have plenty of naturally occurring larva. So no hatchery produced seed is used. They only use local natural larva and there are records of it. Chairperson of Oyster Subcommittee at each branch has signed a commitment on 6th November 2017 mentioning that the subcommittee is not to use triploid, genetically modified shellfish, species from abroad and non-native species. As a result of on-site observation and interviews, there is no doubt about the use of genetically modified organisms. 2018: Because natural seedlings are abundant, artificial seedlings are not used.	Compliant		
PRINCIPLE 4. MANAGE DISEASE AND PESTS IN AN ENVIRONMENTALLY RESPONSIBLE MANNER						
4.1 Criteria: Disease and pest management practices						
4.1.1	**Indicator:** Allowance for the application of mutagenic, carcinogenic or teratogenic pesticides on the farm or farmed animals **Requirement:** None **Applicability:** All	a. Maintain a record of all chemicals (any substance that is added by the producer to farm or farmed animals) used for prior 12 month period by farm and/or contractors. If the farm is located in an integrated facility, all chemicals used in hatcheries and processing plants must be recorded, in addition to those used in grow-out. Supply technical information on all chemicals used on the farm. b. Provide chemical supplier name and contact information. – d. Others, please describe	No chemical is used in farm or oyster processing centre. Ship bottom coating paints used are only those designated as appropriate.	Compliant		
4.1.2	**Indicator:** Allowance for the application of chemicals that persist as toxins in the marine environment or on the farm or farmed animals **Requirement:** None **Applicability:** All	a. Same as 4.1.1.a. b. Same as 4.1.1.b. – d. Others, please describe	No chemical is used.	Compliant		
4.1.3	**Indicator:** Only non-lethal management (e.g., exclusion, deterrents and removal) of critical species[13] that are pests or predators **Requirement:** Yes **Applicability:** All	a. Provide a list of all predator and pest control devices used at the site and their locations. b. Provide a description of all procedures used for managing pests and explain how the farm ensures that no harms is done to critical species (identified in 2.3.1.). c. Others, please describe	Warm water treatment against organisms attached to oysters is conducted at Ishinomaki Area Branch and Ishinomaki Bay Branch. Once a year during late July to early August, oysters are treated with warm water of 60 to 70 degrees C. Organisms other than oyster die because of high temperature. Boilers and hot-water pot are used. 25 boilers are owned at Ishinomaki Bay Branch and there is a list of all boilers. Also a list of boilers at Ishinomaki Area Branch is prepared. On Dec 5, 2017, Assisstant Professor Okoshi of Tohoku University was commissioned to conduct periphyton survey on stock oysters cultured near the wetland. No rare species was identified. This implies that the Warm water treatment is not affecting the rare species. 2018: On July 9, 2018, the time of hot water treatment, we asked the prof. Ohkoshi of Tohoku University to reconfirm the species attached to the shell of seed oyster. Rare species were not observed.	Compliant		

4.1.4	**Indicator:** Allowance for the use of leadline or lead sinkers on predator netting **Requirement:** None **Applicability:** All	a. Ensure that no leadline or sinkers are located on the farm or used on predator netting. b. Others, please describe	Predator netting is not used. No use of lead.	Compliant		
4.1.5	**Indicator:** Allowance for the use of explosives **Requirement:** None **Applicability:** All	a. Ensure that no explosives are used on the farm. b. Others, please describe	No explosive is used.	Compliant		
PRINCIPLE 5. USE RESOURCES EFFICIENTLY						
5.1 Criteria: Waste management/pollution control						
5.1.1	**Indicator:** Evidence of waste reduction (e.g. reuse and recycling) programs **Requirement:** Yes **Applicability:** All	a. Provide a description of the most common production waste materials and indicate which waste materials are recycled. b. Others, please describe	The most common waste is the oyster shells. There is a waste shell collecting facility in Sudahama where all three branches use. From 2013 to 2016 there was a public work on re-creation of tidal wetland in Mangokuura. A material made of 30% oyster shells and 70% sands were used there. Oyster shells were crushed and mixed with the sand. Currently a feed maker collects the oyster shells to use in thier feed and fertilizer. Four of the oyster processing facilities have their own sales chanels of the shells to two fertilizer makers and all the shells are sold to them. 2018: Oyster shells are subsequently used as feed and fertilizer material.	Compliant		

5.1.2	**Indicator:** Evidence of appropriate storage and/or disposal of biological waste **Requirement:** Yes **Applicability:** All	a. Prepare a plan that details how the farm ensures proper disposal of all biological waste including separation and segregation of biological waste from non-biological waste. b. Maintain records to show how the farm disposes of dead bivalves and other forms of biological waste. – d. Others, please describe	8 of the oyster processing facilities temporarily keeps the shells and then brings all the shells to the collecting facility in Sudahama. Four of the oyster processing facilities have their own sales chanels of the shells to two fertilizer makers and all the shells are sold to them. The collecting facility in Sudahama is owned by Ishinomaki City and rented to the Miyagi Prefecture Fishery Cooperative for free. A rent contract from April 1, 2016 for three years was confirmed. The collecting facility is managed by "Ishinomaki City Coast Fishery Cooperative Promotion Council" which was established by the three branches. Collected shells are sold to a fertilizer maker. Sales contract (dated Sep 29, 2017) between the council and the fertilizer maker (Shells Co., Ltd) was confirmed. The fishery cooperative submit "General waste treatment report" to Ishinomaki City. The amount of shells sold to Shells Co., Ltd is recorded in the report. Each branch has a record of oyster shell delivery. Daily delivery record is summarized monthly. Constracts between the four processing facilities and the two fertilizer makers were also confirmed. One year contract from Sep 29 and Oct 16 2017. Ishinomaki Bay Branch collects ropes once a year to be collected by a waste treatment company. In other branches such treatment has not happened since the earthquake in 2011. They have developed a procedure to treat waste equipment as industrial waste. When the amount is large, each branch office facilitates the treatment by commissioning treatment to an external company. For small amount of waste generated by individuals, they commission its treatment themselves. There is no red tide or blue tide and so there is no dead oyster. Hence biological waste has not happened. Periphyton treated by the warm water treatment is stripped off naturally to fall into the sea. 2018: We confirmed the delivery letter of use fee and the receipt certificate of 2018. The contracts for the four processing plants selling directly were renewed for one year, and the renewal was confirmed. There is also a report of the loading volume results of the sedimentation yard of Sudahama in 2018. At the Ishinomaki Bay branch office, the branch office serves as a window to collect ropes, etc. and has them be taken over by an industrial waste company. In other branch offices, individuals are continuously handling.	Compliant		
5.1.3	**Indicator:** Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes **Requirement:** Yes **Applicability:** All	a. Ensure that the disposal of disused equipment and waste is done promptly, including hazardous waste from the site according to local law and Material Safety Data Sheets (MSDS). Farms shall maintain an inventory of all chemicals used or located on site. b. Others, please describe	No chemical is used. Hence no disposal. When engine oil of ships are changed, the old oil is processed appropriately by the company which changes the oil. Invoices of oil changes are kept. Sample invoices were checked. Invoices are paid through the fishery association or by individuals directly. E.g. Invoice dated 20th August 2017 at Ishinomaki Area Branch, dated 20th August 2017 at Ishinomaki City Tobu Branch and dated 31st July 2017 at Ishinomaki Bay Branch were confirmed. 2018: As examples, following repairer invoices were confirmed; Invoice dated 20th November 2018 at Ishinomaki Area Branch, dated 20th March 2018 at Ishinomaki City East Branch and dated 31st December 2018 at Ishinomaki Bay Branch.	Compliant		

