

## General Information

Document type:	Draft Audit Report	
Document language:	English	
Second document language:	Japanese	
Certification Type:	Single Site	
Audit type:	Single Site	
	Re-certification	
Name of the Conformity Assessment Body (CAB):	AMITA	
If "other" was selected, please fill in the CAB name in this field.	AMITA Corporation	
ASC Standard:	Seabass, Seabream and Meagre	
Standard version:	v1.1	
CAR version:	Farm CAR v2.2	
Recirculating Aquaculture System (RAS) Module:	No	
ASC Certificate Number:	ASC00225	
Company (Certificate Holder) name:	Dainichi Corporation	
Unit of Certification (UoC) name:	Uchiumi Suisan Co., Ltd	
Country where UoC is located:	Japan	
Client Contact Details:		
First name:	Yuta 勇太	
Surname:	Yuta 湯田	
Position in the UoC (Job title):	Aquaculture Technical Division 飼料事業部	
Activities Covered under the Scope of Certification:		
Grow Out:	Covered	
Transportation:	Covered	
Storage (if present at farm (UoC):	Not Covered	
Processing (if present at UoC):	Not Covered	
Packing (if present at UoC):	Not Covered	
Harvest:	Covered	
Description of UoC: Please provide the description of UoC The structure of the UoC /UoC Ownership and contract relationships. (Sites, contract farming, subcontractors, ownership of product, etc.) Receiving Water Body/ local geography/ hydrology. Social Characteristics	<p>Uchiumi Suisan Co., Ltd, UoC, farms seabream.</p> <p>The owner of the product is Uchiumi Suisan Co., Ltd. It is a member of the Ainan Fisheries Cooperative Association and is authorised by the association for the exercise of demarcated fishing rights in Utokku No. 200. Product ownership is transferred from Uchiumi Suisan Co., Ltd to Dainichi Corporation and sold as certified products. The site is located in the southern part of Ehime Prefecture, on the southern side of the Yura Peninsula, which juts out into the Uwa Sea. Part of the Yura Peninsula is included in the Ashizuri-Uwakai National Park area. The coast is a rias coast with several inlets.</p> <p>The water depth near the fish cages is about 25 m and rapidly deepens rapidly to about 50 m.</p> <p>Several fishing settlements have been formed on the Yura Peninsula due to the presence of several inlets. Formerly a harvest area for sardines and other fish, much of the waters north and south of the peninsula have now been converted to fish or pearl oyster farms</p>	
Employees	Male	Female
Total number of full-time employees in UoC at the time of audit		1
Total number of part-time employees in UoC at the time of audit	1	1
Total number of seasonal temporary employees in UoC (in the year preceding the audit)		
Are any sites within the UoC permitted to produce both certified and non-certified product?	Yes	

<b>Permitted Reason</b> Specific and identifiable batch(es) or production unit(s) do not comply with any ASC Farm Standard indicators related to:	The use of compliant ASC feed is not possible due to commercial limitations.
<b>Description:</b>	Only fish cages in which ASC-compliant fingerlings are fed ASC-compliant feed will meet the ASC requirements.
<b>What is excluded from the Certificate Scope?</b>	Non-ASC compliant fingerlings and fish cages fed non-ASC compliant feed are excluded from the scope of certification.
<b>Is ASC CoC certification held by the UoC?</b>	No
<b>If yes, enter the CoC code:</b>	n/a

## Audit Information

<b>Audit ID:</b>	A0007234
<b>Audit conducted: on-site, assisted remote or remote?</b>	On-site
<b>Start date site audit:</b>	23-Mar-23
<b>End date site audit :</b>	24-Mar-23

Time assigned to audit activities	Social Auditor(s)	Environmental auditor(s)	IMS auditor (if applicable)
Off-site activities:	16.00	16.00	
On-site activities:	16.00	16.00	
Total auditor-hours:	32.00	32.00	

<b>Are the social principles covered under the scope of this Audit?</b> (If no, please justify)	Yes
<b>Justification:</b>	n/a
<b>Is harvesting covered under the scope of this Audit?</b> (If no, please justify)	Yes
<b>Justification:</b>	n/a

<b>Last date of harvest witnessed:</b>	24-Mar-23
<b>Partial or full harvest ?</b>	Partial Harvest

### Audit Team & Additional Attendees

Surname	First Name	Role	Auditor On-site or Remote?
Tsukazaki	Chiko	Environmental auditor	On-site
Ogawa	Naoya	Environmental auditor	On-site
Ogawa	Naoya	Lead auditor	On-site
Ogawa	Naoya	Social auditor	On-site

### Audit - Technical Review & Certification

<b>Technical Reviewer's Name:</b>	Wataru Koketsu
<b>Certifier:</b>	Takaaki Onishi
<b>Certification Decision:</b>	
<b>Certification Decision Date:</b>	
<b>Rationale for Decision:</b>	
<b>Certificate Valid From:</b>	29-Jun-20
<b>Certificate Valid Until:</b>	28-Jun-23

## List ALL sites included/to be included in the UoC

GIS, polygon data and map on site level validated by auditor and submitted to ASC?

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ASC takes data protection very seriously. Personal data provided through the audit process is only used in connection to certification. ASC adheres to strict processes in the privacy ([ASC Privacy Policy](#)) and protection ([ASC GDPR Data Protection Policy](#)) of personal data, and personal data of any kind is never shared. Non-personal data are used by ASC for analysis related to monitoring and evaluation and our standards system. ASC may share non-personal transparency data in aggregate for research purposes.

Provide stakeholder concerns including CAR responses, please use the confidential Annex in case of any confidential data **not to be published**.

This table collects all the information relevant to stakeholders consulted during the audit process. Each stakeholder should be entered into a separate row, even when from the same company/organization. For more information on ASC's Data Protection Policy please follow this link <https://www.asc-aqua.org/privacy/>

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## ASC Farm Species Audit Report

Certificate Holder		Dainichi Corporation		Standard	Seabass, Seabream and Meagre
UoC Name		Uchiumi Suisan Co., Ltd		Standard version	v1.1
Certification Type		Single Site		RAS Module	No
Audit Type		Re-certification		Country	Japan
				CAB	AMITA
Site ID	Site Name	Indicator	Indicator/ Requirement Text	Evaluation	Audit Findings & Evidence
50002101	Uchiumi Suisan Co., Ltd	1.1.1	Indicator: Documents demonstrating compliance with all relevant local and national laws and regulations  Requirement: Yes  Applicability: All	Compliant	The applicable written land and water use legislation is on file: the Fishery Act, Act on the Protection of Marine Resources, Sustainable Aquaculture Production Assurance Act, Natural Parks Act, Act on the Compensation of Fishery Disaster, the Prime Prefecture Basic Environmental Ordinance, the Prime Prefecture prefectural natural park Ordinance, etc.  The site, Uchiumi Suisan Co., Ltd, operates in a demarcated fishery area (U Special Zone No. 200) to which the Ainan Fishery Cooperative Association has received rights from Ehime Prefecture under a demarcated fishery right in the Fishery Act.  A copy of the demarcated fishery licence (issued on 1 April 2019 and valid until 31 March 2024) for Special Zone U No. 200 was verified. With regard to the use of demarcated fishery areas, an inspection of the number of cages used and the area in each demarcated fishery area is carried out every September by National Federation of Fisheries Cooperative Associations and officers of the National Federation of Fisheries Cooperative Associations and Ehime Fisheries Cooperative Association. There is no written record of the inspections, and any non-compliance will be dealt with. Uchiumi Suisan Co., Ltd owns its land. The address, area and rightful owner of the land were confirmed to be correct in the certified copy of the land register. Uchiumi Suisan Co., Ltd does not carry out any processing and has no drainage.
50002101	Uchiumi Suisan Co., Ltd	1.1.2	Indicator: Documents demonstrating compliance with all tax laws  Requirement: Yes  Applicability: All	Compliant	The latest various tax payment and filing records of Uchiumi Suisan Co., Ltd were verified; Property tax (dated 2 May 2022); Light Automobile Tax (dated 23 May 2022); Corporate income tax/Local Corporation Tax (28 April 2022); Municipal tax (for 2021), Consumption tax/local consumption tax (for 2021), Prefectural inhabitants tax/business tax (for 2021), Corporate Municipal Tax (31 March 2022), etc.  Uchiumi Suisan Co., Ltd does not have a contract with a tax consultant and carries out its tax returns individually.  Dainichi's tax personnel assist Uchiumi Suisan in managing its tax affairs.
50002101	Uchiumi Suisan Co., Ltd	1.1.3	Indicator: Documents demonstrating compliance with all labour laws and regulations  Requirement: Yes  Applicability: All	Compliant	A copy of the Labour Standards Act is on file; there are work rules of Uchiumi Suisan Co., Ltd. The number of employees is three. As the farm has less than 10 employees, there is no obligation to submit work rules to the Labour Standards Office. No labour-related inspections of the farm have been carried out by the administration. See the respective indicators for the content of the work rules and employment contracts and the results of interviews with workers.
50002101	Uchiumi Suisan Co., Ltd	1.1.4	Indicator: Documents demonstrating compliance with regulations and permits concerning water quality impacts  Requirement: Yes  Applicability: All	Compliant	No discharge from farm facilities into the natural environment. It is confirmed that Uchiumi Suisan Co., Ltd is not subject to effluent regulations under the Ainan Town Basic Environmental Ordinance, the Uwajima City Basic Plan for Domestic Wastewater Measures and the Uwajima City Ordinance for the Beautification of the Living Environment.
50002101	Uchiumi Suisan Co., Ltd	2.1.1	Indicator: Redox potential or total 'free' sulphide levels in sediment immediately outside of the Allowable Zone of Effect (AZE) (1) attributed to farm operations  Requirement: Redox potential > 0 millivolts (mV) OR Sulphide ≤ 1,500 micromoles/l OR No significant difference (2) in redox potential or total 'free' sulphide levels in sediment at the edge of the AZE in comparison to control sites  Applicability: All farms	Compliant	Confirmed a map of the farm showing boundary of AZE and GPS locations of all sedimentsampling station. Three sampling sites (point 1, point 2 and point 3) were established immediately outside of the AZE (25 m from the cages), and one control site (point 4) was established 25 m distances from the AZE.  The Uchiumi Suisan Co., Ltd cages are adjacent to other seabream cages and pearl oyster rafts are located around the cages. Site is located on the rias coast, the water depths vary widely. T The rapid deepening of the water depths except in very shallow waters made it very difficult to establish a control site where mud sampling was possible at a distance of more than 100 m.  The indicator selected for evaluating and monitoring benthic impact was sulphide concentration.  On 22 November 2022, a bottom sediment survey was conducted by TEIJIN ECO-SCIENCE LIMITED (registered as a construction consultancy and metrology certification business), a third-party measurement organisation authorised by the Administration. A report dated December 2022 was verified.  The redox potentials (mV) of each sediment sample were all negative, with an average value of -283 mV. The value for the control area was -214 mV. It was determined that there was no significant difference.
50002101	Uchiumi Suisan Co., Ltd	2.1.2	Indicator: Benthic faunal index score (choosing a suitable benthic index to the composition of the benthos being sampled)  Requirement: AZTI Marine Biotic Index (AMBI) (3) score ≤ 3.3, or Shannon-Wiener Index score > 3, or Benthic Quality Index (BQI) score ≥ 15, or Infaunal Trophic Index (ITI) score ≥ 25 or BENTIX (4) score ≥ 3.5 or No significant change in benthic faunal index scores at the edge of the AZE in comparison to control site  Applicability: All farms	Compliant	Confirmed a map of the farm showing boundary of AZE and GPS locations of all sedimentsampling station(see 2.1.1).  The indicator selected was the Shannon-Wiener Index. On 22 November 2022, a bottom sediment survey was conducted by TEIJIN ECO-SCIENCE LIMITED (registered as a construction consultancy and metrology certification business), a third-party measurement organisation authorised by the Administration. A report dated December 2022 was verified.  The Shannon-Wiener Index score for the benthic fauna was 3.35 on average for the three experimental sites and 3.324 for the control site.
50002101	Uchiumi Suisan Co., Ltd	2.1.3	Indicator: For farms that use copper nets or copper-treated nets, evidence of testing for copper levels in the sediment immediately outside of the AZE  Requirement: Yes  Applicability: All farms that use copper or copper treated nets	Compliant	Copper-treated nets are not currently used, but copper-treated nets were used until five years ago and copper-treated nets are used in other adjacent farms. Copper concentrations in the sediment have therefore been investigated. Confirmed a map of the farm showing boundary of AZE and GPS locations of all sedimentsampling station(see 2.1.1).  On 22 November 2022, a bottom sediment survey was conducted by TEIJIN ECO-SCIENCE LIMITED (registered as a construction consultancy and metrology certification business), a third-party measurement organisation authorised by the Administration. A report dated December 2022 was verified. Sediment samples were taken from the outer edge of the AZE. Measurements showed that copper concentrations at all survey sites were below the target of 34 mg/kg, indicating that the sediment quality was good.

