

ASC (Aquaculture Stewardship Council) Farm Certification Audit Report

Certificate Holder: Dainichi Corporation

Scope of Assessment: Uchiumi Suisan Co., Ltd.

Certificate Code:

Certificate issue date:

Certificate expiry date:

Form 3 – Public Disclosure Form

This form shall be submitted by the CAB no less than thirty (30) working days prior to any onsite audit. Any changes to this information shall be submitted to the ASC within five (5) days of the change and not later than 10 days before the planned audit. If later, a new announcement is submitted and another 30 days rule will apply.

The information on this form shall be public and should be posted on the ASC website within three (3) days of submission (except unannounced audits).

This form shall be written to be readable to the stakeholders and other interested parties.

This form should be translated into local languages when appropriate

PDF 1 Public Disclosure Form

PDF 1.1 Name of CAB

AMITA Corporation

PDF 1.2 Date of Submission

18th/May/2020

PDF 1.3 CAB Contact Person

PDF 1.3.1 Name of Contact Person

Hitofumi Yamanoshita

PDF 1.3.2 Position in the CAB's organisation

Scheme manager

PDF 1.3.3 Mailing address

3-2-4 Kudankita, Chiyoda-ku, Tokyo,
102-0073 Japan

PDF 1.3.4 Email address	ninsho@amita-net.co.jp
PDF 1.3.5 Phone number	+81-3-5215-8326
PDF 1.3.6 Other	-

PDF 1.4 ASC Name of Client

PDF 1.4.1 Name of the Client	Dainichi Corporation
PDF 1.4.1.a Name of the unit of certification	Uchiumi Suisan Co., Ltd.
PDF 1.4.2 Name of Contact Person	Yuta Yuta
PDF 1.4.3 Position in the client's organisation	Aquaculture Technical Division
PDF 1.4.4 Mailing address	1385 Yorimatsu-Ko Uwajima-shi Ehime 798-0084, Japan
PDF 1.4.5 Email address	yuta@dainichi-ff.co.jp
PDF 1.4.6 Phone number	+81-895-27-3200

PDF 1.4.7 Other

PDF 1.5 Unit of Certification

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

PDF 1.6 Sites to be audited

Site Name	GPS Coordinates	List all species per site and indicate if they are in the scope of the standard	Ownership status (owned/ subcontracted)	Date of planned audit and type of audit (Initial, SA1, SA2, recertification, etc.)	Status (new, in production/ fallowing /in harvest)
Uchiumi Suisan Co., Ltd.	33° 02'32.7"N 132° 27'10.6"E	Red sea bream (<i>Pagrus major</i>)	Owned	Initial	in production

PDF 1.7 Species and Standards

Standard	Species (scientific name) produced	Included in scope (Yes/No)	ASC endorsed standard to be used	Version Number
Abalone 1.1				
Bivalve 1.1				
Freshwater Trout 1.1				
Pangasius 1.1				
Salmon 1.3				
Shrimp 1.1				
Tilapia 1.2				
Seriola/Cobia 1.1				
Seabass/ bream and meagre v. 1.1	Pagrus major	Yes	Seabass/ bream and meagre	v. 1.1

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

Name/organisation	Relevance for this audit	How to involve this stakeholder (in-person/ phone interview/input submission)	When stakeholder may be contacted	How this stakeholder will be contacted
Names are closed due to privacy	Staff	in-person	31st March 2020	in-person
	Suppliers	in-person	31st March 2020	in-person
	Maintenance companies	in-person	31st March 2020	in-person
	Local people	in-person	31st March 2020	in-person
	Local governments	in-person	31st March 2020	in-person
	Researchers	in-person	31st March 2020	in-person

PDF 1.9 Proposed Timeline

PDF 1.9.1	Contract Signed:	22nd January 2020
PDF 1.9.2	Start of audit:	31st March 2020
PDF 1.9.3	Onsite Audit(s):	31st March to 1st April 2020
PDF 1.9.4	Determination/Decision:	1st July 2020

PDF 1.10 Audit Team

PDF 1.10.1

PDF 1.10.2

PDF 1.10.3

PDF 1.10.4

Column1	Name	ASC
Lead Auditor	Naoya Ogawa	
Technical Experts	Hanazato tadashi	
Social Auditor	Naoya Ogawa	
Auditor Support	Wataru Koketsu	