5.1.4	**Indicator:** Spill prevention and response plan for chemicals/hydrocarbons originating from farming operations **Requirement:** Required **Applicability:** All	a. Prepare a prevention and response plan spills of chemical and hydrocarbon waste. The plan shall outline the preventative maintenance of equipment exist and in place for the avoidance of fuel spills from vehicles, winches, cranes, and mechanical equipment on land and water. b. Maintain documentation regarding the training history of all employees in the proper disposal of waste and in the prevention and management of chemical and hydrocarbon spills as described in the above plan (5.1.4.a). c. Maintain documentation of equipment or structures that have come into contact with spilled chemicals and have been subsequently cleaned. d. Others, please describe	Miyagi Prefecture has developed "A Manual to Prevent Oil Contamination in Farms" and "Measures in case of oil spillage" as well as "Communication chart in emergency situations". The prefecture has prepared oil fence, absorbing mat, oil treatment. These are kept in the branch offices. In the past there was no major incident of oil spillage. In the oyster processing facilities, there is a "Communication chart in emergency situations" displayed. On Nov 24, 2017, 3 branches jointly organized a workshop for the producers. There is no record of oil spillage as it has never happened. 2018: A heavy oil spill accident occurred at Shichigahama, another area in Miyagi Prefecture, and Miyagi Prefecture conducted a survey, but no arrival of heavy oil into the concerned area was observed.	Compliant		
Criteria 5.2: Energy efficiency						
5.2.1	**Indicator:** Evidence of energy use monitoring relative to production and ongoing effort to improve efficiency **Requirement:** Yes **Applicability:** All	a. Maintain records (e.g. receipts) of on-farm fuel and electricity usage. A minimum of 12 months of continuous records are required before the first audit. b. Compute the annual energy consumption for the last 12 months. Energy usage is itemized and summed in kilojoules. Conversions of energy components to kilojoules of energy can be found at: http://tonto.eia.doe.gov/energyexplained/index.cfm?page=about_energy_conversion_calculator. c. Using results from 5.2.1.b and the total weight (metric tons) of shellfish produced over the last 12 months, determine the farm's energy consumption relative to production. d. Document the main procedures undertaken by the farm to improve energy efficiency and provide a short summary of the effectiveness of those procedures. e. Others, please describe	Producers purchase petrol, diesel oil and heavy fuel oil via each branch office so that purchasing record of each producer is kept. Audit team confirmed a record from Nov 2016 to Oct 2017. There are a few people who purchase fuels not through the Fishery cooperative. Purchase records were checked individually for these people. Power consumption of each oyster processing facility was summarized. Power consumption was converted to kJ. Avarage power consumption of one producer to process 1 tonne (without shell) of oyster was 25,842,974KJ/MT. Power consumption vs production was calculated. On Jul 13, 2015 they received a subsidy to introduce energy saving equipment. They are currently in the process of replacing 2 cycle engines with the 4 cycle engines. Cleaning of the bottom of boats has big impact on improving the fuel consumption rate. So each famer is taking care of cleaning their own boats off the season. 2018: We tabulated from January to December of 2018. As a result of the calculation, the energy consumption per ton of oyster (shucked) per management body was 22, 624, 970 KJ / MT on average. Although no additional energy improvement measures have been implemented, it is thought that the energy consumption per unit decreased due to the decrease in the number of rafts and the shortening of time for oyster processing (production adjustment).	Compliant		Avarage power consumption of one producer to process 1 tonne (without shell) of oyster was 22,624,970KJ/MT.

5.2.2	**Indicator:** Maintenance records for farm equipment (e.g., boats and generators) are up to date and available **Requirement:** Yes **Applicability:** All	a. Prepare a maintenance plan which identifies the schedule for regular maintenance of farm equipment including boats and generators. b. Maintain records of equipment maintenance. A minimum of 12 months of continuous maintenance records must be provided for the first audit. c. Others, please describe	Boats and boilers for warm-water treatment are privately owned. Based on regulations in Fishing Vessel Law, each boat receives regular inspection every 5 years and based on Ship Safety Act, regular inspection (main inspection every 6 years and one light inspection in between in the third year) are carried out by Japan Craft Inspection Organization. Depending on the size of boiler, Industrial Safety and Health Law regulates the requirements on the qualification and regular inspection. But the boilers the farmers own are simple small boiler which are exempt from these requirements. So each farmer checks their own boiler as necessary. The insurance payment receipt for each ship/boat is kept. Ship/boat insurance payment list is also kept. Inspection certificate of Japan Craft Inspection Organization is in place. There is a list of ship registration inspection. Inspection record of folklift was confirmed (both internal check and inspection by external expert). Records of inspection of boats are kept since 2013 and of folklifts are kept since 2016 in a file. Even before these year, the inspections were implemented. 2018: Records of newly conducted boat inspections are kept. There is a record of fishing boat insurance payment. There is the latest fishing boat list. There is a regular inspection record for 2018 of the forklift.	Compliant		
PRINCIPLE 6. BE A GOOD NEIGHBOR AND CONSCIENTIOUS COASTAL CITIZEN						
6.1 Criteria: Community relations and interaction						
6.1.1	**Indicator:** Visible floats must be of a uniform color, except where otherwise specified by law (if applicable to growing area) **Requirement:** Required **Applicability:** All	a. If the farm uses visible floats, ensure that they are all uniform in color. – c. Others, please describe	Most floats are black. A few yellow floats are used for the purpose of indicators at places such as edge of rafts. During site visit, audit team observed places with many yellow floats. During oyster culture, when the oysters grow and become heavier, they add more floats. Sometimes, yellow floats are added instead of black floats. On 15 Dec 2017, the cooperative informed all member in writing to use the black floats as mush as possible. 2018: The situation is not changed.	Compliant		
6.1.2	**Indicator:** Uniform positioning and orientation of visible farm structures, except where specified by law (if applicable to growing area) **Requirement:** Required **Applicability:** All	a. Ensure that visible farm structures are uniformly positioned and oriented and do not impede navigation. b. Others, please describe	Oyster rafts were in order so that even large ships can go through easily. Confirmed during site visit. Places of the rafts are managed by GPS. 2018: The situation is not changed.	Compliant		

6.1.3	**Indicator:** Allowance for floats made out of open-cell Styrofoam **Requirement:** None **Applicability:** All	a. Ensure that no open-celled Styrofoam floats are used or located on the farm. b. Others, please describe	Styrofoam floats including open-celled Styrofoam floats are not used for oyster rafts. 2018: The situation is not changed.	Compliant		
6.1.4	**Indicator:** Noise, light and odor originating from the farm are minimized in areas where it may impact others (if applicable to growing area) **Requirement:** Required **Applicability:** All	a. Prepare a list of all sources of noise, light and odor originating on the farm and include actions taken to reduce them b. Ensure that designated storage areas and containers exist for the materials that create odors. c. Others, please describe	There is a designated area in the processing facilities to keep oyster shells temporarily. All shells are moved to collecting facility every day, so there is no issue of odor. No other lighting / noise issue has happened either. No complaint received from local community. Audit team confirmed during the site visit that there is no source of odor. 2018: The situation is not changed.	Compliant		
6.1.5	**Indicator:** Evidence of compliance with all applicable navigational rules and regulations **Requirement:** Required **Applicability:** Sea-based Farms	a. Provide a copy of local navigation rules and regulations. b. Maintain records of the training of relevant farm staff in local navigational rules and regulations. - d. Others, please describe	Followings apply: Safety Regulations for Small Fishing Vessels based on Fishing Boat Act; Preventing Collisions at Sea Law; Maritime Traffic Safety Act; Act on Port Regulations. The applicant kept the latest laws and regulations list and actual documents. In order to steer a fishing boat, a license to operate small boats is needed. It is renewed every 5 years and each renewal is accompanied by a training seminar. The Association is informed by the Marine Office about the status of each farmer's license. So when renewal is needed, the Association informs the farmer to renew. In the year when there are many renewers, the cooperative conducts the traininig and record is kept. A record dated May 26, 2014 of Ishinomaki Bay Branch was confirmed. In other cases, each person renews the license and renewed license is checked by the cooperative. There is a list of license and the validity of each memeber. 2018: There was a list of licenses, and when the deadline came, they were renewed in the above-mentioned procedure.	Compliant		
6.1.6	**Indicator:** Documented cleanup of receiving shoreline in response to gear loss based on local conditions **Requirement:** Required **Applicability:** All	a. Maintain a record of effort spent cleaning the receiving shoreline in response to gear loss. Record shall span at least a 12 month period prior to the audit. b. Others, please describe	Cleaning is conducted once a year or once in a few years depending on the status of wreckage. A record of cleaning conducted on Sep 16 2016 on Nagahama bathing beach, the largest beach in the area, was confirmed. 2018: The seabed cleaning was conducted at Ishinomaki Area Branch on July 23, 2018. The beach cleaning was conducted at Ishinomaki Bay Branch on July 26-27, 2018. With cooperating local companies, the beach cleaning was conducted at Ishinomaki East Branch on June 26, 2018. Photos of each cleaning were kept as a record.	Compliant		