50002101	Uchiumi Suisan Co., Ltd	2.1.4	Indicator: Evidence that copper levels (5) are < 34 mg Cu/kg dry sediment weight OR In instances where the Cu in the sediment exceeds 34 mg Cu/kg dry sediment weight, demonstration that the Cu concentration is not significantly different compared to background concentrations as measured at three reference sites in the water body Requirement: Yes Applicability: All farms that use copper or copper treated nets	Compliant	Copper-treated nets are not currently used, but copper-treated nets were used until five years ago and copper-treated nets are used in other adjacent farms. Copper concentrations in the sediment have therefore been investigated. Confirmed a map of the farm showing boundary of AZE and GPS locations of all sedimentsampling station(see 2.1.1). On 22 November 2022, a bottom sediment survey was conducted by TEIUN ECO-SCIENCE LIMITED (registered as a construction consultancy and metrology certification business), a third-party measurement organisation authorised by the Administration. A report dated December 2022 was verified. Sediment samples were taken from the outer edge of the AZE. Measurements showed that copper concentrations at all survey sites were below the target of 34 mg/kg, indicating that the sediment quality was good.
50002101	Uchiumi Suisan Co., Ltd	2.2.1	Indicator: Weekly average percent saturation (6) of dissolved oxygen (DO) on farm (Appendix 1-2 of the Seabass, Seabream & Meagre Standard v.1.1) Requirement: ≥70% (7) Applicability: All farms	Compliant	Dissolved oxygen saturation (%) was measured and recorded twice daily using a corrected DO meter. If there was missing data, the reason for the missing data, such as bad weather, was recorded. Measurements were not taken when operations were closed. Average weekly saturation (%) was calculated based on the data. Although there were days in August 2022 when DO was below 70%, the weekly average was always above 70%; on days when DO was below 70%, measurements were also taken at a control site about 200 m away for comparison. The dissolved oxygen concentration was also found to be below 70% in the control area. The only place in the same bay where measurements could be taken was in that area, 500 m away from the fish cage is outside the bay and the environment is different, so this location was used as the control area.
50002101	Uchiumi Suisan Co., Ltd	2.2.2	Indicator: Maximum percentage of weekly samples (8) from 2.2.1 that fall under 2 mg/litre DO (Appendix of the Seabass, Seabream & Meagre standard v.1.1) Requirement: 5% Applicability: All	Compliant	Dissolved oxygen concentration data since February 2022 were reviewed. There were no days when the minimum DO concentration fell below 2 mg/L. The lowest DO concentration in the data checked was 5.4 mg/L in August.
50002101	Uchiumi Suisan Co., Ltd	2.2.3	Indicator: Quarterly monitoring of TAN, NO3, and TP levels on the farm and at a reference site (9) (Appendix of the Seabass, Seabream & Meagre standard v.1.1) Requirement: Yes Applicability: All farms	Compliant	Pack test inspections are carried out four times a year for Ammonia Nitrogen, NO3 and TP. Once a year, a third-party is commissioned to analyse samples. third-party is TEIUN ECO-SCIENCE LIMITED. Independent inspections had been carried out on 28 Jan, 20 Apr, 30 Jul and 29 Oct. 2022. The results of the inspections were verified. Analysis by third-party had been carried out on 2 Dec (water sampled on 22 Nov). The results of the analysis could be confirmed. Both results show very low values, confirming that good water quality is maintained.
50002101	Uchiumi Suisan Co., Ltd	2.2.4	Indicator: Evidence that the type of biocides used in net antifouling are approved according to legislation in the European Union, the United States, Australia, or Japan Requirement: Yes Applicability: All farms	Compliant	Verified that the netting is not treated with antifoulant. Wire mesh is used in fish cages.
50002101	Uchiumi Suisan Co., Ltd	2.3.1	Indicator: The farm shall assess the farm's (potential) impacts on biodiversity and nearby ecosystems that contains at a minimum the components outlined in the Appendix of the Seabass, Seabream & Meagre standard v.1.1 Requirement: Yes Applicability: All	Compliant	It was confirmed that the Biodiversity-focused impact assessment was documented in a manner that incorporated all items in Appendix 1. The distribution of national threatened/endangered species, including key wild species within the marine environment, around the farm was reviewed with reference to the Ehime Prefecture Red Data Book 2014 and the Ministry of the Environment Red List 2020. The impact of the farm on these species was also examined. A list of mammals, birds and other organisms was kept from the Ehime Wildlife and Plant List of Mammals and Birds from the Biodiversity Section, Nature Conservation Division, Ehime Prefectural Department of Civil and Environmental Affairs. In the vicinity of the farm, only cormorants, gulls and kites were identified as birds. No corals have been identified. Interviews were conducted with the Chugoku Shikoku Regional Environment Office of Ministry of the Environment and a response was received stating that there were no Red List species in the vicinity of the farm, Yutai area. There were no areas or sea grass meadows identified as HCVAs(High Conservation Value Areas) in the vicinity. No species of high economic value that could be affected by the farm have also been identified. As no endangered species or sea grass meadows to be protected are distributed in the vicinity of the farm, the impact of the farm is judged to be minimal. Among the benthic animals identified by TEIUN ECO-SCIENCE LIMITED as a result of the bottom sediment survey, the bivalve mussel Nassarius livescens is listed as Endangered in three prefectures and Near Threatened (NT) in four prefectures in Japan by the Red List of the Ministry of the Environment. Among the benthic animals identified by TEIUN ECO-SCIENCE LIMITED as a result of the bottom sediment survey, the bivalve mussel Nassarius livescens is listed as Endangered in three prefectures and Near Threatened (NT) in four prefectures in Japan by the Red List of the Ministry of the Environment. The Kinutaregai (Petrasma pusilla) is listed as Endangered (I) in three prefectures and Near Threatened (NT) in three prefectures. Both are listed as semi-threatened (NT) under the Ministry of the Environment category. Ehime Prefecture, where the farm is located, is not in that specific area, but will continue to monitor the status of the bivalve as it is a good habitat for the species.
50002101	Uchiumi Suisan Co., Ltd	2.3.2	Indicator: Allowance for the farm to be sited in a protected area (10) or High Conservation Value Areas (11) (HCVAs) Requirement: None (12) Applicability: All	Compliant	Aohiura-Uwakai National Park map confirmed. The Ainan-cho Yutai area where the farm is located falls under the Aohiura-Uwakai National Park Normal Area. It was confirmed that the area does not fall under any other special protection areas for birds and animals. The farm is not located in a protected area or HCVAs. Ordinary areas of national parks do not constitute legal protected areas.
50002101	Uchiumi Suisan Co., Ltd	2.3.3	Indicator: Allowance for the farm to be sited closer than 500 meters to a seagrass meadow(s) (13) measure from the edge of the AZE Requirement: None Applicability: All	Compliant	A report on a nationwide seaweed/seagrass bed survey by the Ministry of the Environment's Natural Environment Centre was confirmed. No seagrass beds were found in the vicinity of the farm located in the Yutai area of Ainan Town. (Marine Biological Environment Survey seaweed/seagrass bed, 4th Basic Survey for Conservation of the Natural Environment 1989-1994, Ministry of the Environment). No further survey data have been found since then. Ehime Prefecture and Ehime University were previously contacted, but the seagrass beds were not surveyed. As per 2.3.1 and 2.3.2, no seagrass beds have been identified. This area is not suitable for the distribution of seagrass beds due to the rias coast and the steep slope of the seabed. A visual inspection of the area around the site at the time of the audit did not identify any areas where seagrass beds were likely to be present within 500m.
50002101	Uchiumi Suisan Co., Ltd	2.4.1	Indicator: Use of submerged acoustic deterrent devices Requirement: Not allowed Applicability: All	Compliant	A declaration (dated 1 June 2019) has been prepared declaring that no submerged acoustic deterrent device (ADD/AHD) are used within the farm harvest area. Interviews with managers and site visits also confirmed that ADD/AHDs are not used.
50002101	Uchiumi Suisan Co., Ltd	2.4.2	Indicator: Number of mortalities (14) of endangered or red-listed (14) animals in the farm base area and adjacent areas due to farm operations, personnel or associates over the previous 2 years Requirement: 0 Applicability: All	Compliant	The Ehime Red Data Book 2014 and the Ministry of the Environment's Red List 2020 were consulted, as well as the Chugoku-Shikoku Regional Environment Office, who replied that there are no Red List species in the vicinity of Uchiumi Suisan Co., Ltd. No mortality of endangered species on the farm was confirmed. There were also no recorded deaths of any individuals. If mortalities do occur, the procedure is to record them in the Daily Report and the Wildlife Mortality Record Form.
50002101	Uchiumi Suisan Co., Ltd	2.4.3	Indicator: Allowance for intentional lethal action against predators/wildlife on the farm site Requirement: None, unless human safety is immediately threatened Applicability: All	Compliant	The farm do no intentional lethal action against predators/wildlife on the farm site. The presence of predators requiring control management is not recognised. Confirmed by interviews with managers and site visits.
50002101	Uchiumi Suisan Co., Ltd	2.4.4	Indicator: All lethal incidents are recorded and categorized (15) and reported to ASC Requirement: Yes Applicability: All	Compliant	The procedure is to record any mortality cases in the Daily Report and the Wildlife Mortality Record Form. At the time of this audit, there were no confirmed mortalities of wild animal on the farm. The company has prepared its own 'Methods for handling wildlife carcasses when encountered at sea' and keeps this as a document. The handling method has been confirmed with Ehime Prefecture and Ainan Town, and judged to be appropriate.
50002101	Uchiumi Suisan Co., Ltd	2.4.5	Indicator: In the event of any lethal incident, evidence that an assessment of the probability of lethal incident(s) has been undertaken and demonstration of concrete steps taken by the farm to reduce the risk of future incidences Requirement: Yes Applicability: All	Compliant	In the harvest area in Yutai, the cages are covered with shade nets. The structure does not allow birds and other animals to get trapped. At the time of this audit, there were no confirmed wildlife deaths on the farm. In the event of mortality, risk assessments and procedures will be reviewed as necessary.
50002101	Uchiumi Suisan Co., Ltd	3.1.1	Indicator: Culture of a non-native species (16) Requirement: None, unless the farmed species is ecologically established (17) in the region at time of publication of the of the Seabass, Seabream & Meagre standard v.1.1 Applicability: All	Compliant	The farm only farms native species. Seabream is a native Japanese species. The fact of the seabream's presence in the area in question was confirmed by the Ministry of the Environment's Setouchi Net. <a href="https://www.env.go.jp/water/heisa/heisa_net/setouchiNet/seto/g1/g1chapter1/kiimono/mada.html">https://www.env.go.jp/water/heisa/heisa_net/setouchiNet/seto/g1/g1chapter1/kiimono/mada.html</a>