ASC Audit Report – Opening

General Requirements

- C1** Audit reports shall be written in English and in the most common language spoken in the areas where the operation is located.
- C2** Audit reports may contain confidential annexes for commercially sensitive information.
 - C2.1** The CAB shall agree the content of any commercially sensitive information with the applicant, which can still be accessible by the ASC and the appointed accreditation body upon request as stipulated in the certification contract.
 - C2.2** The public report shall contain a clear overview of the items which are in the confidential annexes.
 - C2.3** Except for the annexes that contain commercially sensitive information all audit reports will be public.
- C3** The CAB is solely responsible for the content of all reports, including the content of any confidential annexes.
- C4 Reporting Deadlines for certification and re-certification audit reports (in working day)**
 - C4.1** Within thirty (30) days of the completing of the audit the CAB shall submit a draft report in English and the national or most common language spoken in the area where the operation is located.
 - C4.2** Within five (5) days the ASC should post the draft report to the ASC website.
 - C4.3** The CAB shall allow stakeholders and interested parties to comment on the report for fifteen (15) days.
 - C4.4** Within twenty (20) days of the close of comments, the CAB shall submit the final report to the ASC in English and the national or most common language spoken in the area where the operation is located.
 - C4.5** Within five (5) days the ASC should post the final report to the ASC website.
 - C4.6** Audit reports shall contain accurate and reproducible results.
- C5 Reporting Deadlines* for surveillance audit reports**
 - C5.1** Within ninety (90) days of the completing of the audit the CAB shall submit a final report in English and the national or most common language spoken in the area where the operation is located.
 - C5.2** Within five (5) days the ASC should post the final report to the ASC website.
 - C5.3** Audit reports shall contain accurate and reproducible results.

1 Title Page

1.1 Name of Applicant	Dainichi Corporation and Uchiumi Suisan Co., Ltd.
1.2 Report Title [e.g. Public Draft Certification Report/ Final certification report/Surveillance report]	Public Draft Certification Report
1.3 CAB name	AMITA Corporation
1.4 Name of Lead Auditor	Naoya Ogawa
1.5 Names and positions of report authors and reviewers	Report author – Naoya Ogawa, AMITA Corporation Report reviewer – Hitofumi Yamanoshita, AMITA Corporation
1.6 Client's Contact person: Name and Title	Mr. Yuta Yuta
1.7 Date	24-Apr-20

2 Table of Contents

Top page
Form 3
I. Audit Report – Opening
II Findings Bass,Bream, Meagre
NC Delay Seabass,bream....
III. Audit Report –Traceability
IV. Audit Report – Closing

3 Glossary

Terms and abbreviations that are specific to this audit report and that are not otherwise defined in the ASC glossary

None

4 Summary

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

- | | | |
|-----|--|---|
| 4.1 | A brief description of the scope of the audit (<i>including activities of the UoC being audited</i>) | The scope of the audit covers Uchiumi Suisan Co., Ltd. Red sea bream farm located in Yutai Bay of Ainan-cho, Ehime prefecture. Uchiumi Suisan has 27 cages of 10 m X 12 m X 8 m depth. ASC target fish are stocked in 4 of these cages, and all 27 cages will be included in the scope in the future.
In addition to cages, the farm has a warehouse that stores feed, chemicals, and equipment. Dainichi Co., Ltd., the parent company, manages the aquaculture farm jointly with Uchiumi Suisan. At the time of shipment, Dainichi dispatches one person for support and purchases the fish. |
| 4.2 | A brief description of the operations of the unit of certification | The farm stock the red sea bream that have been bred for about a year at the outsourcer, grow them until harvest, harvest weight is 2kg. Fish are ship on a live fish truck. The shipping volume is assumed to be 150000. |
| 4.3 | Type of unit of certification (<i>select only one type of unit of certification in the list</i>) | Single farm |
| 4.4 | Type of audit (<i>select all the types of audit that apply in the list</i>) | Initial |

4.4.1 Number of sites included in the unit of certification

Initial audit – 03/2020
 Surveillance audit 1 – mm/ yyyy
 Surveillance audit 2 – mm/ yyyy
 Recertification audit – mm/ yyyy

Owned by client	Subcontracted by client
1	0

4.5 A summary of the major findings

No serious nonconformities were found in the audit. Three minor con-conformities and two observations were pointed out.