6.1.7	**Indicator:** Substantial gear (e.g., floats, cages, bags, predator nets and racks) is identifiable to farm (if applicable to growing area) **Requirement:** Yes **Applicability:** All	a. Ensure that all substantial gear is clearly labeled and identifiable as belonging to the farm. At a minimum, labeled gear shall include floats, cages, bags, predator nets and racks. b. Others, please describe	Floats are marked with iron heating. Names of producers are specified so that ownership is clear. 2018: The situation is not changed.	Compliant		
6.1.8	**Indicator:** Provision of equipment for gear recovery (e.g., scoop nets and grapple hooks) **Requirement:** Required **Applicability:** All	a. Ensure that the farm maintains equipment and /or mechanisms for recovering lost gear. b. Others, please describe	Each boat is equipped with a stick with a hook. Confirmed on boats. 2018: The situation is not changed.	Compliant		
6.1.9	**Indicator:** A mechanism (e.g., insurance or an industry agreement to collect derelict gear) is in place for the decommissioning of abandoned farms **Requirement:** Yes **Applicability:** All	a. Provide documentation of a mechanism for the collection and decommissioning of gear. b. Others, please describe	"Document regarding abandoning of a farm by member" was newly developed. When a farmer wishes to abandon a farm, "Closing business application" is to be submitted to the Association. Processes to follow are then discussed case by case. In most cases, next member to take up the place will be decided. There has been no case in the past. 2018: There were producers who went out of business on August 1, 2018 at the Ishinomaki area branch. A notice of business closure was submitted. There were no aquaculture facilities on the sea at the time of retirement and there were no facilities that had to be removed, because those used facilities were transferred to nearby producers.	Compliant		
6.1.10	**Indicator:** Conflict resolution protocol, including publicly available registry of complaints and evidence of due diligence to resolve them **Requirement:** Required **Applicability:** All	a. Provide documentation outlining the farm's protocol for responding to complaints lodged by stakeholders, community members, and organizations. b. Maintain publically available documentation of registered complaints and farm responses. – d. Others, please describe	"Complaints and Requests Following Up Procedure" was developed. No complaint so far. No complaint was confirmed during interview with local people. 2018: There was no complaints.	Compliant		

6.1.11	**Indicator:** Evidence of outreach (e.g., meeting records, newsletters, consultation with communities and indigenous groups, or membership in association with documented outreach program) **Requirement:** Required **Applicability:** All	a. Provide documentation of community outreach and measures taken to maintain positive communication. Documented evidence shall include one or more of the following: – meeting records, – newsletters, – records of consultation with communities and indigenous groups, – membership in an association with a documented outreach program	There is a record of visit of JICA trainees from abroad on Jul 28, 2017. Producer training program called "Oshika Fisherman school x Triton School" was organized four times o Nov 18 and 19, 2017. Reocrds confirmed. 2018: Producers from the Philippines came to Japan on November 17, 2018, organized by the Fisheries Agency, and conducted training in oyster aquaculture. Various ASC certified oysters PR events were held.	Compliant		
		b. Others, please describe				
6.1.12	**Indicator:** Evidence of acknowledgment of indigenous groups' rights (if applicable to growing area) **Requirement:** Required **Applicability:** All	a. Provide a record of agreement or proof of acknowledgement of indigenous rights	Not applicable as no indigenous peoples exist here. 2018: Not applicable	N/A		
		b. Others, please describe				
PRINCIPLE 7. DEVELOP AND OPERATE FARMS IN A SOCIALLY AND CULTURALLY RESPONSIBLE MANNER						
7.1. Criteria: Child labor						
7.1.1.	**Indicator:** Incidences of child [14] labor [15] **Requirement:** 0 **Applicability:** All	a. Minimum age of permanent workers is 15 or higher (per national legal minimum age).	No child labour nor young worker. Employees lists of oyster processing facilities which needs to be submitted to the public health department include ages of employees. Information is updated every year. During site visit audit team confirmed that there is no sign of child labour nor young worker. 2018: Social aspect was not checked in this audit.	Compliant		
		b. System exists to monitor hours and conditions of young workers and light work by children.				
		c. Young workers from 15 to 18 years of age [as defined in footnote 16]: have no conflicts between work and schooling; do not spend more than 10 hours/day on transportation time, school and work; and do not perform hazardous work [as defined in footnote 17].				
		d. Children under 15 perform only light work. Light work & school not to exceed 7 hours/day.				
		e. Equal treatment for children of migrant workers.				
		f. Others, please describe				

7.2. Criteria: Forced, bonded, compulsory labor						
7.2.1.	**Indicator:** Incidences of forced [18], bonded [19], or compulsory labor **Requirement:** 0 **Applicability:** All	a. Contracts clearly stated and understood by employees, no 'pay to work' schemes through labor contractors or training credit programs. b. Employees free to leave workplace and manage their own time. c. Employer does not withhold employee's original identity papers. d. Employer shall not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer. e. Employees not obligated to stay in job to repay debt. f. Others, please describe	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. However, the facts like the one on the left have not been confirmed. Fishery association staff, producers, and people employed by producers were interviewed and it was confirmed that such facts were not for themselves and not in the community. 2018: Social aspect was not checked in this audit.	Compliant		
7.3. Criteria: Discrimination						
7.3.1.	**Indicator:** Incidences of discrimination [20] **Requirement:** 0 **Applicability:** All	a. Written anti-discrimination policies in place, stating that the company does not engage/support in discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination b. Worker testimony supports that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination. Records indicate objective mechanisms for employee reviews and the offering of promotion and training opportunities c. Others, please describe	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. However, the facts like the one on the left have not been confirmed. Fishery association staff, producers, and people employed by producers were interviewed and it was confirmed that such facts were not for themselves and not in the community. 2018: Social aspect was not checked in this audit.	Compliant	Observation: Although it is clear from the consultation and inteview that there is no discrimination, the fishery cooperative should develop an anti-discrimination policy and inform it to all the members.	
7.4. Criteria: Health and safety						
7.4.1.	**Indicator:** All health and safety related accidents and violations are recorded and corrective action is taken when necessary **Requirement:** Yes **Applicability:** All	a. Documentation is generated with regards to occupational health and safety violations. b. Corrective action plans are implemented in response to accidents that have occurred. This should include: analysis of the root causes, address the root causes, remediate and prevent future accidents of similar nature. c. Others, please describe	At least for the past 5 years, there has been no accident in all branches. Each branches have 160 to 180 employees. One family producer typically have 3 to 5 employees. Interview with staff of the cooperative, producers and employees of the producers confirmed that there has been no accident for many years. 2018: Social aspect was not checked in this audit.	Compliant		