50002101	Uchiuni Suisan Co., Ltd	3.2.1	Indicator: Culture of transgenic (18) fish Requirement: Not permitted Applicability: All	Compliant	The certificate of production of fingerlings (dated 7 February 2023) for the 31 January 2023 shipment from the fingerling supplier Yamazaki Giken Co. was confirmed. The certificate of production of fingerlings contains information on the origin of the fingerlings, parent fish and fingerling farming records, including the date of shipment and details of the fingerling supplier, and states 'no genetic manipulation', which was confirmed in writing.
50002101	Uchiuni Suisan Co., Ltd	3.3.1	Indicator: Evidence of a well-designed, maintained and managed culture system, infrastructure and farm management (19) to minimize escapes during grow-out and harvest Requirement: Yes Applicability: All	Compliant	The 'escape prevention plan' (dated 5 August 2022) was reviewed. The escape prevention plan contained the necessary information on prevention measures, response in the event of an escape, maintenance of wire mesh and maintenance of unbraided Polyethylene Netting, respectively. The nets currently in use are wire mesh and no damage has been confirmed to date. The mesh is set at a size that does not allow fish to escape. They are visually checked by diving before and after typhoons as they may be damaged during typhoons. The nets are fitted with a plate with a number on it and are managed by number. The wire mesh potential is measured every year to check its strength and is replaced after five to six years. The president, Mr Oda, consults with the contractor to determine when to replace them. From the records in the daily aquaculture report, it was possible to confirm the cages where the nets were replaced (e.g. No. 16: September 2022). Diving visual inspections are carried out several times a month and wire nets are cleaned by a specialist contractor two or three times a year. As the fish cages may be damaged during typhoons, the condition of the fish cages and nets is checked by diving operations before and after typhoons. There have been no cases of nets being damaged by typhoons or high waves. In some cases, synthetic fibre nets are used for fish collection, for example during shipping, but the synthetic fibre nets are inspected and repaired every year and no fish have escaped due to damage during use.
50002101	Uchiuni Suisan Co., Ltd	3.3.2	Indicator: The farm shall count all fish at every stocking, grading and harvest event with a counting accuracy of ≥98% Requirement: Yes Applicability: All	Compliant	A Fish Counting Work Plan <sup>1</sup> has been developed as part of the counting procedure. Farms count and record when fish are stocked in fish cages, when fish cages are separated and when fish are shipped. A hand tally counter is used for counting. Fish are counted on conveyorised fish counters when shipped from fingerling suppliers to intermediate nurseries, and the figures and specifications of the fish counters are verified. When fish are transported from the intermediate nursery to the Uchiuni Suisan Yutai area, they are counted using a tally counter before being loaded onto live fish vessels for transport. In the Yutai area, fish are counted when fish cages are divided, but usually only once per production cycle (one fish cage is divided into two fish cages). Counting during shipment is accurate because each individual fish weighing around 2 kg is manually boxed. In addition, all confirmed numbers of dead fish are recorded. A comparison of the number of stockings, deaths and shipments for lots stocked in 2020 and shipped in May 2022 showed a counting error of 1.2%. 1.2% may include counting errors and deaths that were not recovered, but overall, the counting accuracy was judged to be 98% or higher.
50002101	Uchiuni Suisan Co., Ltd	3.3.3	Indicator: Total amount of known escapes (21) allowed per production cycle Requirement: 4% (22) of stocked count based on ≥98% counting accuracy Applicability: All	Compliant	There were no natural disasters, net breaks or cages spills, and no known occurrences of escapement; for lots stocked in 2020 and shipped in May 2022, a comparison of stock counts with the number of die-offs and shipments showed an error margin of 1.2%; the 1.2% is thought to include counting errors and die-offs that could not be recovered were included.
50002101	Uchiuni Suisan Co., Ltd	3.3.4	Indicator: Total amount of unexplained loss (23) per production cycle Requirement: 2% of stocked count based on ≥98% counting accuracy Applicability: All	Compliant	There were no natural disasters, net breaks or cages spills, and no known occurrences of escapement; for lots stocked in 2020 and shipped in May 2022, a comparison of stock counts with the number of die-offs and shipments showed an error margin of 1.2%; the 1.2% is thought to include counting errors and die-offs that could not be recovered were included.
50002101	Uchiuni Suisan Co., Ltd	3.3.5	Indicator: Number of known escapes and unexplained losses are documented and made public as well as reported to ASC on an annual basis Requirement: Yes Applicability: All	Compliant	A system has been established on the Daiichi website to document and publish the number of individuals lost in the event of escapes and unexplained losses. <a href="http://www.daiichi-ff.co.jp/asc.html">http://www.daiichi-ff.co.jp/asc.html</a> It was disclosed that there were zero cases of escapes or unexplained losses.
50002101	Uchiuni Suisan Co., Ltd	3.4.1	Indicator: Source of fingerlings Requirement: Hatchery only Applicability: All	Compliant	The certificate of production of fingerlings (dated 7 February 2023) for the 31 January 2023 shipment from the fingerling supplier Yamazaki Giken Co. was confirmed. The certificate of production of fingerlings contains information on the origin of the fingerlings, parent fish and fingerling farming records, and states 'artificial', which was confirmed in writing.
50002101	Uchiuni Suisan Co., Ltd	3.4.2	Indicator: Traceability of all hatchery purchased fingerlings to their source Requirement: Yes Applicability: All	Compliant	The certificate of production of fingerlings (dated 7 February 2023) for the 31 January 2023 shipment from the fingerling supplier Yamazaki Giken Co. was confirmed. The certificate of production of fingerlings contains information on the origin of the fingerlings, parent fish and fingerling farming records. Fingerlings are transported from Yamazaki Giken Co. to an intermediate nursery by live fish boat, stocked for a while and then transported and stocked at Uchiuni Suisan. The date of shipment on the certificate of production of fingerlings and electronic data records such as aquaculture daily reports confirmed the acceptance of fingerlings. Depending on the time of year, the number of fingerlings listed on the certificate of production of fingerlings may be shipped with an additional amount (to account for mortality of declining individuals). The actual number of fingerlings with the addition of the extras is communicated verbally and the quantity is recorded in the daily report.
50002101	Uchiuni Suisan Co., Ltd	3.4.3	Indicator: The fingerling supplier has a documented fish health and bio-security protocol or a comparable 3rd party certificate Requirement: Yes Applicability: All	Compliant	A fish health management plan (updated 27 January 2021) relating to the identification and monitoring of fish diseases and parasites was obtained from fingerling's supplier, Yamazaki Giken Co. The health management plan includes risk assessments and quarantine measures related to biosecurity as well as possible fish diseases. The health management plan was reviewed for content by a fish quarantine officer. The fish quarantine officer is deemed to possess the same expertise and qualifications as a veterinarian in the aquaculture business. When fingerlings are supplied, they are visually checked for disease and this is recorded in the 'certificate of production of fingerlings' health at time of shipment' and 'disease history' before and after sea stocking.
50002101	Uchiuni Suisan Co., Ltd	3.4.4	Indicator: The receiving facility (24) has a documented bio-security protocol, including quarantining, with respect to purchased fingerlings Requirement: Yes Applicability: All	Compliant	"Health Management Plan (Uchiuni Suisan Co., Ltd updated 1 August 2022)" has been prepared, including written arrangements to identify fish diseases and parasites and possible quarantine, for accepting purchased fingerlings. Procedures have been developed for fish observation items, pathology and health checks on receiving fingerlings. The health management plan was reviewed for content by a fish quarantine officer. At the time of purchase of fingerlings, before stocking at the intermediate nursery, several samples of fingerlings were sent to the Fish Disease Diagnostic Room of the Ainan Town Fisheries Department (in the Nishikai Branch), where health checks were carried out and records kept (e.g. 21 February 2022). Each fish is visually checked upon acceptance in Uchiuni Suisan Yutai, and if a disease is observed, the fish is checked for disease at the Daiichi fish disease laboratory, and if the disease is unknown, the fish is taken to the Ehime Fisheries Fish Disease Centre for pathological examination."
50002101	Uchiuni Suisan Co., Ltd	3.4.5	Indicator: All trans-national imported fingerlings must be accompanied by documentation required by importing countries (e.g. health certificate) Requirement: Yes Applicability: All	Compliant	All fingerlings are sourced from within the country and are not imported cross-country; certificate of production of fingerlings (dated 7 February 2023) confirmed.
50002101	Uchiuni Suisan Co., Ltd	4.1.1	Indicator: Evidence of traceability, demonstrated by the feed producer, of all fishmeal and fish oil ingredients (25) Requirement: Yes Applicability: All	Compliant	There is only one supplier of feed for ASC target fish. The feed company has a good understanding of the ASC Seabass, Seabream and Meagre standards. The farm has received written testimony from the feed company dated 13 March 2023 assuring traceability for all fishmeal and fish oil. The feed company has included a section on traceability in its ISO 9001 audit manual and its effectiveness has been audited. Records of feed purchases are kept.
50002101	Uchiuni Suisan Co., Ltd	4.2.1	Indicator: Fishmeal Forage Fish Dependency Ratio (FFDRm) for grow-out (calculated using formulas in the Appendix of the Seabass, Seabream & Meagre standard v1.1) Requirement: (a) Dicentrarchus labrax and Sparus aurata: ≤ 1.85 (b) Argyrosomus regius: ≤ 2.75, ≤ 2.5 (3 years (26)), ≤ 2.35 (6 years (27)) (c) Pagrus major (27): ≤ 4.5, ≤ 3.5 (3 years (27)), ≤ 2.5 (6 years (27)) Applicability: All	Compliant	Details of the feeds are held by the feed company and were presented by the feed company at the time of the audit. The percentage of fishmeal and fish oil in each type of feed is given. The feed companies obtain proof of fish species from their suppliers when purchasing raw materials. The fisheries that supply fishmeal and fish oil are therefore clearly recorded. The calculated FFDRm was 0.5. The standard of 2.5 or less (within 6 years) for seabream was met.
50002101	Uchiuni Suisan Co., Ltd	4.2.2	Indicator: Fish Oil Forage Fish Dependency Ratio (FFDRo) for grow-out (calculated using formulas in the Appendix of the Seabass, Seabream & Meagre standard v1.1) Requirement: All species ≤ 3, ≤ 2.95 (3 years (28)), ≤ 2.9 (6 years (28)) Applicability: All	Compliant	Details of the feeds were retained by the feed company and were presented by the feed company at the time of audit. The percentage of fishmeal and fish oil in each type of feed was given. The feed companies obtain proof of fish type from their suppliers when purchasing raw materials. The fisheries that supply fishmeal and fish oil are therefore clearly recorded. The calculated FFDRo was 0.33. The standard of 2.9 or less (within 6 years) for seabream was met.
50002101	Uchiuni Suisan Co., Ltd	4.3.1	Indicator: Timeframe for at least 90% fishmeal or fish oil used in feed to come from fisheries (29) certified under an ISAL member's accredited certification whose primary goal is to promote ecological sustainability Requirement: < 5 years after the date of publication of the Sea Bass/Sea Bream standards NOTE: In November 2016 ASC published an Interim Solution for ASC Marine Feed Ingredients, which will replace indicators 4.3.1 and 4.3.2 of this Standard. This solution applies to all ASC's Standards, which have indicators for marine raw material origin, including this ASC Seabass, Seabream, and Meagre Standard. This interim solution will apply until the ASC Feed Standard will be available or until further official and public notice by ASC Applicability: All	Compliant	It is not applicable because it is within 5 years from the issue date of the ASC Suzuki Thai Onibe standard and provisional measures regarding feed ingredients of ASC are applied.