4.6 The Audit determination

5 CAB Contact Information

5.1 CAB Name

AMITA Corporation

5.2 CAB Mailing Address

3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan

5.3 Email Address

ninsho@amita-net.co.jp

5.4 Other Contact Information

Tel: +81-3-5215-8326

6 Background on the Applicant

6.1 Information on the Public Disclosure Form (Form 3) except 1.2–1.3. All information updated as necessary to reflect the audit as conducted.

See Public Disclosure Form

6.2 A description of the unit of certification (*for initial audit*)/ changes, if any (*for surveillance and recertification audits*)

Uchiumi Suisan Co., Ltd. red sea bream farm is an affiliate of Dainichi Corporation. Uchiumi Suisan is authorized to execute the parcel fishing right (Utokku No. 200) held by the Ainan Fisheries Cooperative Association.

There are 27 cages of 10m x12m x 8m (WxLxD) along the coast of Yutai, Minamiuwa-gun, Ehime prefecture, and currently four are used as cages for ASC target fish. all 27 cages will be included in the scope in the future.

In addition to cages, the farm has a warehouse that stores feed, chemicals, and equipment.

Fingerling is supplied by Yamazaki Giken and stocked at Marukin Suisan for about one year, and then stocked in a fish cage of Uchiumi Suisan. Fish are grown for approximately 1.5 to 2 years until harvest. Fish are ship on a live fish truck. The shipping volume is assumed to be 150000 (harvest weight is 2kg.).

Uchiumi Suisan has 4 employees, including 2 full-time employees. At the time of shipment, Dainichi dispatches one person for support.

The scope of certification is from stock to cages in the Yutai area of Utsumi Suisan to sales. Upon arrival at the processing plant, COC certification is required.

6.3	Other certifications currently held by the unit of certification	None
6.4	Other certification(s) obtained by the UoC before this audit	None
6.5	Estimated annual production volumes of the unit of certification of the <u>current</u> year	120t in 2021
6.6	<u>Actual</u> annual production volumes of the unit of certification of the <u>previous</u> year (mandatory for surveillance and recertification audits)	n/a
6.7	Production system(s) employed within the unit of certification (select one or more in the list)	cage
6.8	Number of employees working at the unit of certification (see notes in comment to this cell)	4 employees
6.9	Size, and/or number of ponds, pens (if multi site, per site)	27 cages of 10m x12m x 8m (WxLxD) 1 warehouse

7 Scope

7.1 The Standard(s) against which the audit was conducted, including version number	ASC Seabass/ bream and meagre Standard Version 1.1 March 2019
7.2 The species produced at the applicant farm (<i>in English and Latin names</i>)	Red sea bream (<i>Pagrus major</i>)
7.3 A description of the scope of the audit including a description of whether the unit of certification covers all production or harvest areas (i.e. ponds) managed by the operation or located at the included sites, or whether only a sub-set of these are included in the unit of certification. If only a sub-set of production or harvest areas are included in the unit of certification these shall be clearly named.	<p>The scope of the audit covers Uchiumi Suisan Co., Ltd. Red sea bream farm located in Yutai Bay of Ainan-cho, Ehime prefecture. Uchiumi Suisan has 27 cages of 10 m X 12 m X 8 m depth. ASC target fish are stocked in 4 of these cages, and all 27 cages will be included in the scope in the future.</p> <p>Dainichi Co., Ltd., the parent company, manages the aquaculture farm jointly with Uchiumi Suisan. Fingerling is supplied by Yamazaki Giken and stocked at Marukin Suisan for about one year, and then stocked in a fish cage of Uchiumi Suisan. The shipping volume is assumed to be 150000. Their farm in the Sushita area will not covered by ASC.</p>

<p>7.4 The names and addresses of any storage, processing, or distribution sites included in the operation (including subcontracted operations) that will potentially be handling certified products, up until the point where product enters further chain of custody.</p>	<p>None. Fish will be packed in a basket and delivered by a live fish truck to processing plant which has independent CoC certificate.</p>
<p>7.5 Description of the receiving water body(ies).</p>	<p>The farm is located on the coast of the Yutai area, part of the Rias coast of the Yura Peninsula. Yura Peninsula is in the Uwa Sea which is surrounded by islands and peninsula such as the Cape Sada Peninsula in the north and the Yura Peninsulas in the south.</p> <p>The coast of the Uwa Sea is a various and complex rias coast, with many rocks and few beaches, and all rivers are small. On the coast, many aquaculture operations are carried out in the bay. In particular, the production of pearls, yellowtail and red sea bream is one of the largest in the country. Terraces are well developed in the inland area, and Onshū oranges are also cultivated.</p> <p>The Uwa Sea coast is warm and there is much rain throughout the year. According to the Köppen-Geiger climate classification, this coastal climate is Cfa. The average annual temperature is over 15 °C and the average annual rainfall is over 1,700 mm.</p> <p>The cultivation of pearl oysters has been popular for a long time in the bay of the Yutai area where the farm is located. There are only two fish farms in the area, including Uchiumi Suisan.</p>