7.4.2.	**Indicator:** Occupational health and safety training is available for all employees **Requirement:** Yes **Applicability:** All	a. Minimization of hazards/risks in the working environment, including documented systemic procedures and policies to prevent workplace hazards and their risks, shall exist and the information shall be available to employees. b. Emergency response procedures shall exist and be known by employees. c. Health and safety training for all employees is available, including training on potential hazards and risk minimization. d. Potentially dangerous chemicals are stored properly and as prescribed. e. Others, please describe	There are records of life jacket promotion project. Records of Ishinomaki Area Branch on Sep 14, 2016, Ishinomaki City East Branch on Sep 22, 2017 and Ishinomaki Bay Branch on Apr 20, 2017 were confirmed. On Sep 10, 2017 a document named "Notes on starting oyster havesting operation" was circulated in each branch. It mentioned about safe work on boat and on land. The cooperative has developed "Activities related to Occupational safety management (Safety management procedure" and "Regulations on Occupational safety management of oyster aquaculture". However, audit team observed several producers without life jacket on boat during site visit. There are communication charts in emergency situations displayed in each branch office. On Nov 24, 2017 the 3 branches jointely organized a workshop for oyster producers. About 40 people participated to learn about ASC requirements especially on environemental aspects, prevention of oil contaminations and safety management. No chemical used, 2018: At the Ishinomaki bay branch office, Ishinomaki coast guard conducted marine work safety training on September 18, 2018. Training on how to use the lifejacket and cardiopulmonary resuscitation was conducted. Others are explained at general meetings and so on. On September 19, 2018 at the Ishinomaki east branch, and on September 25, 2018 at Ishinomaki area branch, the activity of Lifeguard Ladies (LGL) was conducted. (Enhancing by handbill distribution to producer, classes of usage, etc.) All producers encountered at the activity during the on-site audit wore a life jacket.	Compliant		
7.4.3.	**Indicator:** Employer responsibility and proof of insurance (accident or injury) for employee medical costs in a job-related accident or injury, unless otherwise covered **Requirement:** Yes **Applicability:** All	a. Documentation maintained by management confirms that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries. Equal insurance coverage must include temporary, migrant or foreign workers. b. Others, please describe	The cooperative is promoting members to join the fraternal insurance. Since it is individual's choice, not every one joins this insurance and some people have chosen difference insurance. Nevertheless, the cooperative regularly announce about the application to join the fraternal insurance. The cooperative has a record of people who have joined the fraternal insurance. For others, the cooperative cannot gain the information on insurance coverage. Interview to oyster shell removers revealed that they have not joined a special additional insurance as they have never experienced major injury. In case if they need to go to hospital, the national health insurance is applied. Since the work they are involved is light and there has been no injury, the audit team judged the situation as OK. 2018: Social aspect was not checked in this audit.	Compliant		

7.5 Criteria: Fair and decent wages						
7.5.1.	**Indicator:** Payment of fair and decent wages **Requirement:** Yes **Applicability:** All	a. Employers/Managers understand and have policies to ensure the principle of equal pay for equal work. b. Employers ensure wages paid for a standard working week (no more than 48 hours) always meet, at least, legal/industry minimum standards. c. Labor conflict resolution policy in place to track conflicts and complaints raised, and responses to conflicts and complaints. d. Ratio of lowest wage rate to basic needs wage always exceeds 100%. e. Others, please describe	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. Wages are decided and paid by each producer. The avarage is about 1000 yen / hour. Interview with the producers and employees of the producers confirmed appropriate payment of wages. In case if a labour conflict occurs, it will be between an individual and another individual. They can consult Labour matter contact of Miyagi Prefecture. The minimum wage of Miyagi Prefecture is 777 yen/hour (as of Oct 1, 2017). The avarage wage of 1000 yen/hour is well above the minimum wage. 2018: Social aspect was not checked in this audit.	Compliant		
7.6. Criteria: Freedom of association and collective bargaining						
7.6.1.	**Indicator:** Employees have access to freedom of association and collective bargaining **Requirement:** Yes **Applicability:** All	a. Workers have the freedom to form and join any trade union, free of any form of interference from employers or competing organizations set up or backed by the employer. The ILO specifically prohibits "acts which are designed to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations". b. Local trade union, or where none exists a reputable civil-society organization, confirms no outstanding cases against the employer for violations of employees' freedom of association and collective bargaining rights. c. Trade union representatives have access to their members in the workplace at reasonable times on the premises. d. Explicit communications from the employer about their commitment to freedom of association and collective bargaining rights of all. e. If trade unions exist, they are able to access/inform all workers directly (posters, pamphlets, visits). f. Others, please describe	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. However, there is no trade union because they are family business. 2018: Social aspect was not checked in this audit.	Compliant		

7.7. Criteria: Non-abusive disciplinary practices						
7.7.1.	**Indicator:** Incidences of abusive disciplinary practices occurring on the farm **Requirement:** 0 **Applicability:** All	a. There is never any use of or support for (e.g. subcontractors using) corporal punishment, mental or physical coercion, or verbal abuse. b. Fines or wage deductions shall not be acceptable as a method for disciplining workers (indicated by policy statements, as well as evidence from worker testimony). c. Procedures exist for situations in which disciplinary action is required, and they establish the use of progressive verbal and written warnings. Aim should always be to improve the worker before letting him/her go. (Indicated by policy statements as well as evidence from worker testimony). d. Others, please describe	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. However, the facts like the one on the left have not been confirmed. Fishery association staff, producers, and people employed by producers were interviewed and it was confirmed that such facts were not for themselves and not in the community. 2018: Social aspect was not checked in this audit.	Compliant		
7.8. Criteria: Working hours						
7.8.1.	**Indicator:** Incidences, violations or abuse of working hours and overtime laws or expectations **Requirement:** None **Applicability:** All	a. No deductions in pay for disciplinary actions. b. Wage and benefits are clearly articulated to employees and rendered to employees in a convenient manner; e.g. no need to travel to collect benefits, no promissory notes, coupons or merchandise; payment in cash or check. c. Labor-only contracting or false apprenticeship schemes are not accepted, including: revolving/consecutive labor contracts used to deny benefit accrual. d. Clear, transparent mechanism for wage setting known to employees. e. Employer shall comply with applicable laws and industry standards related to working hours. "Normal workweek" can be defined by law but shall not on a regular basis (constantly or majority of the time) exceed 48 hours. Only if allowed by law, variations (to the 48-hour regular work week) based on seasonality may apply. f. All overtime shall be paid at a premium and should not exceed 12 hours per week. g. Overtime work shall always be voluntary. h. Others, please describe	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. Working time is decided by each producer. Miyagi Prefecture Fishery Cooperatives has regulated the maximum working hours to be 7 hours per day. Each branch has authority to regulate the maximum worlking hours within the limit specified by the cooperative. Notificaiton document dated Nov 6 2017 was confirmed. Interview with oyster processing workers confirmed that their working hours are about 6 to 7 hour / day. Shipping times of oyster ara fixed. So oyster processing facilities open to meet the shipping times. Harvesting operation takes about 1 to 2 hours. Male workers of family producers usually do this job. Together with the following shell removal, they work about 8 hours in total / day. Coopeerative's market is closed on Sundays, so the oyster processing facilities are also closed on sundays. All above situations were confirmed by interview with staff of the cooperative, producers and employees of producers as well as local community, Interview also confirmed that any illegal payment method is not used nor other illegal activities. As the employment is between an individual and another individual, there is not always a written contract. Interview with the employers and employees confirmed that wages are still decided on mutual agreement of both of them. As stated so far, the production system does not require overtime work. Audit team confirmed that there is actually no overtime work. 2018: Social aspect was not checked in this audit.	Compliant		

11 Findings

11.1 DO NOT DELETE ANY COLUMN
11.2 Columns B/C/D/E (in black) are automatically populated from the species checklist/audit manual
11.3 Each NC is raised against a standard indicator or a CAR requirement
11.4 Use the "sort" function for presenting the list to your liking (e.g. grading, status, closure deadline, etc.)
11.5 Add new rows as needed
11.6 Adjust the column wide as needed – to show the whole text