50002101	Uchiumi Suisan Co., Ltd	4.3.2	Indicator: Prior to achieving 4.3.1 the fishmeal or fish oil used in feed must have a FishSource stock health score of 6.0 or higher or show evidence of being engaged in a credible and time bound fisheries improvement project (FP) Requirement: All stock health scores > 6 (see note above) Applicability: All	Compliant	The fish source certification of the fishmeal and fish oil used in the feed was verified. Of the ingredients, excluding by-product-derived ingredients, all fish species had a fish source score of at least 6.
50002101	Uchiumi Suisan Co., Ltd	4.3.3	Indicator: Feed containing fishmeal and/or fish oil originating from by-products (30) or trimmings from fish species which are categorized as vulnerable, endangered or critically endangered, according to the IUCN Red List of Threatened Species (31) Requirement: None Applicability: All	Compliant	Certificates of origin were presented for all fish meal fish oil derived from by-products and residues. The feed company has submitted a declaration to ensure sustainable source feed ingredients as of March 13, 2023. The declaration includes a statement that the feed ingredients will not contain any species classified as endangered 1A, 1B, or 2 on the IUCN Red List of Threatened Species.
50002101	Uchiumi Suisan Co., Ltd	4.3.4	Indicator: Feed ingredients which come from other fish from the same genus Requirement: None Applicability: All	Compliant	Certificates of origin were presented for all fish meal fish oil derived from by-products and residues. The feed company has submitted a declaration to ensure sustainable source feed ingredients as of March 13, 2023. The declaration includes a statement that fishmeal fish oil derived from fish species of the same genus is not included.
50002101	Uchiumi Suisan Co., Ltd	4.4.1	Indicator: Presence and evidence of traceability and a responsible sourcing policy for the feed manufacturer for feed ingredients which comply with internationally recognized moratoriums and local laws (32) Requirement: Yes Applicability: All	Compliant	A declaration document (dated 13 March 2023) has been obtained from the feed company declaring that it does not use plant raw materials from the Amazon biome region. The feed company has a responsible procurement policy for feed ingredients and ensures compliance with the Cease Grain Cultivation Order and regional laws and regulations by presenting a Supplier Code of Conduct to its ingredient suppliers and obtaining their agreement.
50002101	Uchiumi Suisan Co., Ltd	4.4.2	Indicator: Documentation of the use of transgenic (33) plant raw materials, or raw materials derived from genetically modified plants, in the feed Requirement: Yes Applicability: All	Compliant	Feed companies are notifying the farm as of March 13, 2023 that all plant-derived ingredients are GMO non-segregated.
50002101	Uchiumi Suisan Co., Ltd	4.4.3	Indicator: Percent of non-marine ingredients from sources certified by an ISEAL Member's certification scheme that addresses environmental and social sustainability Requirement: 80% for soy and palm oil within 5 years following the date of the publication of the of the Seabass, Seabream & Meagre standard v1.1 Applicability: All	Compliant	This indicator will be applied in March 2024. The feed company has declared to procure soy and oil palm raw materials under a certification system that does not allow illegal deforestation by the end of 2023.
50002101	Uchiumi Suisan Co., Ltd	4.5.1	Indicator: Evidence that non-biological waste (including net pens) from grow-out site is either disposed of properly or recycled Requirement: Yes Applicability: All	Compliant	A documented 'Waste Disposal Procedure' sets out procedures for the disposal of waste, including feed paper bags, paper, wood, waste plastics (e.g. rope and Styrofoam) and metals. Transporters and disposal contractors have been selected. Waste generated at the farm is sorted at Dainichi's headquarters and handed over to the transporter. Synthetic fibre nets are not disposed of as they continue to be used while repairing any damage. The industrial waste management slip (manifest) dated 30 July 2022 was checked and it was confirmed that the disposal of waste plastics has been completed. When disposing of iron frames and wire mesh from fish cages, an external contractor is commissioned to dispose of them and a record of disposal is kept. The 'Record of iron frames and wire mesh disposal' dated 10 December 2022 was checked and it was confirmed that the wire mesh was delivered to Koyo Co. for recycling and disposal. It was confirmed that there were written contracts with all collection and transport companies and industrial waste disposal companies to which the disposal was outsourced. We also confirmed that there were no violations or fines for improper disposal received in the past 12 months.
50002101	Uchiumi Suisan Co., Ltd	4.5.2	Indicator: Evidence of appropriate storage and/or disposal of biological waste Requirement: Yes Applicability: All	Compliant	The only biological waste is dead fish, which is treated as industrial waste. The procedure for the disposal of dead fish is defined as 'Removal and disposal of dead individuals'. Whenever dead fish are found, they are collected in vats and temporarily stored in the freezers of the Suge area, and only when they have accumulated to the point where they can be consigned for disposal, they are sent to a contractor for disposal. If a large number of fish die due to disease or other causes, the cause is examined by a fish quarantine officer and action is taken accordingly. The treatment is outsourced to Tokushima Chemical Manufacturing Cooperative and the collection and transport to Kishi Chemical Industry. The contract and the industrial waste management slip (manifest) dated 30 September 2022 were verified.
50002101	Uchiumi Suisan Co., Ltd	4.5.3	Indicator: Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes Requirement: Yes Applicability: All	Compliant	Hydrogen peroxide and antibiotics are used. Medicines are stored in boxes on storage shelves in the warehouse. The receipt and use of the medicines is recorded in a list of raw material receipts and payments, and inventories are kept monthly. Only the required quantities are ordered from Uchimi Fisheries to Dainichi, and all chemicals received are used up, so there is no waste. Engine oil for outboard motors of boats and forklifts is changed during inspections by the contractor. Inspection records are kept. Oil is not disposed of by Uchimi Fisheries.
50002101	Uchiumi Suisan Co., Ltd	4.5.4	Indicator: Spill prevention and response plan for chemicals/hydrocarbons originating from farming operations Requirement: Yes Applicability: All	Compliant	On-Site Oil Spill Response", a documented procedure for the storage of chemicals, fuel and oil to prevent spills and how to deal with spills, continues to be operated in accordance with this procedure. No fuel spills have ever occurred on fishing vessels. Vessels, forklifts, dorechts and conveyor belts are inspected monthly to identify any fuel or engine oil spills and immediate action is taken. Monthly inspection and maintenance record sheets were checked (conducted on 25 February 2023). Oil changes were also recorded on the monthly inspection and maintenance record sheet. Oil leakage from the forklift truck pressure resistant hose was identified during the inspection, and the hose and oil change had been carried out on 1 March. No oil leakage into the sea occurred.
50002101	Uchiumi Suisan Co., Ltd	4.5.5	Indicator: For any farm that cleans nets on-land, evidence that net-cleaning sites have effluent treatment (33) Requirement: Yes Applicability: All	Compliant	The net is not washed on land. The netting of the fish cages is wire mesh.
50002101	Uchiumi Suisan Co., Ltd	4.6.1	Indicator: Presence of an energy use assessment verifying the energy consumption on the farm and representing the production cycle, as outlined in Appendix 3 of the Seabass, Seabream & Meagre Standard v1.1 Requirement: Within two years of the initial audit (measured in kilojoule/t fish/production cycle) Applicability: All	Compliant	With regard to the total energy consumption in the most recent production cycle at the farm, energy use from April 2021 to March 2022 was disaggregated by energy source. The farm uses petrol, diesel and electricity. Calculated from the energy use and the total amount of fish produced (tonnes), the total energy use was 6191.6 kJ/t fish/production cycle.
50002101	Uchiumi Suisan Co., Ltd	4.6.2	Indicator: Records of greenhouse gas (GHG (34)) emissions (35) on farm and evidence of an annual GHG assessment, as outlined in the Appendix of the Seabass, Seabream & Meagre standard v1.1 Requirement: Yes, within two years of the initial audit Applicability: All	Compliant	Greenhouse gas emissions (Scope 1 and Scope 2) have been calculated for the farm. The most appropriate emission factor for the farm's operations has been selected and the source of the emission factor has been recorded. Energy use from April 2021 to March 2022 was disaggregated by energy source. The farm uses petrol, diesel and electricity. From the energy use and emission factor, the calculation was 12.3 tCO <sub>2</sub> /t fish/production cycle.
50002101	Uchiumi Suisan Co., Ltd	4.6.3	Indicator: Documentation of GHG emissions of the feed (36) used during the previous production cycle reported to ASC, as outlined in the Appendix of the Seabass, Seabream & Meagre standard v1.1 Requirement: Yes, within three years of the initial audit Applicability: All	Compliant	The feed company provided GHG data on GHG emissions from production per tonne of feed; the emissions in 2021 were 1254 CO <sub>2</sub> -kg/t of feed. Multiplying the GHG emissions per unit of feed by the amount fed in the last completed production cycle, the GHG emissions from feed used in the last production cycle were 185 tCO <sub>2</sub> /production cycle.
50002101	Uchiumi Suisan Co., Ltd	4.6.4	Indicator: Evidence of a documented strategy to reduce GHG per unit of production (measured in kilojoule/t fish produced) Requirement: Yes, within three years of the initial audit Applicability: All	Compliant	A plan of action to reduce GHGs per unit of production was developed as a strategy to reduce GHGs per unit of production per fish weight. Specifically, this is to improve fuel efficiency and feeding efficiency through vessel engine maintenance and operating techniques.
50002101	Uchiumi Suisan Co., Ltd	5.1.1	Indicator: Evidence of a veterinary approved Fish Health Management Plan (FHMP) (37) Requirement: Yes Applicability: All	Compliant	A fish health management plan has been developed which includes sections on disease identification and monitoring. (dated 1 August 2022) It has been approved by the Fish Quarantine Officer. It describes the symptoms of diseases identified by fish disease specialists in Ehime Prefecture and their countermeasures. Vaccinations are given to fingerlings. Observation procedure to detect disease are established. If a disease is observed, the disease is confirmed by Dainichi's fish disease laboratory, and if the disease is unknown, the fish is taken to the Ehime Fisheries Fish Disease Centre for pathological examination. The three fish disease laboratory personnel at Dainichi have received training in pathological autopsies at this fish laboratory and have been engaged in pathological autopsies at Dainichi's fish disease analysis laboratory for more than 10 years.
50002101	Uchiumi Suisan Co., Ltd	5.1.2	Indicator: Farm maintains a fish health management record keeping system Requirement: Yes Applicability: All	Compliant	All disease/parasite outbreaks and treatments on the farm were recorded in the daily reports. The use of the antibiotic OTC (oxytetracycline) was confirmed in the aquaculture daily report; symptoms of Vibrio were observed on 23 July 2022 and treated with OTC from 24 to 28 July 2022. The number of fish dying and the reason for the death, if known, were also recorded in the aquaculture daily report. If the cause of death could not be determined, it was noted as 'unknown'. A distinction is also made between whether the cause of death was unknown because it could not be diagnosed due to decomposition, etc., or whether it was unknown as a result of analysis.
50002101	Uchiumi Suisan Co., Ltd	5.2.1	Indicator: Use of therapeutic treatments that are listed as critically important for human medicine by the World Health Organization (38, 39) Requirement: Not permitted. Applicability: All	Compliant	Regarding the use of medicines, the latest version of the Ministry of Agriculture, Forestry and Fisheries' "Use of medicines for fisheries use, 35th report (31 January 2022)" was confirmed; the policy is not to use WHO's "Highly Important Antibiotics"; WHO's list "Medically important Antimicrobials" (2018, 6th edition)" and confirmed that they hold a Japanese translation of the list and understand the list.