NC reference	Indicator	Grade of NC	Description of NC	Evaluation	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
	2.1.5	Compliant	Observation: Since no important habitat was identified by the video survey or by any other means, it is unlikely to identify such habitat. However, the farm should continue conducting the video survey with increased number of plots. Observation: Regarding the tidal wetland of Mangokuura, there is no issue at the moment. However, it is regarded as an important habitat, therefore the farm should continue regular collection of data such as research results of the prefecture and check its contents.	There are several photos of sea bed of Oginohama Bay. There are photos and results of survey carried out in 2013 in Mangokuura. A marine chart of Ishinomaki Bay developed by Japan Coast Guard shows rocks, muds, sands, silts classification of bottom sediment. On Nov 28, 2017 they shot video at 6 plots in the sea of Ishinomaki Bay. Due to the nature of the equipment used, they could not shoot video while moving. So video was shot to record surrounding images of the 6 plots. Sediments seen were mainly sand with silt. No important habitat was identified. Audit team confirmed the DVD and material containing the results of the survey. There has been no place said to be important habitat. Assistant Professor Tamaki of Ishinomaki Senshu University was consulted for the impact of the oyster farm on Zostera bed. .It was confirmed that Zostera marina lives in areas with depth less than 4m and hence their habitat does not overlap with oyster farm and so no impact is expected. Regarding tidal wetland, there is only an artificial one in Mangokuura. Assisstant professor Okoshi commented that there are cases when oyster reefs are formed in tidal wetland, periphyton expands and affects the apanese littleneck etc. So the situation must be monitored. In this area, no oyster reef has been confirmed. Stock culture and temporary culture area is not in the tidal wetland. Hence it is unlikely that the farm affects the tidal wetland. 2018: Additional shooting was done at 10 points on November 6, 2018. No significant habitat was observed. In addition, Tohoku University has been regularly entering the tidal wetland survey in Mangokuura, but the impact of oyster aquaculture has not been observed, and it has been reported that the condition of the tidal wetland continues to be fine.	2019/2/22										
	2.4.1	Compliant	Observation: Not all the memebrs participated in the workshop. The farm should continue training the members on regular basis.	Each Branch and the as a whole, they conducted explanatory seminar and workshops on ASC requirements. Ishinomaki Area Branch on Sep 6, 2017, Ishinomaki Area Branch Oyster Group on Jul 3, 2017, Ishinomaki City East Branch on Aug 28, 2017. On Nov 24, 2017 the 3 branches jointely organized a workshop for oyster producers. About 40 people participated to learn about ASC requirements especially on environemental aspects, prevention of oil contaminations and safety management. Producers who did not participate were provided with the training materials and then received a seminar at each branch. Each branch has developed Farm Use Plan based on Sustainable Aquaculture Production Assurance Act. The plans are approved by Miyagi Prefecture. The approval period is the same period as the demarcated fishery permit. The plan is explained to all member producers and approved internally before applying to the prefecture. Based on the plans, each branch carries out water quality (temperature and dissolved oxygen) and bottom sediment (colour, odour, benthic organism) survey twice a year. The results are reported to Miyagi Prefecture. 2018: Many producers participated in the certification ceremony on September 25, 2018, and WWF Japan also gave a lecture on the environment. Also in 2018, meetings were held at each branch where producers were gathered. Ex) Ishinomaki City East Branch: September 21st, Ishinomaki Area Branch: June 27th, Ishinomaki Bay Branch: September 13th. Minutes was confirmed. In the meeting, explanation of ASC and health & safety were conducted.	2019/2/22										
	7.3.1.	Compliant	Observation: Although it is clear from the consultation and inteview that there is no discrimination, the fishery cooperative should develop an anti-discrimination policy and inform it to all the members.	Although each producer is family-run, many producers employ relatives, acquaintances, etc. as a part-time job. However, the facts like the one on the left have not been confirmed. Fishery association staff, producers, and people employed by producers were interviewed and it was confirmed that such facts were not for themselves and not in the community. 2018: Social aspect was not checked in this audit.	2019/2/22										

ASC Audit Report – Traceablity

10	Traceability Factor	Description of risk factor if present.	Describe any traceability, segregation, or other systems in place to manage the risk.
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.	Because all oysters produced are to be certified, there is no possibility of mixing or substitution of certified and non-certified product.	Oysters are clearly separated by farmers during harvesting and processing.
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.	Because all oysters handled are to be certified and no non-certified oysters will enter the processing process, there is no possibility of mixing or substitution of certified and non-certified product.	Oysters are clearly separated by farmers during harvesting and processing. Shelled oysters are packed in a tamperproof container and traceability sticker is attached on it.
10.3	The possibility of subcontractors being used to handle, transport, store, or process certified products.	There is no subcontractor.	N/A
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.	No	N/A

		Owned by client	Subcontracted by client
10.4.a	Total number of sites owned/subcontracted by client producing the same species that is included in the scope of certification	5	0

Number of sites included in the unit of certification	5	0

		Site name(s)	Reason(s)
10.4.b	Site(s) within UoC that has product to be excluded from entering the chain of custody		

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	Oysters are harvested by each farmer. Each farmer shell oysters of him/herself. Shelling area in each Oyster Processing Plant is designated to each farmer, and oysters from other farmers will not be processed. Shelled oysters are packed in a tamperproof container and traceability sticker is attached. The sticker includes farmer's name, farm site and a use-by date.

10.6 **Traceablity Determination:**

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	Yes
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.	A separate chain of custody is not required.
10.6.3 The point from which chain of custody is required to begin.	Buyers that purchase oysters from Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch.
10.6.4 Is a sepearate chain of custody certificate required for the producer?	No

ASC Audit Report – Closing

12 Evaluation Results

12.1 A report of the results of the audit of the operation against the specific elements in the standard and guidance documents.	Generally the operation of the oyster farms in Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch meets the requirements of the ASC Bivalve standard V1.0.
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).	The audited unit of certification has the capability to consistently meet the objectives of the relevant standard.
123 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.	BEIA or PSIA is not available.

13 Decision

13.1 Has a certificate been issued? (yes/no)	Yes
13.2 The Eligiblity Date (if applicable)	–
13.3 Is a separate coc certificte required for the producer? (yes/no)	No

13.4 If a certificate has been issued this section shall include:	
13.4.1 The date of issue and date of expiry of the certificate.	The date of issue: 27th April 2018 The date of expiry of the certificate: 26th April 2021
13.4.2 The scope of the certificate	Oyster farms in Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch Type of products: Oyster (*Crassostrea gigas*) Activities: Grow-out, harvesting and transportation Standard: ASC Bivalve Standard Version 1.0 Jan 2012
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.	Please cotact AMITA Corporation for complaints procedure. Address: 3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan E-mail: ninsho@amita-net.co.jp

14 Surveillence

14.1 Next planned Surveillance	
14.1.1 Planned date	1st February 2020
14.1.2 Planned site	Oyster farms in Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch
14.2 Next audit type	
14.2.1 Surveillence 1	
14.2.2 Surveillance 2	o
14.2.3 certification	
14.2.4 Other (specify type)	

Client Internal Management System

	Pre-requisite, without which an external audit is not allowed to take place
	If not met, a major NC is raised by CAB

Internal procedures

	Brief description	Status (*met/not met*)
17.1.3.2.b).iii.A Document control procedure	"Management manual for multisite certification of Aquaculture Stewardship	Met
17.1.3.2.b).iii.B Record keeping and retention procedure	(1) Management manual, 3.(3) recording, (4) Keeping place, (5) keeping period	Met
17.1.3.2.b).iii.C Procedure for managing changes to ASC	(2) Procedure for managing changes upon the change in ASC requirements	Met
17.1.3.2.b).iii.D Procedure for conducting annual management	(5) Annual internal audit procedure for the ASC requirements	Met
17.1.3.2.b).iii.E Procedure for managing complaints submitted to Management by stakeholders and staff members as per specified in the applicable (farm) standard	(4) Complaint resolution procedure, Miyagi fishery cooperative has a procedure for dealing complaints and a recording form of conplaint management concerning private information.	Met
17.1.3.2.b).iii.F Procedure for the evaluation and implementation of corrective and preventive actions	(5) Annual internal audit procedure for the ASC requirements	Met
17.1.3.2.b).iii.G Procedure for conducting root cause analyses for nonconformities, and for addressing identified root causes	(5) Annual internal audit procedure for the ASC requirements	Met
17.1.3.2.b).iii.H Procedures to ensure compliance with legal requirements	(3) Procedure to ensure compliance with legal requirements, notice is given from the main office of Miyagi fishery cooperative in case of change in law	Met
17.1.3.2.b).iii.I Procedures for conducting an annual internal audit, covering ASC requirements	(5) Annual internal audit procedure for the ASC requirements	Met
17.1.3.2.b).iii.J Procedures for planning for and evaluation of the results of internal audits	(5) Annual internal audit procedure for the ASC requirements	Met
17.1.3.2.b).iii.K Procedures for the scheduled reporting of performance of management systems and sites	(5) Annual internal audit procedure for the ASC requirements	Met
17.1.3.2.b).iii.L Procedures for identifying and segregating all products within each site, among sites within the unit of certification, and products that are not included in the unit of certification	(6) Procedure for identifying and segregating products by the unit of certification. Tracability of Larva in ASC area.	Met
17.1.3.2.b).iii.L.1 Description of how certified products are identified and segregated to prevent mixing with non-certified before the start of the MSC/ASC certified chain of custody	(6) Procedure for identifying and segregating products by the unit of certification. Tracability of Larva in ASC area.	Met
17.1.3.2.b).iii.L.2 Description of the conditions under which products must be segregated, and measures to prevent mixing directly or indirectly	(6) Procedure for identifying and segregating products by the unit of certification. Tracability of Larva in ASC area.	Met
17.1.3.2.b).iii.L.3 Procedure for traceback of products from the start of the MSC/ ASC certified chain of custody back to the production unit (*cage/net/pen/ pond/tank/raceway*)	(6) Procedure for identifying and segregating products by the unit of certification. Tracability of Larva in ASC area.	Met
17.1.3.2.b).iii.M Procedures for traceability of inputs used for each site as specified in the standard being audited to	(6) Procedure for identifying and segregating products by the unit of certification. Tracability of Larva in ASC area.	Met

Management review

17.1.3.2.b).iv Yearly management review is carried out (*date of the last review, by whom, outcome, etc*.)	Internal audit was conducted on 7th and 8th February 2019. Confirmed the record. Temporary management review was carried out on 12th February. The manager and the person in charge discussed the response to the NCs. Multi-site representative pointed out the contents of improvement.	Met

Internal audit

17.1.3.2.b). v.A A full internal audit has been completed prior to this onsite audit (*dates, scope, outcome,*	Internal audit was conducted on 7th and 8th February 2019. Confirmed the record.	Met
17.1.3.2.b). v.A.1 The internal audit included all relevant ASC requirements at all sites and the	The internal audit included ASC requirements relavant to all sites and the central office.	Met
17.1.3.2.b). v.A.1.1+ 2 Social requirements excluded from internal audits and justification	Social requirements were excluded from the internal audit since many contained personal information. Social audit was conducted by AMITA.	Accepted by AMITA
17.1.3.2.b).v.A.3 Internal auditors are competent as required in Annex B	Three members successfully completed Internal Assessor training course o f ISO/FSSC22000 on 4th and 5th June 2018. Initial internal audit was conducted by Internal auditor possessing ISO22000 from Momoura Oyster producer merger company.	Met
17.1.3.2.b).vii.B Implementation of corrective and preventive actions	As a result of the temporary management review, it was confirmed in the annual audit that the NC were addressed. It will be verified again in the annual management review (after AMITA's audit).	Met

Traceability

17.1.3.2.b).iii.L.3 Test traceback from sale(s) by the client's central office back to production unit(s) of site(s)	The selling method is either at a joint selling place, selling at business facility, or individual selling. Currently, ASC certified products are sold only at the joint selling place. The bid divider comes up with data every day, and each branch knows the sales volume. The amount of sales by each producer is recorded, so it can be easily traced back to the production area.	Met

Subcontracting

17.1.3.2.b).vi.B.1 All of the operations of subcontracted farms are subject to the same procedures as the rest of the unit of certification	No subcontracting	Met
17.1.3.2.b).vi.B.2 The product produced by the subcontractors is owned by the certificate holder	No subcontracting	Met
17.1.3.2.b).vi.B.3 The central office has the same oversight and right to control over the operations of subcontractors as it has for its own operations	No subcontracting	Met
17.1.3.2.b).vi.B.4 All of the operations of the subcontracted farms are included in the multi-site certificate.	No subcontracting	Met
17.1.3.2.b).vi.B.5 The contract is transparent, mutually accepted by both parties and include the above provisions	No subcontracting	Met

17.1.3.2.b).ix Compliance to all relevant ASC requirements of all sites within the unit of certification is monitored	checked in internal audit.	Met
17.1.3.2.b).x Notification to the CAB of any non-conformities against applicable local regulations that are relevant to the ASC scope of certification within three (3) days of detection	(3) Procedure to ensure compliance with legal requirements,	Met

Risk evaluation

Table E1 – ASC sample size calculator for sites and staff interviews in multi-site certification	
Is this the initial audit of the client or operation?	No
How many sites does the client or operation have?	62
How many sites has the clinte or operation ADDED since the last audit?	0
How many employees does the client or operation have?	426
Threat	**Risk Level**
1. Management system weakness	Medium
2. Weakness of client' s internal site checklist	Low
3. Internal audit weakness	Low
4. Staff training weakness	Low
5. Multiple management systems	Low
6. Records management weakness	Low
7. Subcontractors including subcontracted farms and subcontracted services (related to the operations of the unit of certification	Low
8. Use of resources	High
9. Record of NCs raised by the ASC CAB and response	Low
10. Complaints resolution weakness	Low
11. Traceability weakness	Low
12. Country risk assessment score	Low

E2. The CAB shall add the list of additional threats (Annex E, E4.2.1.ii) to this table and provide its risk category and an explanation to support it to this table.

Additional risks identified by the CAB (E7.1.1.i, 7.2.2, 8.1.1.i)		
Threat	**Thresholds for determining level of risk**	**Risk Level**
None	Low: Medium: high:	

Sample size (Sites)	6
Sample size (Employees)	14
E2.1.vi Sample size for records	6
E9.2 Explanation of sample selection	Although the sample size was 6, all of the sites were audited. 1st surveillance audit focused on environmental principles 1 to 5.

Internal Auditors Requirements

Annex B – Table D – Internal auditors qualifications and competencies

Items denoted with (*) are required when the training is made available by the ASC

Req.#		Requirement	Evidence	Met	Unmet
For all internal auditors					
B45	Auditor training	* Completed the ASC training for new requirements as specified by the ASC within the deadlines set by ASC	Not applicable currently	x	
		Undertake additional training on changes to legislation, specific standards, codes or conventions as appropriate	They attend workshops held by the prefecture and the fishery cooperative as	x	
B60	Work experience	The individual shall have experience relevant to the business being audited.	Experience of oyster farming as staff of the fishery cooperative	x	
B51	Interviewing	Be experienced in different types of interviewing techniques	Experience through the work	x	
B52	Language	Fluent speaker and reader of the language(s) used by managers, administrators and workers or accompanied by an independent	Japanese	x	
For internal audit team leader					
B42	Audit/inspection Experience	At least two satisfactory witness audits as an acting audit (team) leader, shadowed by and under the supervision of a competent internal auditor	As it was the first internal audit it was conducted shadowed by a competent ISO internal	x	
For auditing multi-site requirements (IMS)					
B44	Audit/inspection training	Successfully completed an Internal Assessor training course based on ISO 19011 principles that have a minimum duration of sixteen (16) hours	Internal Assessor training course o fISO/FSSC22000 was completed.	x	
B45	Auditor training	successfully completed either an ISO management system internal auditor course (ISO 9001/14001/22000/27000/OHSAS/etc.) provided by a certification body or a professional auditor training institution	Internal Assessor training course o fISO/FSSC22000 was completed.	x	
		* Successfully passed the 'ASC Farm Traceability' online training module	Not applicable currently	x	
		Had an audit peer witnessed by a qualified ASC internal auditor no less than once in each two (2) year period	As it was the first internal audit it was conducted shadowed by a competent ISO internal	x	
B54	Management systems and reference documents	Have a general knowledge of management systems standards (such as ISO 9001), applicable procedures or other management systems documents	Internal Assessor training course o fISO/FSSC22000 was completed.	x	