50002101	Uchiumi Suisan Co., Ltd	5.2.2	Indicator: Prophylactic use of chemical antimicrobial treatments. Requirement: Not permitted Applicability: All	Compliant	All disease/parasite outbreaks and treatments on the farm were recorded in the daily reports. The use of the antibiotic OTC (oxytetracycline) was confirmed in the aquaculture daily report. The number of fish dying and the reason for the death, if known, were also recorded in the aquaculture daily report. When fish with anomalies are found, fish diseases are confirmed and then medicated. As an example, on 23 July 2022, Vibrio symptoms were observed and records were reviewed of the fish being treated with OTC from 24 to 28 July 2022. It was confirmed that no prophylactic chemical or antimicrobial treatments were used.
50002101	Uchiumi Suisan Co., Ltd	5.2.3	Indicator: The farm shall document (40)all chemicals (41) and therapeutants used during the most recent production cycle Requirement: Yes Applicability: All	Compliant	All disease/parasites and treatment procedures in the farm are recorded in daily reports for each fish cage. The aquaculture daily reports for the fish cages sampled were checked and there was use of the antibiotic OTC (oxytetracycline). The number of fish dying and the reason for the die-off, if known, was also recorded in the aquaculture daily report; Vibrio symptoms were observed on 23 July 2022 and treated with OTC from 24 to 28 July 2022.
50002101	Uchiumi Suisan Co., Ltd	5.2.4	Indicator: Number of anti-parasiticide treatments (42) allowed over the most recent production cycle, including the hatchery Requirement: 1 Applicability: All	Compliant	Before stocking fingerlings, the fingerling supplier uses marine sour (hydrogen peroxide) to prevent monogeneans. No pesticides are used once the fingerlings are stocked at Uchiumi Suisan. If there is an outbreak of Monogeneans in Uchiumi Suisan, Marine Sour (hydrogen peroxide) is used.
50002101	Uchiumi Suisan Co., Ltd	5.2.5	Indicator: Number of treatments (43) of antibiotics over the most recent production cycle, including the hatchery Requirement: ≤ 3 Applicability: All	Compliant	All disease/parasites and treatment procedures on the farm are recorded in the daily reports per cages. The aquaculture daily report for the cages currently in stock was checked and the antibiotic OTC (oxytetracycline) was used twice. The certificate of production of fingerlings was also checked and confirmed that there was no antibiotic treatment during the fingerling period. The aquaculture daily report and certificate of production of fingerlings for cages with completed shipments in 2022 were checked and confirmed that antibiotics were used three times during the production cycle.
50002101	Uchiumi Suisan Co., Ltd	5.3.1	Indicator: All recovered mortalities are removed and disposed of in a responsible manner Requirement: Yes Applicability: All	Compliant	The number of dead fish collected at the farm is recorded in all the daily reports for each cages. A procedure for dead fish disposal, 'Removal and Disposal of Dead Individuals', has been developed, and dead fish that float to the surface in cages are collected as soon as they are found and stored in the freezer in the Suge area. When more dead fish are collected than the weight specified by the industrial waste processor, the industrial waste processor is commissioned to dispose of them. The industrial waste processor is Tokushima Chemical Manufacturing Cooperative and the contract and industrial waste management slip (manifest) (dated 30 September 2022) were confirmed. Some individuals cannot be collected because they do not float to the surface of the cage and are eaten by other seabream
50002101	Uchiumi Suisan Co., Ltd	5.3.2	Indicator: Classification of mortalities Requirement: All recovered mortalities are recorded and classified by cause of death Applicability: All	Compliant	The number of deaths is recorded on the aquaculture daily report for each cage, and if symptoms of a specific disease can be identified from the appearance of the dead fish at the time of collection, the name of the disease is recorded. Dead fish that are in a state of decay and disease cannot be determined are only collected and the cause of death is recorded as unknown. Deaths of 1-3 fish per day are not considered to be disease and are judged to be debilitating deaths. The president of Uchiumi Suisan Co., Ltd. is on site to visually check the condition of the dead fish. He is knowledgeable in judging the disease status based on his previous aquaculture experience, and has also received training in fish diseases at a fish disease workshop organised by Ehime Prefecture (conducted on 18 May 2022). Dead individuals suspected of having a disease are stained and observed for bacteria at Dainichi's laboratory to determine the disease. Individuals with an unknown disease are sent to the Fisheries Research Centre in Ehime Prefecture for testing. The aquaculture daily report distinguishes whether the disease was unknown because it could not be diagnosed due to decay, etc., or whether it was unknown as a result of analysis.
50002101	Uchiumi Suisan Co., Ltd	5.3.3	Indicator: When unexplained mortalities exceed 20.5% / per day, samples are submitted for analysis by a veterinarian or designated fish health expert Requirement: Yes Applicability: All	Compliant	The number of deaths is recorded on the aquaculture daily report for each cage, and if symptoms of a specific disease can be identified from the appearance of the dead fish at the time of collection, the name of the disease is recorded. Dead fish that are in a state of decay and disease cannot be determined are only collected and the cause of death is recorded as unknown. For the lots shipped in 2022, it was confirmed that the mortality rate was around 0.3% and that unexplained mortality would not exceed 0.5%. In the case of mass mortality of more than 0.5%, disease is suspected and the fish will be examined at the Fisheries Research Centre in Ehime Prefecture as per procedure.
50002101	Uchiumi Suisan Co., Ltd	5.3.4	Indicator: Evidence of a farm specific mortalities reduction program that includes defined annual targets for reductions in mortalities and reductions in unexplained mortalities Requirement: Yes Applicability: All	Compliant	Mortality reduction programme (1 March 2020)* has been developed. A survival target of at least 95% (with a mortality target of less than 5%) has been set and shared with employees. Mortality is calculated as the yield of die-offs from seed stock to shipment of adult fish. The average survival rate was 92.7% for shipments in 2022, which was below the target. It is recognised that, although measures such as feeding cessation have been taken in response to the environment, shipments have not been possible due to reduced demand caused by the new coronavirus, and that the density has increased the number of die-offs. The target remains 95%.
50002101	Uchiumi Suisan Co., Ltd	6.1.1	Indicator: Evidence that workers have access to trade unions (if they exist) and union representative(s) chosen by themselves without managerial interference Requirement: Yes Applicability: All	Compliant	Not applicable because there is no labor union. Uchiumi Suisan has 3 employees. The right to organise, collective bargaining and collective action is guaranteed in Article 28 of the Japanese Constitution. Article 49 (trade unions) of Uchiumi Suisan's employment regulations stipulates that employees can form trade unions without interference from management. The President confirmed through interviews that it is possible for the employees to elect their own workers' representatives.
50002101	Uchiumi Suisan Co., Ltd	6.1.2	Indicator: Evidence that workers are free to form organizations, including unions, to advocate for and protect their rights Requirement: Yes Applicability: All	Compliant	Uchiumi Suisan has three employees and no trade union. The right to organise, collective bargaining and collective action is guaranteed in Article 28 of the Japanese Constitution. Article 49 (trade unions) of Uchiumi Suisan's employment regulations stipulates that employees can form trade unions without interference from management. It also stipulates that employees may meet with representatives of labour organisations without interference from management.
50002101	Uchiumi Suisan Co., Ltd	6.1.3	Indicator: Evidence that workers are free and able to bargain collectively for their rights Requirement: Yes Applicability: All	Compliant	The right to organise, collective bargaining and collective action is guaranteed in Article 28 of the Japanese Constitution. Article 49 (trade unions) of Uchiumi Suisan's employment regulations stipulates that employees may collectively bargain for their own rights.
50002101	Uchiumi Suisan Co., Ltd	6.2.1	Indicator: Number of incidences of child (44) labour (45) Requirement: None Applicability: All, There are two possible exceptions: - in developing countries where the legal minimum age may be set to 14 years or - in countries where the legal minimum age is set higher than 15 years, in which case the legal minimum age of the country is followed.	Compliant	Farm does not engage in child labor. As of 23 March 2023, there were three employees. The age of the employees was checked on the employee list and, as of the date of the audit, the minimum age of the employees was 61 years. It was also confirmed that there was no child labour on site. Article 5 of Uchiumi Suisan's Employment Regulations stipulates that the company employs persons who are at least 18 years of age.
50002101	Uchiumi Suisan Co., Ltd	6.2.2	Indicator: Percentage of young workers (46) that are protected (47) Requirement: 100% Applicability: All	Compliant	Article 5 of Uchiumi Suisan's Employment Regulations stipulates that the company employs persons who are at least 18 years of age. As of 23 March 2023, there were three employees. The age of the employees was checked on the employee list. It was also confirmed that there was no young worker on site.
50002101	Uchiumi Suisan Co., Ltd	6.3.1	Indicator: Number of incidences of forced (48), bonded (49) or compulsory labour Requirement: None Applicability: All	Compliant	The employment contract is clear and signed by the employee. The contract was verified and did not contain any liabilities to the worker. The work rules also did not contain any rules that were unfair to the workers. Working hours, rest periods and holidays are clearly stated and the employee can manage his/her own free time and leave the workplace. The most recent employment contract was concluded on 21 April 2022. Employment contracts are renewed annually. Interviews with employees did not identify any risk of forced or slave labour.
50002101	Uchiumi Suisan Co., Ltd	6.4.1	Indicator: Evidence of comprehensive (50) and proactive anti-discrimination policies, procedures and practices Requirement: Yes Applicability: All	Compliant	As of 1 September 2019, a policy prohibiting discrimination and harassment has been developed. The policy is posted at the on-site warehouse to alert people to the policy. The policy also includes an internal and external consultation service. To date, no complaints of discrimination have been received from employees. The president of Uchiumi Suisan is a member of the Health and Safety Committee of Dainichi Corporation, and at the Health and Safety Committee meeting on 27 March 2020, a human rights awareness video distributed by the Ministry of Justice was viewed.
50002101	Uchiumi Suisan Co., Ltd	6.4.2	Indicator: Number of incidences of discrimination Requirement: None Applicability: All	Compliant	There were no complaints of discrimination. Interviews with staff confirmed this.
50002101	Uchiumi Suisan Co., Ltd	6.5.1	Indicator: Percentage of workers trained in health and safety practices, procedures (51) and policies on a yearly basis Requirement: 100% Applicability: All	Compliant	The working manual for Uchiumi Suisan has been updated as of 5 August 2022. Work procedures and safety check procedures are documented. In addition, the Safety and Health Committee Regulations are in place, which address measures to prevent accidents and health problems among employees, as well as the causes of work-related accidents and the prevention of their recurrence. The president of Uchiumi Suisan participates in the Safety and Health Committee of Dainichi Co Ltd, and the content of the meetings is shared with employees by the president. As a sample, the minutes of the Health and Safety Committee meeting held on 29 January 2023 were reviewed. Emergency contacts, tsunami evacuation points and evacuation routes from the site are posted in the on-site warehouse at the farm. The manual and emergency contacts are recognised by employees. As part of evacuation drills, the company participated in a simultaneous evacuation drill in Anan Town (conducted on 27 November 2022). Health check-up records were available. The president of the farm is engaged in diving work and has undergone special health examinations.

50002101	Uchiumi Suisan Co., Ltd	6.5.2	Indicator: Evidence that workers use Personal Protective Equipment (PPE) effectively Requirement: Yes Applicability: All	Compliant	The working manual for Uchiumi Suisan has been updated as of 5 August 2022. Work procedures and safety check procedures are documented. A table summarises the machinery used for the work, the protective equipment to be worn, the number of people required to work and the risks and measures to be taken. Life jackets and helmets are provided by the company and are worn according to the nature of the work. It was observed during the site visit that employees are wearing the appropriate safety equipment.  The vessels, lifts, derechts and conveyor belts used are inspected monthly and any problems are repaired immediately. Monthly inspection and maintenance record sheets were reviewed (inspection carried out on 25 February 2023). Interviews with employees also revealed no problems with their understanding regarding the proper use of protective equipment.
50002101	Uchiumi Suisan Co., Ltd	6.5.3	Indicator: Presence of a health and safety risk assessment and evidence of preventive actions taken Requirement: Yes Applicability: All	Compliant	The working manual for Uchiumi Suisan has been updated as of 5 August 2022. Work procedures and safety check procedures are documented. A table summarises the machinery used for the work, the protective equipment to be worn, the number of people required to work and the risks and measures to be taken. Risks are identified and employees are instructed to use protective equipment, and risks are reviewed annually. Risks are assessed and preventive measures are taken. Hazardous work is not carried out alone, except for equipment inspections and dead fish recovery. In case of an emergency, they can be contacted by mobile phone. No accidents have occurred.
50002101	Uchiumi Suisan Co., Ltd	6.5.4	Indicator: Evidence that all health- and safety-related accidents and violations are recorded and corrective actions are taken when necessary Requirement: Yes Applicability: All	Compliant	No accidents have occurred. A form for recording accidents, the Accident Report Form, has been prepared and procedures are in place to record accidents when they occur and to document the analysis and measures taken to prevent recurrence.
50002101	Uchiumi Suisan Co., Ltd	6.5.5	Indicator: Evidence of employer responsibility and/or proof of insurance (accident or injury) for 100% of worker costs in a job-related accident or injury when not covered under national law Requirement: Yes Applicability: All	Compliant	All employees are covered by work accident insurance. The notification of the establishment of the labour insurance relationship (dated 18 April 2013) and the declaration of labour insurance estimated and final premiums (dated 4 July 2022) were verified. The President of the company uses the compensation service for small and medium-sized legal entities or sole traders.
50002101	Uchiumi Suisan Co., Ltd	6.5.6	Indicator: Evidence that all diving operations are conducted in a manner that protects the health and safety of divers (52) Requirement: Yes Applicability: All	Compliant	Only the president of the company carries out diving operations about once a week. Diving records are not kept, but each dive lasts 10-15 minutes. Divers' licences were checked. He has undergone special health checks twice a year, which are mandatory for divers. With regard to net cleaning and anchor checks, the work is outsourced to one diver every two to three months. The diver's licence of the contractor was checked. It was confirmed that the rule is that no diving work is done by one person, including the contractor.
50002101	Uchiumi Suisan Co., Ltd	6.6.1	Indicator: The percentage of workers whose basic wage (53) (before overtime and bonuses) is below the minimum wage (54) Requirement: 0 (None) Applicability: All	Compliant	The minimum wage in Ehime Prefecture is 853 yen (revised on 1 October 2022). The minimum wage was always available on the website and was printed and kept on file. Salaries above the minimum wage were stated in the employment contract. Time cards and wage ledgers were checked and confirmed that all employees were paid above the minimum wage; two employees were paid on an hourly basis on part-time contracts and one was paid on a monthly basis.
50002101	Uchiumi Suisan Co., Ltd	6.6.2	Indicator: Evidence that the employer is working toward the payment of basic needs wage (55) Requirement: Yes Applicability: All	Compliant	Websites of real estate companies providing data on calculated model household expenditure by municipality were referenced. The expenditure data for Ainan Town, Minamiuwa District, Ehime Prefecture, was calculated as an annual expenditure of JPY 1.19 million per single-person household. Employees' monthly salaries exceed this reference wage, and it can be concluded that the current salary level is sufficient to meet the living wage.
50002101	Uchiumi Suisan Co., Ltd	6.6.3	Indicator: Evidence of transparency in wage-setting and rendering (56) Requirement: Yes Applicability: All	Compliant	Wages are determined through discussion at the time of contracting and a written employment contract is signed, which states the basic wage agreed by both parties. Salary payment dates are also clearly stated. Monthly payroll is calculated by Daiichi. Currently there are no salary increases. No bonuses have been paid. Article 5 of the Uchiumi Fisheries' employment regulations stipulates basic wages, various allowances and overtime pay.
50002101	Uchiumi Suisan Co., Ltd	6.7.1	Indicator: Percentage of workers who have contracts (57) Requirement: 100% Applicability: All	Compliant	Employment contracts have been signed with all three employees. The employment contracts are renewed annually. Two of these employees work in the Yutai area of the site. It was confirmed that no unfair contractual terms were included. Interviews with employees did not reveal any particular concerns.
50002101	Uchiumi Suisan Co., Ltd	6.7.2	Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors Requirement: Yes Applicability: All	Compliant	Obtaining declarations of compliance with social responsibility from the main suppliers - diving companies, fish cage manufacturers and fishing boat maintenance companies - confirmed that the companies have socially responsible practices and policies. As criteria for evaluation, the declarations include recognition of freedom of association and the right to collective bargaining, prohibition of forced labour, prohibition of child labour and elimination of discrimination. The declarations of main suppliers were reviewed.
50002101	Uchiumi Suisan Co., Ltd	6.8.1	Indicator: Evidence of worker access to effective, fair and confidential grievance procedures Requirement: Yes Applicability: All	Compliant	The 'Uchiumi Suisan Complaints Handling Regulations' have been drawn up. It clearly defines the method of filing complaints, the person responsible for handling them, the establishment of a third-party committee and the reporting of complaints. The file is kept at Uchiumi Suisan and can be viewed by any employee. As well as an internal consultation desk, an external contact desk has also been set up. The consultation desk is also posted in the on-site warehouse. If there is a complaint from an employee, a series of records are kept.
50002101	Uchiumi Suisan Co., Ltd	6.8.2	Indicator: Percentage of grievances handled that are addressed (58) within a 90-day timeframe Requirement: 100% Applicability: All	Compliant	To date, no complaints have been submitted. The 'Uchiumi Suisan Complaints Handling Regulations' stipulate that they are to be dealt with within 90 days. If there is a complaint from an employee, a series of records will be kept.
50002101	Uchiumi Suisan Co., Ltd	6.9.1	Indicator: Incidences of excessive or abusive disciplinary actions Requirement: None Applicability: All	Compliant	Article 47 of Uchiumi Suisan's Employment Regulations provides for disciplinary dismissal. There have been no disciplinary actions to date.
50002101	Uchiumi Suisan Co., Ltd	6.9.2	Indicator: Evidence of a functioning disciplinary action policy whose aim is to improve the worker (59) Requirement: Yes Applicability: All	Compliant	The policy on disciplinary actions is described in Articles 44 (Sanctions), 45 (Censure), 46 (Suspension) and 47 (Dismissal) of the Employment Regulations. There is a provision for an Awards and Disciplinary Committee and disciplinary actions are judged fairly. An effective disciplinary policy for the betterment of workers is documented.
50002101	Uchiumi Suisan Co., Ltd	6.10.1	Indicator: Incidences, violations or abuse of working hours (60) and overtime laws Requirement: None Applicability: All	Compliant	The employment contract and work rules were verified. The employment contract stipulates that working hours are from 7:00 to 16:00 and a break of one hour. The working hours and breaks are also stipulated in Chapter 4 'Work' of the employment regulations. The prescribed working hours are stipulated as a variable working hours system, but are stated as an average of 40 hours per week. The employment contract is concluded on a holiday shift system, and it was confirmed that holiday pay is paid if shipments are made on Saturdays. The employment regulations stipulate Saturday start and finish times and break times.  Two employees working in the Yutai area are family members of the company president and are contracted as part-time hourly employees; time card records for March 2023 were verified and showed that they worked at most four hours a day and did not work overtime.  Interviews also confirmed that they work three to four hours a day and do not incur overtime.
50002101	Uchiumi Suisan Co., Ltd	6.10.2	Indicator: Overtime is limited, voluntary (61), paid at a premium rates and restricted to exceptional circumstances Requirement: Yes Applicability: All	Compliant	The working hours and breaks are also stipulated in Chapter 4 'Work' of the employment regulations. The prescribed working hours are stipulated as a variable working hours system, but are stated as an average of 40 hours per week. Surcharges are to be paid for work averaging more than 40 hours per week.  Two employees working in the Yutai area are family members of the company president and are contracted as part-time hourly employees; time card records for March 2023 were verified and showed that they worked at most four hours a day and did not work overtime.  Interviews also confirmed that they work three to four hours a day and do not incur overtime.
50002101	Uchiumi Suisan Co., Ltd	6.11.1	Indicator: Farm employees accommodated on the farm have access to clean, sanitary, safe and suitable living conditions Requirement: Yes Applicability: All	Compliant	No workers reside on the farm.
50002101	Uchiumi Suisan Co., Ltd	6.11.2	Indicator: Existence of separate sanitary and toilet facilities for men and women, with the exception of work sites where married couples are working and accommodated together Requirement: Yes Applicability: All farms and accommodation and worksites except as permitted exclusions (6.11.7a)	Compliant	No workers reside on the farm.