For auditing environemntal requirements					
B59	Technical langua	Have knowledge of the technical language employed in aquaculture and processing of aquaculture products	They have knowledge as staff of the fishery cooperative.	x	
For auditing social requirements					
B45	Auditor training	Successfully completed a training course for auditing social requirements provided by a certification body or professional training institution specialised in social auditing	Social requirements were excluded from the internal audit because it is related to a lot of personal information. Social audit was left to	x	

List of sites of multi-site unit of certification

Name of Certificate Holder	Miyagi Prefecture Fisheries Cooperative, Ishinomaki Area Branch, Ishinomaki City East Branch and Ishinomaki Bay Branch
Certificate Number	ASC-AMITA-F-1004
Date of certificate issuance	27th April 2018
Date of certificate expiry	26th April 2021

#	Site name*	Site address*	Site GPS*	Species * (*Latin/English name*)	Ownership* (owned/ subcontracted)	Number of pens/cages/ ponds/ tanks/etc.	Production area (ha)	Stocking date(s)	Harvesting dates	Harvested volumes(t)	Date of inclusion*	Date of removal
1	Fishery area No. 2601	Ishinomaki-shi, Miyagi	38° 20.18' N, 141° 26.83' E	Crassostrea gigas /	Owned	58	58.6	May-18	ongoing	26.5	Initial audit	-
2	Fishery area No. 2602	Ishinomaki-shi, Miyagi	38° 20.98' N, 141° 26.82' E	Crassostrea gigas /	Owned	41	41	May-18	ongoing	18.5	Initial audit	-
3	Fishery area No. 2603	Ishinomaki-shi, Miyagi	38° 21.199' N, 141° 26.869' E	Crassostrea gigas /	Owned	1	0.5	May-18	ongoing	0.2	Initial audit	-
4	Fishery area No. 2604	Ishinomaki-shi, Miyagi	38° 21.00' N, 141° 26.63' E	Crassostrea gigas /	Owned	1	1.3	May-18	ongoing	0.6	Initial audit	-
5	Fishery area No. 2605	Ishinomaki-shi, Miyagi	38° 20.864' N, 141° 26.432' E	Crassostrea gigas /	Owned	1	0.08	May-18	ongoing	0.1	Initial audit	-
6	Fishery area No. 2606	Ishinomaki-shi, Miyagi	38° 20.789' N, 141° 26.374' E	Crassostrea gigas /	Owned	1	0.1	May-18	ongoing	0.1	Initial audit	-
7	Fishery area No. 2607	Ishinomaki-shi, Miyagi	38° 20.90' N, 141° 26.60' E	Crassostrea gigas /	Owned	33	33	May-18	ongoing	14.9	Initial audit	-
8	Fishery area No. 2608	Ishinomaki-shi, Miyagi	38° 20.26' N, 141° 26.46' E	Crassostrea gigas /	Owned	100	100.3	May-18	ongoing	45.3	Initial audit	-
9	Fishery area No. 2609	Ishinomaki-shi, Miyagi	38° 20.50' N, 141° 25.98' E	Crassostrea gigas /	Owned	1	1.2	May-18	ongoing	0.5	Initial audit	-
10	Fishery area No. 2610	Ishinomaki-shi, Miyagi	38° 20.41' N, 141° 25.71' E	Crassostrea gigas /	Owned	87	87.7	May-18	ongoing	39.6	Initial audit	-
11	Fishery area No. 2611	Ishinomaki-shi, Miyagi	38° 20.47' N, 141° 25.80' E	Crassostrea gigas /	Owned	28	28.3	May-18	ongoing	12.8	Initial audit	-
12	Fishery area No. 2612	Ishinomaki-shi, Miyagi	38° 20.84' N, 141° 25.20' E	Crassostrea gigas /	Owned	7	6.7	May-18	ongoing	3.0	Initial audit	-
13	Fishery area No. 2613	Ishinomaki-shi, Miyagi	38° 21.23' N, 141° 24.91' E	Crassostrea gigas /	Owned	10	9.9	May-18	ongoing	4.5	Initial audit	-
14	Fishery area No. 2614	Ishinomaki-shi, Miyagi	38° 20.92' N, 141° 24.07' E	Crassostrea gigas /	Owned	84	84.8	May-18	ongoing	38.3	Initial audit	-
15	Fishery area No. 2615	Ishinomaki-shi, Miyagi	38° 21.57' N, 141° 25.30' E	Crassostrea gigas /	Owned	12	11.9	May-18	ongoing	5.4	Initial audit	-
16	Fishery area No. 2617	Ishinomaki-shi, Miyagi	38° 21.79' N, 141° 24.75' E	Crassostrea gigas /	Owned	39	39.4	May-18	ongoing	17.8	Initial audit	-
17	Fishery area No. 2618	Ishinomaki-shi, Miyagi	38° 21.86' N, 141° 25.08' E	Crassostrea gigas /	Owned	36	35.8	May-18	ongoing	16.2	Initial audit	-
18	Fishery area No. 2619	Ishinomaki-shi, Miyagi	38° 21.881' N, 141° 25.985' E	Crassostrea gigas /	Owned	1	0.1	May-18	ongoing	0.1	Initial audit	-
19	Fishery area No. 2621	Ishinomaki-shi, Miyagi	38° 22.15' N, 141° 26.26' E	Crassostrea gigas /	Owned	14	14.4	May-18	ongoing	6.5	Initial audit	-
20	Fishery area No. 2622	Ishinomaki-shi, Miyagi	38° 22.22' N, 141° 26.54' E	Crassostrea gigas /	Owned	8	7.6	May-18	ongoing	3.4	Initial audit	-
21	Fishery area No. 2623	Ishinomaki-shi, Miyagi	38° 21.955' N, 141° 26.471' E	Crassostrea gigas /	Owned	1	0.1	May-18	ongoing	0.1	Initial audit	-
22	Fishery area No. 2624	Ishinomaki-shi, Miyagi	38° 22.264' N, 141° 26.767' E	Crassostrea gigas /	Owned	1	0.3	May-18	ongoing	0.1	Initial audit	-
23	Fishery area No. 2625	Ishinomaki-shi, Miyagi	38° 22.280' N, 141° 26.912' E	Crassostrea gigas /	Owned	1	0.07	May-18	ongoing	0.1	Initial audit	-
24	Fishery area No. 2626	Ishinomaki-shi, Miyagi	38° 22.279' N, 141° 26.975' E	Crassostrea gigas /	Owned	1	0.1	May-18	ongoing	0.1	Initial audit	-
25	Fishery area No. 2627	Ishinomaki-shi, Miyagi	38° 21.78' N, 141° 24.70' E	Crassostrea gigas /	Owned	137	137.8	May-18	ongoing	62.2	Initial audit	-
26	Fishery area No. 2628	Ishinomaki-shi, Miyagi	38° 20.38' N, 141° 24.79' E	Crassostrea gigas /	Owned	43	42.8	May-18	ongoing	19.3	Initial audit	-
27	Fishery area No. 2629	Ishinomaki-shi, Miyagi	38° 19.93' N, 141° 25.55' E	Crassostrea gigas /	Owned	27	26.9	May-18	ongoing	12.1	Initial audit	-
28	Fishery area No. 2630	Ishinomaki-shi, Miyagi	38° 19.62' N, 141° 26.09' E	Crassostrea gigas /	Owned	3	3.4	May-18	ongoing	1.5	Initial audit	-
29	Fishery area No. 2633	Ishinomaki-shi, Miyagi	38° 22.72' N, 141° 24.75' E	Crassostrea gigas /	Owned	98	99	May-18	ongoing	44.7	Initial audit	-
30	Fishery area No. 2634	Ishinomaki-shi, Miyagi	38° 22.85' N, 141° 26.00' E	Crassostrea gigas /	Owned	88	88.4	May-18	ongoing	39.9	Initial audit	-
31	Fishery area No. 2635	Ishinomaki-shi, Miyagi	38° 22.53' N, 141° 26.93' E	Crassostrea gigas /	Owned	30	30.1	May-18	ongoing	13.6	Initial audit	-
32	Fishery area No. 2636	Ishinomaki-shi, Miyagi	38° 22.275' N, 141° 27.015' E	Crassostrea gigas /	Owned	1	0.1	May-18	ongoing	0.1	Initial audit	-