50002101	Uchiumi Suisan Co., Ltd	7.1.1	Indicator: Evidence of regular and meaningful (62) consultation and engagement with community representatives and organizations  Requirement: Yes  Applicability: All	Compliant	Uchiumi Suisan participates in meetings with local residents at least twice a year. The president of Uchiumi Suisan is a commissioned member of the Ainan Fisheries Cooperative Association's Uchiumi district association qualification review panel (from 10 December 2020 to 9 December 2023) and is involved as a representative in the local fishing industry; a record of his participation in a committee meeting on 24 February 2023 was verified. Community gatherings include general meetings of the local residents' association and fisheries cooperative branch offices, fish farming councils (three or four times a year), and gatherings, drills and patrols of the fire brigade to which the president belongs. As a member of the fire brigade, he participated in a local disaster drill on 27 November 2022. The agenda and other information confirmed that he had participated in the briefing meeting of the Ainan Fisheries Cooperative Association's Nakai Branch (11 January 2023) and the general meeting of the Yutai residents' association's accounts (19 March 2023). Community representatives attended these meetings. Interviews with local residents also confirmed their active involvement in local meetings and gatherings.
50002101	Uchiumi Suisan Co., Ltd	7.1.2	Indicator: Presence and evidence of an effective (63) policy and mechanism for the presentation, treatment and resolution of complaints by community stakeholders and organizations  Requirement: Yes  Applicability: All	Compliant	The 'Uchiumi Suisan Complaints Handling Rules' were developed. The format of the complaint receipt record book was also confirmed. A third-party committee of Dainichi and Uchiumi Suisan is to be set up. When improvements and responses have been made, the complainant will be visited and an apology will be made. In the case of anonymous complaints, the measures to be taken are to be posted at Uchiumi Suisan. No complaints have been received so far. Stakeholder interviews also confirmed that no complaints have been received.
50002101	Uchiumi Suisan Co., Ltd	7.1.3	Indicator: For new farms (64), evidence of engagement and consultation with surrounding communities about potential social impacts from the farm.  Requirement: Yes  Applicability: All new farms (see note)	Compliant	Not applicable as there are no new harvest areas. The current farm has been in use for more than 100 years. Akoya shellfish farming was originally the mainstay in the area, and Uchiumi Suisan and a couple of relatives started seabream farming more than 30 years ago.
50002101	Uchiumi Suisan Co., Ltd	8.1	Indicator: Presence of documents issued by pertinent authorities proving compliance with local and national authorities on land and water use, effluent regulations and use of treatments.  Requirement: Yes  Applicability: All	Compliant	Fingerling supplier Yamazaki Giken is engaged in fingerling production at its land-based facilities in Kochi Prefecture, and after hatching, it outsources fingerling production to other companies to grow fingerlings at sea. There is a certified copy of the land register (Kochi District Legal Affairs Bureau) and two harvest area lease agreements (Nomi Fishery Cooperative in Kochi Prefecture (dated 1 December 2008) and Sukumo Bay Fishery Cooperative in Kochi Prefecture (dated 12 March 2008)). There are no specific effluent regulations, but effluent from inshore facilities is treated with ultraviolet light. Disease and medication history was confirmed by certificate of production of fingerlings.  Licensing documents for the intermediate nursery were also checked as follows.  Uchiumi Suisan: Confirmed the demarcated fishery licence (valid from 1 April 2019 until 31 March 2024) for Special Zone U No. 180/No. 181, and Land and building lease agreement (with Mr Tachibana, signed in 2013, automatically renewed).  Marukin Suisan: confirmed contract (dated 30 June 2022) with Hiseyoshi Fisheries Cooperative for the use of harvest area (Special Zone U No. 277).  Oyama Suisan: Confirmed the demarcated fishery licence (valid from 1 Sep. 2018 until 31 August 2023) for Special Zone No. 3056 from Sukumo-bay fisheries cooperative.  Records of dosing at the intermediate nursery are compiled and maintained by Dainichi in daily reports.
50002101	Uchiumi Suisan Co., Ltd	8.2	Indicator: New introductions of exotic species from the date of publication of the Sea Bass/Sea Bream Standard, unless the hatchery/fingerling facility is a closed production system (65)  Requirement: None  Applicability: All	Compliant	Seabream is a native species. Wild seabream is also caught in the waters around the farm.
50002101	Uchiumi Suisan Co., Ltd	8.3	Indicator: Allowance for siting in National Protected Areas (66)  Requirement: None (67, 68)  Applicability: All	Compliant	Fingerling supplier Yamazaki Giken Uranouchi Fish Farm (1147 Uranouchi Demi, Susaki, Kochi Prefecture) is adjacent to Kochi Prefecture Yokonami Prefectural Natural Park, but not within the designated area. Kashima-jima Island, Otsuki-cho, Hata-gun, Kochi Prefecture, where fingerlings are raised, is designated as Ashizuri-Uwakai National Park, but the sea area is not a protected area.  The following areas of the intermediate nursery are also not covered by national parks or bird and animal protection zones, as confirmed on the park plan map.  Uchiumi Suisan Co., Ltd Suge area: the sea area in Special Zone U No. 180/No. 181 is designated as an ordinary area of Ashizuri-Uwakai National Park and is not subject to protection. Marukin Suisan: Special Zone U No. 277 is designated as an ordinary area of Ashizuri-Uwakai National Park and is not subject to protection. Oyama Suisan: Special Zone No. 3056 of Sukumo-bay Fisheries Cooperative is not designated as Ashizuri-Uwakai National Park.
50002101	Uchiumi Suisan Co., Ltd	8.4	Indicator: Evidence that the egg and fingerling producer must have an equivalent or better health status than that of the grow-out facility, and must follow all national and local (jurisdictional) guidance on disease management  Requirement: Yes  Applicability: All	Compliant	The health management plan of the fingerling supplier has been updated as of 27 January 2021. The contents of the plan have been reviewed by a fish quarantine officer. The health management plan describes disease symptoms and countermeasures identified by fish disease specialists in Ehime. In addition, observation items have been established to detect diseases and there is a pathology procedure. The health management of the fish is at least as good as that of the farm. Health observations are carried out prior to shipment of fingerlings and the results are documented in the certificate of production of fingerlings for shipment 26 January 2020 and 31 January 2023. Fingerlings were stated to be in good health at the time of shipment.  A health management plan for the intermediate nursery was also prepared on the following dates, with the same health management as for the farm. The contents have been verified by a fish quarantine officer. Uchiumi Suisan Co., Ltd Suge area (updated 1 Aug 2022). Marukin Suisan (updated 1 Aug 2022). Oyama Suisan (created on 1 February 2023). Pathological tests will be carried out at an external institution if there are any diseases when the fish are shipped from the intermediate nursery to the farm. Marukin Fisheries requested the Ainan Town Fisheries Department to carry out the inspection and received a report on the results of the diagnosis; the results of the inspection dated 21 February 2022 were confirmed. When shipping from Oyama Suisan, it is planned to request the fish disease diagnostic laboratory of the Sukumo Bay Fisheries Cooperative. For Uchiumi Suisan suge area the procedure is the same as for the Yutai area.
50002101	Uchiumi Suisan Co., Ltd	8.5	Indicator: Evidence of disclosure to the grow-out farm of all chemical and antibiotic treatments on eggs and fry, including the reason for their use and the quantity used  Requirement: Yes  Applicability: All	Compliant	All chemical and antibiotic treatments applied to fingerlings purchased from fingerling suppliers are reported in the certificate of production of fingerlings. The certificate of production of fingerlings for shipments on 26 January 2020 and 31 January 2023 were checked and the use of marine sour and the name of the disease were clearly stated.  Feed, medicine and nutrient administration histories were recorded on aquaculture daily reports at the intermediate nurseries Marukin Suisan, Uchiumi Suisan Suge District and Oyama Suisan and are stored at Dainichi. The aquaculture daily report of the sample cages was checked and it was confirmed from the daily report that the antibiotic OTC (oxytetracycline) was used in November-December 2022 while growing in Marukin Suisan (Hiseyoshi district).  Similarly, the same is recorded in the daily reports regarding vaccination in Marukin Suisan and Oyama Suisan. In addition, guidance notes on the use of fisheries vaccines in Marukin Suisan and Oyama Suisan were kept as follows. Marukin Suisan: 2 June 2022 vaccination (instruction date 30 May) Oyama Suisan: inoculation 27-29 June 2022 (instruction date 27 June). As the Suge area of the company's own intermediate nursery is introduced with fingerlings that have already been vaccinated by Marukin Suisan, no vaccine is administered in the Suge area. All seedlings are vaccinated.
50002101	Uchiumi Suisan Co., Ltd	8.6	Indicator: Allowance for the use of therapeutic treatments, including antibiotics or other treatments, that are banned under European Union (EU) law or listed as critically important for human medicine by the World Health Organization (69, 70)  Requirement: Not permitted  Applicability: All	Compliant	A list of antibiotics banned by EU legislation has been compiled and has not been revised since the last audit. The WHO list of Medically Important Antimicrobials (2018, 6th edition) is kept in Japanese translation and confirmed that it is understood.  Currently only OTC is used on farms, it is not banned for use in the EU and is not a WHO critically important antibiotic.
50002101	Uchiumi Suisan Co., Ltd	8.7	Indicator: Presence of a fish health management plan implemented in agreement with the facility's designated veterinarian or fish health specialist  Requirement: Yes  Applicability: All	Compliant	"The health management plan for fingerling suppliers has been updated as of 27 January 2021. The contents of the plan have been reviewed by a fish quarantine officer. The health management plan describes disease symptoms and countermeasures identified by fish disease specialists in Ehime. In addition, observation items have been established to detect diseases and there is a pathology procedure. The health management of the fish is at least as good as that of the farm. There were no details in the health management plan that needed to be updated.  The health management plan for the intermediate nursery was also prepared on the following dates and the same health management is in place as in the farm. The contents have been verified by a fish quarantine officer.  Uchiumi Suisan (updated 1 August 2022) Marukin Suisan (updated 1 August 2022) Oyama Suisan (prepared 1 Feb 2023)."
50002101	Uchiumi Suisan Co., Ltd	8.8	Indicator: Evidence of company-level policies and procedures that demonstrate the company's commitment to each of the 8 key ILO labour issues described in Principle 6  Requirement: Yes  Applicability: All	Compliant	Pledges confirming company-level policies and procedures in relation to key ILO labour issues. Yamazaki Giken (dated 18 December 2019) Marukin Suisan (dated 20 January 2020) Oyama Suisan (dated 1 February 2023).



50002101	Uchiumi Suisan Co., Ltd	8.9	<p>Indicator: Evidence of regular communication, engagement and consultation with surrounding communities</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	Compliant	<p>Fingerling supplier Yamazaki Giken conducts annual release projects in the local area and interacts with local residents. (The company released black sea bream and Girella on 16 June, 17 June and 29 June 2022.)</p> <p>Marukin Suisan, an intermediate nursery, participated in a fish disease training workshop organised by Ehime Prefecture (18 May 2022).</p> <p>Oyama Suisan had participated in a fish farming review meeting in Sukumo (conducted 22 February 2023). The agenda was reviewed.</p> <p>Marukin Suisan and Oyama Suisan regularly participate in aquaculture trader meetings.</p>
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Please pre-populate Columns A-O in the table below with the non-conformities detected in the previous audit.

Please verify/evaluate the closure on-conformities from the previous audit and indicate the outcome in Columns P & Q.

Add rows to the tables as needed.

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## Traceability Assessment

## 6. ASC CAR 17.6.1-2 Substitution risk assessment

Please note that auditor training on farm traceability is also covered in the MSC farm traceability module.

If traceability systems are insufficient, the UoC shall implement the requirements of the CoC standards, and shall address any NCs in the CoC audit.

## 1. Possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance species, produced within the same operation.

a) Are any sites within the UoC permitted to produce both certified and non-certified product?		Yes	
b) Are there similar appearance species produced in the UoC?		No	
Give details of similar appearance species:			
Uchiumi Suisan only farms seabream.			
Production units or batches excluded from the certification scope:			
There are currently five ASC-compliant fish cages (N0.5, 10, 13, 14 and 16) stocked in Uchiumi Suisan.			
There are 22 non-ASC-compliant fish cages.			
c) Average % of non-certified product produced by the UoC per calendar year?		35%	
d) Traceability and segregation systems	Yes/No	Description of system	Evidence reviewed
Is there physical identification to distinguish non-certified product?	Yes	Each fish cage is fixed and fitted with a number plate. The five fish cages (N0.5, 10, 13, 14 and 16) fixed in a specific position are the fish cages currently stocked with ASC-certified fish. The fish cages subject to the ASC have different feeding machines from the non-certified fish cages, which can be used as a marker for the ASC fish cages. A fish cage location map is posted at the farm, showing the location and number of the fish cages, the fish species and fingerling lots in the cages, and the name of the intermediate nursery. When shipping, certified fish are identified by attaching an ASC logo tag to each fish.	Daily report, fish cage location map, site inspection
Are there segregation systems in place?	Yes	Once fingerlings are stocked, feeding and medication are controlled in each fish cage. There is no opportunity for fish to move between fish cages, except when the fish cages are divided. Harvesting is carried out in each fish cage. Small split fish cages for shipping are placed next to the fish cages and the fish are transferred. The split fish cages are moved to the shipping area and the seabream taken from the fish cages are manually placed one by one into live fish shipping baskets. The shipping baskets are covered with lids to prevent the fish from coming out, and are transported by conveyor belts and stored in live fish trucks in sequence. The work is carried out in each fish cage and the shipping line is switched when the fish cages are changed. Fish from other fish cages are not mixed into the small split fish cage for shipping. In addition, harvesting and shipping operations are not carried out from ASC-targeted and non-targeted fish cages at the same time."	Daily report, fish cage location map, site inspection



Is there traceability records identification in place?	Yes	The species of fish, the fingerling lot and the location of the intermediate nursery for each fish cage are recorded in the information in the daily report.	Daily report, fish cage location map
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## Description of other traceability systems in place:

## Do the traceability systems mitigate the mixing and substitution risks?

Yes

## Rationale for decision:

Each fish cage is fixed and fitted with a number plate. The five fish cages (N0.5, 10, 13, 14 and 16) fixed in a specific position are the fish cages currently stocked with ASC-certified fish. A fish cage location map is posted at the farm, showing the location and number of the fish cages, the fish species and fingerling lots in the cages.

Once fingerlings are stocked, feeding and medication are controlled in each fish cage. There is no opportunity for fish to move between fish cages, except when the fish cages are divided. Harvesting is carried out in each fish cage. Small split fish cages for shipping are placed next to the fish cages and the fish are transferred. The split fish cages are moved to the shipping area and the seabream taken from the fish cages are manually placed one by one into live fish shipping baskets. The shipping baskets are covered with lids to prevent the fish from coming out, and are transported by conveyor belts and stored in live fish trucks in sequence. The work is carried out in each fish cage and the shipping line is switched when the fish cages are changed. The work is carried out in each fish cage and certified fish are identified by attaching an ASC logo tag to each fish. Harvesting and shipping operations are not carried out from ASC-targeted and non-targeted fish cages at the same time. Therefore, the risk of mixing certified and non-certified fish is low.

**2. 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.**

## a) Are there non-ASC certified farms of the same or similar species in close proximity to the UoC?

Yes

## Description of neighbouring farms:

In the same bay, Uchiuni Suisan, one other seabream farmer and several pearl farmers operate. However, the fish cages of each operator are fixed and connected by ropes for each farm, and the distance between the operators means that fish cages are not replaced between farmers. Fish cages are not moved or replaced unintentionally.

## b) Are the non-ASC Neighbouring farms owned or related to the same UoC?

No

## If yes, Name of farms in cases where they are related to the client:

n/a

## c) Are non-ASC products from other farms handled in the UoC.

No

## Stage(s) when the non-ASC products are handled in the UoC

Note: If non-ASC products or products from other farms are handled in the UoC a CoC certification is needed.

n/a

d) Segregation systems	Yes/No	Description of system	Evidence reviewed
Physical barriers	Yes	<p>The five fish cages (N0.5, 10, 13, 14 and 16) fixed in a specific position are the fish cages currently stocked with ASC-certified fish. The fish cages are fixed, with several rows of several fish cages connected by ropes within each farm.</p> <p>The rows are separated by a few metres and fish cages from different farms do not physically intersect.</p>	Daily report, fish cage location map, site inspection

Physical identification	Yes	"Each fish cage is fixed and fitted with a number plate. The five fish cages (NO.5, 10, 13, 14 and 16) fixed in a specific position are the fish cages currently stocked with ASC-certified fish. The fish cages subject to the ASC have different feeding machines from the non-certified fish cages, which can be used as a marker for the ASC fish cages. A fish cage location map is posted at the farm, showing the location and number of the fish cages, the fish species and fingerling lots in the cages, and the name of the intermediate nursery. When shipping, certified fish are identified by attaching an ASC logo tag to each fish."	Daily report, fish cage location map, site inspection
Segregation systems for non-certified product	Yes	Once fingerlings are stocked, feeding and medication are controlled in each fish cage. There is no opportunity for fish to move between fish cages, except when the fish cages are divided. Harvesting is carried out in each fish cage. Small split fish cages for shipping are placed next to the fish cages and the fish are transferred. The split fish cages are moved to the shipping area and the seabream taken from the fish cages are manually placed one by one into live fish shipping baskets. The shipping baskets are covered with lids to prevent the fish from coming out, and are transported by conveyor belts and stored in live fish trucks in sequence. The work is carried out in each fish cage and the shipping line is switched when the fish cages are changed. harvesting and shipping operations are not carried out from ASC-targeted and non-targeted fish cages at the same time. The risk of non-certified raw materials from other companies replacing certified products is low, as Uchiumi Suisan's shipping base is not used by other suppliers.	Daily report, fish cage location map, site inspection
Traceability records identification	Yes	The species of fish, the fingerling lot and the location of the intermediate nursery for each fish cage are recorded in the information in the daily report.	Daily report, fish cage location map

Describe other systems:

Do the traceability systems mitigate the mixing and substitution risks?

Yes

Rationale for decision:

Each fish cage is fixed and fitted with a number plate. The five fish cages (NO.5, 10, 13, 14 and 16) fixed in a specific position are the fish cages currently stocked with ASC-certified fish. A fish cage location map is posted at the farm, showing the location and number of the fish cages, the fish species and fingerling lots in the cages.

The fish cages are fixed, with several rows of several fish cages connected by ropes within each farm. The rows are separated by a few metres and fish cages from different farms do not physically intersect.

Harvesting is carried out in each company's fish cage. Small split fish cages for shipping are placed next to the fish cages and the fish are transferred. The split fish cages are moved to the shipping area and the seabream taken from the fish cages are manually placed one by one into live fish shipping baskets. The shipping baskets are covered with lids to prevent the fish from coming out, and are transported by conveyor belts and stored in live fish trucks in sequence. The work is carried out in each fish cage and the shipping line is switched when the fish cages are changed.

The work is carried out in each company's fish cage and certified fish are identified by attaching an ASC logo tag to each fish. Uchiumi Suisan's shipping base is not used by other suppliers. Harvesting and shipping operations are not carried out from ASC-targeted and non-targeted fish cages at the same time. Therefore, the risk of mixing certified and non-certified fish is low.

## 3. Possibility of subcontractors being used to handle, transport, store, or process certified products.

	Yes/No	Description of system	Evidence reviewed
a) Does the company use subcontracted services for harvesting, processing,	No	n/a	n/a

<b>b) Does the company use subcontracted service providers for storage or transportation</b>	Yes	The seabream taken from the fish cages are manually placed one by one into live fish shipping baskets. The certified fish are identified by attaching an ASC logo tag to each fish. The shipping baskets are covered with lids to prevent the fish from coming out, and are transported by conveyor belts and stored in live fish trucks in sequence. The farm use subcontracted service for transportation.	Daily report, loading list, site inspection
<b>c) Are there traceability and segregation systems in place?</b>	Yes	Harvesting and shipping is done by fish cage. The species and fingerling lot, location of intermediate nursery, fish cage number, weight of each shipping cage and truck number are noted on the shipping record. Shipping baskets are covered to prevent fish from coming out and certified fish are individually tagged with the ASC logo.	Daily report, loading list, site inspection
<b>d) Are subcontractors CoC certified?</b>	No	n/a	n/a
<b>i. Are there contract and/or agreements in place including traceability</b>	N/A	n/a	n/a
<b>ii. Traceability records identification</b>	N/A	n/a	n/a
<b>Others systems:</b>			
n/a			
<b>Do the traceability systems mitigate the mixing and substitution risks?</b>			Yes
<b>Rationale for decision:</b>			
A contracted live fish truck is used for shipping. Seabream taken from the fish cages are manually placed one by one into live fish shipping baskets, and an ASC logo tag is attached to the dorsal fin of each certified fish for shipment.			
The shipping baskets are then covered and transported by a conveyor belt to a live fish truck. Fish do not escape from the shipping cages in the live fish trucks. In the event of escape, a tag on the dorsal fin confirms whether the fish is certified or not.			
The risk of replacement occurring during transport in live fish trucks is low.			
<b>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.</b>			
<b>Risk</b>	<b>Type of Risk Identified</b>	<b>Description</b>	
a)	n/a	n/a	
b)	n/a	n/a	
c)	n/a	n/a	
<b>d) Are there traceability and segregation systems available for the risks above?</b>	N/A	<b>Description of system</b>	<b>Evidence reviewed</b>
		n/a	n/a
<b>Do the traceability systems mitigate the mixing and substitution risks?</b>			N/A
<b>Rationale for decision:</b>			
n/a			

### ASC CAR 17.6.10.1 Point of First sale / handling

Entity name	CoC code
DAINICHI Corporation	ASC-C-02982

### ASC CAR 17.6.10.2 The point from which chain of custody is required to begin

**Please select the point from which the Chain of Custody (CoC) is required to begin from the picklist below:**

CoC starts at receipt to processor or other first CoC holder beyond the UoC.

**Please describe in more detail the point from which the Chain of Custody (CoC) is required to begin:**

"The seabream are taken from the fish cage and manually placed one by one into live fish shipping baskets, with certified fish having an ASC logo tag attached to the dorsal fin of each fish. The shipping baskets are then covered and transported by conveyor belts to live fish trucks. Products are shipped by live fish truck to the company's COC certified processing plant. No processing is carried out prior to shipment. Fish do not escape from the shipping cage in the live fish truck, and in the event of a problem with the cage opening and fish escaping, a tag on the dorsal fin confirms whether the product is certified or non-certified. The risk of certified and non-certified products being replaced during transport is low. The risk of non-certified seabream being mixed in is well controlled from harvest to arrival at the processing site, and the traceability system is sufficient because the shipping slip clearly states that the product is ASC certified. Therefore, a separate COC certification is not required in the UoC."

**Example:** CoC starts within the UoC. The second free-text answer would specify the starting point within the UoC, e.g. CoC starts at point of harvest due to risks of mixing present from harvest onwards.