33	Fishery area No. 2637	Ishinomaki-shi, Miyagi	38° 22.301' N, 141° 27.125' E	Crassostrea gigas /	Owned	1	0.4	May-18	ongoing	0.2	Initial audit	-
34	Fishery area No. 2638	Ishinomaki-shi, Miyagi	38° 22.530' N, 141° 26.407' E	Crassostrea gigas /	Owned	1	1.1	May-18	ongoing	0.5	Initial audit	-
35	Fishery area No. 2639	Ishinomaki-shi, Miyagi	38° 22.492' N, 141° 26.357' E	Crassostrea gigas /	Owned	1	0.4	May-18	ongoing	0.2	Initial audit	-
36	Fishery area No. 2640	Ishinomaki-shi, Miyagi	38° 22.622' N, 141° 26.174' E	Crassostrea gigas /	Owned	1	0.07	May-18	ongoing	0.1	Initial audit	-
37	Fishery area No. 2641	Ishinomaki-shi, Miyagi	38° 22.812' N, 141° 25.342' E	Crassostrea gigas /	Owned	1	0.02	May-18	ongoing	0.1	Initial audit	-
38	Fishery area No. 2642	Ishinomaki-shi, Miyagi	38° 22.51' N, 141° 24.37' E	Crassostrea gigas /	Owned	185	185.7	May-18	ongoing	83.8	Initial audit	-
39	Fishery area No. 2643	Ishinomaki-shi, Miyagi	38° 23.41' N, 141° 25.59' E	Crassostrea gigas /	Owned	45	45.1	May-18	ongoing	20.4	Initial audit	-
40	Fishery area No. 2644	Ishinomaki-shi, Miyagi	38° 23.69' N, 141° 25.74' E	Crassostrea gigas /	Owned	50	49.9	May-18	ongoing	22.5	Initial audit	-
41	Fishery area No. 2645	Ishinomaki-shi, Miyagi	38° 22.84' N, 141° 24.60' E	Crassostrea gigas /	Owned	6	5.9	May-18	ongoing	2.7	Initial audit	-
42	Fishery area No. 2646	Ishinomaki-shi, Miyagi	38° 22.66' N, 141° 23.94' E	Crassostrea gigas /	Owned	64	64.9	May-18	ongoing	29.3	Initial audit	-
43	Fishery area No. 2647	Ishinomaki-shi, Miyagi	38° 23.64' N, 141° 25.33' E	Crassostrea gigas /	Owned	81	81.8	May-18	ongoing	36.9	Initial audit	-
44	Fishery area No. 2648	Ishinomaki-shi, Miyagi	38° 23.79' N, 141° 25.64' E	Crassostrea gigas /	Owned	6	6.1	May-18	ongoing	2.8	Initial audit	-
45	Fishery area No. 2649	Ishinomaki-shi, Miyagi	38° 23.71' N, 141° 25.24' E	Crassostrea gigas /	Owned	42	41.8	May-18	ongoing	18.9	Initial audit	-
46	Fishery area No. 2650	Ishinomaki-shi, Miyagi	38° 22.53' N, 141° 23.59' E	Crassostrea gigas /	Owned	8	8.5	May-18	ongoing	3.8	Initial audit	-
47	Fishery area No. 2651	Ishinomaki-shi, Miyagi	38° 23.81' N, 141° 24.54' E	Crassostrea gigas /	Owned	160	161.4	May-18	ongoing	72.9	Initial audit	-
48	Fishery area No. 2652	Ishinomaki-shi, Miyagi	38° 23.06' N, 141° 23.58' E	Crassostrea gigas /	Owned	94	94.2	May-18	ongoing	42.5	Initial audit	-
49	Fishery area No. 2655	Ishinomaki-shi, Miyagi	38° 23.98' N, 141° 22.15' E	Crassostrea gigas /	Owned	43	42.9	May-18	ongoing	19.4	Initial audit	-
50	Fishery area No. 2656	Ishinomaki-shi, Miyagi	38° 25.57' N, 141° 22.77' E	Crassostrea gigas /	Owned	127	127.6	May-18	ongoing	57.6	Initial audit	-
51	Fishery area No. 2657	Ishinomaki-shi, Miyagi	38° 25.37' N, 141° 22.80' E	Crassostrea gigas /	Owned	1	1.3	May-18	ongoing	0.6	Initial audit	-
52	Fishery area No. 2658	Ishinomaki-shi, Miyagi	38° 23.29' N, 141° 21.85' E	Crassostrea gigas /	Owned	3	2.8	May-18	ongoing	1.3	Initial audit	-
53	Fishery area No. 2659	Ishinomaki-shi, Miyagi	38° 18.34' N, 141° 25.66' E	Crassostrea gigas /	Owned	37	37.5	May-18	ongoing	16.9	Initial audit	-
54	Fishery area No. 2663	Ishinomaki-shi, Miyagi	38° 23.81' N, 141° 21.02' E	Crassostrea gigas /	Owned	56	56.2	May-18	ongoing	25.4	Initial audit	-
55	Fishery area No. 2664	Ishinomaki-shi, Miyagi	38° 23.81' N, 141° 21.01' E	Crassostrea gigas /	Owned	45	45.6	May-18	ongoing	20.6	Initial audit	-
56	Fishery area No. 2665	Ishinomaki-shi, Miyagi	38° 24.38' N, 141° 22.00' E	Crassostrea gigas /	Owned	4	4	May-18	ongoing	1.8	Initial audit	-
57	Fishery area No. 2666	Ishinomaki-shi, Miyagi	38° 24.68' N, 141° 22.85' E	Crassostrea gigas /	Owned	80	80.5	May-18	ongoing	36.3	Initial audit	-
58	Fishery area No. 2667	Ishinomaki-shi, Miyagi	38° 23.99' N, 141° 20.60' E	Crassostrea gigas /	Owned	178	179.2	May-18	ongoing	80.9	Initial audit	-
59	Fishery area No. 2668	Ishinomaki-shi, Miyagi	38° 25.34' N, 141° 22.85' E	Crassostrea gigas /	Owned	46	46.5	May-18	ongoing	21.0	Initial audit	-
60	Fishery area No. 2669	Ishinomaki-shi, Miyagi	38° 25.07' N, 141° 22.44' E	Crassostrea gigas /	Owned	6	5.6	May-18	ongoing	2.5	Initial audit	-
61	Fishery area No. 2670	Ishinomaki-shi, Miyagi	38° 24.98' N, 141° 22.50' E	Crassostrea gigas /	Owned	125	126	May-18	ongoing	56.9	Initial audit	-
62	Fishery area No. 2671	Ishinomaki-shi, Miyagi	38° 23.93' N, 141° 19.34' E	Crassostrea gigas /	Owned	14	13.8	May-18	ongoing	6.2	Initial audit	-