**Example:** CoC starts at loading for transport away from farm. The farm certificate ends at the point when product is loaded into the truck at farm gate and the truck is sealed. The scope of the first CoC certificate in the chain must cover transport after loading onwards, e.g. as a subcontractor.

**Example:** CoC starts at receipt to processor. The processor holds the first CoC certificate in the chain. All prior activities including transport are covered by the farm (UoC) certificate (e.g. as a subcontractor to the farm) or by separate CoC certification.

## Traceability Test

## ASC CAR 17.6.3-5 Product flow, traceability and segregation

## Please describe the product flow within the UoC.

Detail the UoC's product flow from outputs to inputs detailing each of the various production steps in the process. This could include: packing, processing, cleaning and sorting, transportation, harvest, grow-out, nursery, stocking, etc.

If certified and non-certified product is produced at site level, explain the segregation system in place to avoid mixing of certified and non-certified products.

Aquaculture is carried out in fish cages within the UoC. Each fish cage is fixed and fitted with a number plate. The five fish cages (N0.5, 10, 13, 14 and 16) fixed in a specific position are the fish cages currently stocked with ASC-certified fish. A fish cage location map is posted at the farm, showing the location and number of the fish cages, the fish species and fingerling lots in the cages. Once fingerlings are stocked, feeding and medication are controlled in each fish cage. There is no opportunity for fish to move between fish cages, except when the fish cages are divided. Harvesting is carried out in each fish cage. Other companies' fish cages are fixed a short distance away and do not physically intersect. Harvesting is carried out in each company's fish cage. Small split fish cages for shipping are placed next to the fish cages and the fish are transferred. The split fish cages are moved to the shipping area and the seabream taken from the fish cages are manually placed one by one into live fish shipping baskets. The shipping baskets are covered with lids to prevent the fish from coming out, and are transported by conveyor belts and stored in live fish trucks in sequence. The work is carried out in each fish cage and the shipping line is switched when the fish cages are changed. The work is carried out in each company's fish cage and certified fish are identified by attaching an ASC logo tag to each fish. Uchiumi Suisan's shipping base is not used by other suppliers. Harvesting and shipping operations are not carried out from ASC-targeted and non-targeted fish cages at the same time. Therefore, the risk of mixing certified and non-certified fish is low. Contracted transporters transport products to Dainichi's COC-certified processing plants, but fish do not escape from the shipping basket in live fish trucks, and even if the basket opens and fish escape due to some problem, the tag on the dorsal fin can confirm whether the product is certified or non-certified. The risk of certified and non-certified products being replaced during transport is low. The risk of non-certified seabream being mixed in is well controlled from harvest to arrival at the processing site, and the traceability system is sufficient because the shipping slip clearly states that the product is ASC certified.

## Please describe receiving the seeding or post larvae from the hatchery, releasing into the outgrowing pond, stock husbandry, harvesting, fallow for the next crop.

The fingerlings arrive at the intermediate nursery by live-boat and are grown to about 1.5 kg. They are then moved to Yutai by live fish boat and stocked in an empty fish cage. Depending on growth, the fish cages may be divided into two. The fish are shipped out one by one, starting with those that have reached the size for shipment. It takes about two years from stocking to harvesting.

## Conduct a traceability test of harvested products.

In Cases where sites within the UoC are permitted to produce both certified and non-certified product perform a traceability test for ASC and non-ASC products.

Traceability Test 1					
Product Identification Code		2001 Yamahaya Series		Species	Sea bream
	Document Name /Code	Document Date	Document Description	Production Step in the Process	Explanation (Description of how codes or documents link product at each stage)
A	certificate of production of fingerlings	06-Feb-20	Shipping date; 2020/1/26 fingerling supplier count #	transport	Fish species, volume, date 魚種 数量 日付
B	daily reports (stock)	01-Feb-20	stokking date ; 2020/2/1 fingerling lot ; 2001 Yamahaya Series① 2001 Yamahaya Series② count # intermediate nursery ; Hisayoshi	initial stocking	date, lot# 日付、ロット
C	daily reports (transfer)	30-May-20	stokking date ; 2020/2/1 transfer date ; 2020/5/30 original lot ; 2001 Yamahaya Series① destination lot ; 2001 Yamahaya Series①A unchanged lot ; 2001 Yamahaya Series② count # intermediate nursery ; Hisayoshi	Fish Moving	date, lot 日付、ロット

D	daily reports (transfer)	08-Jun-20	stokking date ; 2020/2/1 transfer date ; 2020/5/30 original lot ; 2001 Yamahaya Series② destination lot ; 2001 Yamahaya Series②A unchanged lot ; 2001 Yamahaya Series① unchanged lot ; 2001 Yamahaya Series①A count # intermediate nursery ; Hisayoshi	Fish Moving	date, lot# 日付、ロット
E	daily reports (transfer)	05-Jul-21	transfer date ; 2020/7/5 original lot ; 2001 Yamahaya Series①A original lot ; 2001 Yamahaya Series② destination lot ; 1/3 each from two fish cages to 2001 Yamahaya Series (3) A count # intermediate nursery ; Hisayoshi	Fish Moving	date, lot# 日付、ロット
F	daily reports (transfer)	01-Nov-21	transfer date ; 2021/11/1 transfer lot ; 2001 Yamahaya Series③A count # intermediate nursery ; Hisayoshi destination cage ; Yutai small split 7	Fish Moving	date, lot# 日付、ロット
G	daily reports (Harvesting)	04-Nov-22	Harvest date ; 2022/11/4 Harvest lot ; 2001 Yamahaya Series③A Destination cage; Yutai small split 7 Quantity; 40 fish	Harvest	date, lot#, number of fish 日付、ロット、尾数
H	loading list	04-Nov-22	Shipping date ; 2022/11/4 Harvest lot ; 2001 Yamahaya Series③A (Hisayoshi) asc 数量:40尾	Shipment to coc certified own processing plant	date, lot#, number of fish 日付、ロット、尾数
I					
J					
K					
L					

Traceability test(s) successfully conducted	Yes
Traceability Information allows to link each stage of handling certified products	Yes
If the test was unsuccessful please describe why.	n/a

Traceability Test 2					
Product Identification Code			Species		
Document Name /Code	Document Date	Document Description	Production Step in the Process	Explanation (Description of how codes or documents link product at each stage)	
A					
B					
C					
D					
E					
F					
G					
H					
I					
J					
K					
L					

Traceability test(s) successfully conducted?	
Traceability Information allows to link each stage of handling certified. products	
If the test was unsuccessful please describe why.	

## B-EIA &amp; p-SIA checklist

Checklist and guideline for auditors on a complete B-EIA & p-SIA process and report.

**B-EIA and p-SIA are not compulsory in all ASC species standards.**

Please find all requirements for B-EIA and p-SIA in the applicable ASC standards.

Biodiversity-Inclusive Environmental Impact Assessment (Shrimp Standard - Checklist)		
B-EIA assessment team	Validated by auditor? (Y/N)	Notes
The BEIA shall be carried out by a nationally accredited body. Where no accredited body exists, farms must ensure that the B-EIA team consists of competent and qualified environmental scientists, biologists and ecologists with a minimum of a Master of Science degree from a university.	Yes	The Biodiversity-focused impact assessment was conducted and documented according to Appendix 1.
B-EIA checklist	Validated by auditor? (Y/N)	Notes
1. Quality of the B-EIA process (e.g., was it participatory and transparent?). B-EIA carried out by a valid expert in accordance with requirements listed out in the ASC standards.		
(a) The B-EIA was publicly (locally) communicated with sufficient time for interested parties to participate and/or get informed.		
(c) Stakeholders are listed and impact descriptions are documented and in preparation of the final B-EIA report, meetings with the listed stakeholders (or by stakeholders chosen representatives) have taken place.		
(d) These meetings have been recorded and the minutes are attached to the final report, names and contact details of participating stakeholders included.		
(e) Evidence is provided that draft and final B-EIA reports have been submitted to local government representatives and, if requested by stakeholders, a legally registered civil organization chosen by these stakeholders.		
(f) Evidence is provided that the final B-EIA reports have been submitted and reviewed by a specialist with appropriate expertise on biodiversity issues.		
(g) B-EIA completed according to guidance on B-EIA and pSIA relationship (transparency and consultation).		
2. Risk analysis: actual (past and present) impacts of the current farms, or potential impacts of the intended farm or expansion of existing farm and at least two alternatives (one of these is the "no farm or no expansion" scenario). Concepts to cover include:		
(a) The type of farming, possible alternatives and a summary of activities likely to affect biodiversity.		
(b) An analysis of opportunities and constraints for biodiversity (include "no net biodiversity loss" or "biodiversity restoration" alternatives).		
(c) Expected biophysical changes (in soil, water, air, flora and fauna) resulting from proposed or existing activities or induced by any socioeconomic changes.		
(d) Spatial and temporal scale of influence, identifying effects on connectivity between ecosystems, and potential cumulative effects.		
(e) Available information on baseline conditions and any anticipated trends in biodiversity in the absence of the proposal.		
(f) Likely biodiversity impacts associated with the proposal or current operations in terms of composition, structure and function of surrounding ecosystems.		
(g) Biodiversity services and values identified in consultation with stakeholders and anticipated magnitude, direction and timeline of changes in these (highlight any irreversible impacts).		
(h) Possible measures to avoid, minimize or compensate for significant biodiversity damage or loss, making reference to any legal requirements. Information required to support decision making and summary of important gaps.		
(i) Proposed IA methodology and timescale.		
3. Impact statement is available and contains all of the requirements listed above along with a clear indication of authors and affiliations.		
4. Review process, reviewers (decision makers), and decisions clearly documented.		
5. Clear understanding as to how options for mitigation and offsetting were determined and how avoidance actions were prioritized over compensation.		
6. Names, affiliations and experience of the reviewing specialists are documented and clear understanding of how affected groups were involved and how balanced consideration was given to conservation vs. development goals in the peer review.		
7. Clear articulation of a biodiversity management system including targets and monitoring strategies for mitigation.		

Participatory Social Impact Assessment (Pangasius and Shrimp Standard - Checklist)		
p-SIA checklist	Validated by auditor? (Y/N)	Notes
1. Quality of the p-SIA process (e.g., is it participatory and transparent).		
(a) The intent to conduct a p-SIA is locally publicly communicated with sufficient time for interested parties to participate and/or get informed.		
(b) In listing stakeholders, in making impact descriptions, and in preparation of a final p-SIA report document meetings with the listed stakeholders (or by stakeholders chosen representatives) have taken place.		
(c) These meetings have been minuted and these records are attached to the final report; names and contact details of participating stakeholders are included.		
(d) Evidence is provided that draft and final p-SIA reports have been submitted to a local government representative and, if stakeholders so desire, to a (by stakeholders chosen) legally registered civil organization.		
(e) B-EIA done and completed according to guidance in the ASC standards (appropriate accreditation and consultation).		
2. The risks and actual (past and present) impacts of the current or intended farm and at least two alternatives (one of these is the "no farm or no expansion" scenario). Concepts to cover include:		
(a) Economic aspects (influence on employment opportunities, influence on other livelihoods in community).		
(b) Natural resource access and use (land and water tenure, influence on quality and availability of natural resources including water).		
(c) Human assets (food security, health and safety, education, indigenous knowledge).		
(d) Physical infrastructure (access to roads, electricity, telephone, housing, waste disposal systems).		
(e) Social and cultural aspects (indigenous/traditional/customary rights and beliefs, social exclusion/inclusion, gender equity, changes in age composition of the community, local informal institutions and organizations).		
(f) Governance aspects (influence of aquaculture on norms, taboos, regulations, laws, conflict management and whether these changes add up to more or less transparency, accountability and participation in decision making).		
3. Research and report probable impacts that are likely to be most important. In doing this, it is important to arrange meetings with stakeholders to let them prioritize and to let them express how they assess/view/feel; identify both positive and negative risks and impacts.		
4. Do deeper investigations into priority impacts with a focus on the question: "What changes will lead to if they indeed come about?" These include:		
(a) Physical effects to man-made and natural structures and processes.		
(b) Likely adaptations and the social and economic effects of making such adaptations.		
(c) How these effects and indirect effects would compare to having no intervention.		
(d) How effects may or might be cumulative.		
5. Make recommendations to maximize the positive and minimize the negative, with consideration to compensation options for those lands and people impacted. Also include recommendations on how to avoid these issues with the intended farm or farm development.		
6. Propose a mitigation plan assuming the farm development will take place or continue (in an adapted form if that seems appropriate); include a "closure and reclamation plan" explaining how repair or restoration will take place after farm closure or bankruptcy.		
7. Develop and approve with all stakeholders a monitoring plan and indicators on both positive and negative risks and impacts (make use of PHG and/or PPA methodologies in this step).		
8. A summary with recommendations and conclusions is made available to all involved in the process and, through local public notices, made accessible to all members of the local community.		