8 Audit Plan

8.1 The names of the auditors and the dates when each of the following were undertaken or completed: conducting the audit, writing of the report, reviewing the report, and taking the certification decision.

Naoya Ogawa – Lead auditor
 Hanazato tadashi – Technical Expert
 Wataru Kouketsu – auditors-in-training

 Conducting the Audit – 31st March, 1st April 2020
 Writing of the report – 15th April 2020
 Reviewing the report – 20th April 2020
 Taking the certification decision –

8.2 Previous Audits (if applicable):

NC reference number	Standard clause reference	Closing deadline – status – closing date of each NC
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8.2.1 Initial audit – mm/yyyy
 Surveillance audit 1 – mm/ yyyy
 Surveillance audit 2 – mm/ yyyy
 Recertification audit – mm/ yyyy
 Unannounced audit – mm/ yyyy
 NC close-out audit – mm/ yyyyy
 Scope extention audit mm/ yyyy

8.3 Audit plan as implemented including:

	Dates	Locations
8.3.1 Desk Reviews	11th/March 2020	
8.3.2 Onsite audits	31st/March, 1st/April/ 2020	Yorimatsu-Ko, Uwajima-shi, Ehime Yutai, Ainan-cho, Minamiuwa, Ehime
8.3.3 Stakeholder interviews and Community meetings	31st/March, 1st/April/ 2020	Yorimatsu-Ko, Uwajima-shi, Ehime Yutai, Ainan-cho, Minamiuwa, Ehime
8.3.4 Draft report sent to client	15th/April/ 2020	
8.3.5 Draft report sent to ASC	18th/May/ 2020	
8.3.6 Final report sent to Client and ASC		

8.4 Names and affiliations of individuals consulted or otherwise involved in the audit including: representatives of the client, employees, contractors, stakeholders and any observers that participated in the audit.

DAINICHI Corporation
 Mr. Kanji Tsurukawa, Manager of Feed Division/Aquaculture Technical Division
 Mr. Yosuke Takeda, Group Manager of Manufacturing logistics group, Feed Division/Aquaculture Technical Division
 Mr.Yuta Yuta, Feed Division/Aquaculture Technical Division

Uchiumi Suisan Co., Ltd.
 Mr. Taichi Oda, CEO

Skretting Co.Ltd.
 sales department
 Mr. Hamazaki, Yuta
 Mr. Ina, Yoshiakix
 Mr. Higuchi, Shunsuke
 Mr. Yoshimura, Naoto

Stakeholders from Ehime Prefectural Office, fishery cooperatives, residents' associations, etc.

8.5 Stakeholder submissions, including written or other documented information and CAB written responses to each submission at different stages of the certification process (audit notification, during on-sit audit, public comment period)

Name of stakeholder (if permission given to make name public)	Relevance to be contacted	Date of contact	CAB responded Yes/No	Brief summary of points Raised	Use of comment by CAB	Response sent to stakeholder
Name of stakeholder was excluded due to confidentiality	Worker	3/31, 4/1/2020	Yes	Work hours are from early morning to noon. There are frequent breaks.	Yes	None
	Worker	3/31, 4/1/2020	Yes	After switching to pellets, there was no leftover food.	Yes	None
	Worker	3/31, 4/1/2020	Yes	No harm from sharks after switching to wire mesh	Yes	None
	Worker	3/31, 4/1/2020	Yes	The neighboring farmer lives in another village, so there is little interaction	Yes	None
	Worker	3/31, 4/1/2020	Yes	Many residents in the same area are pearl farmers, but there are no problems at work.	Yes	None
	Worker	3/31, 4/1/2020	Yes	Workers may slip, but no major injuries. If there is something, call an ambulance	Yes	None
	Worker	3/31, 4/1/2020	Yes	There is a fishing ground survey once a year.	Yes	None
	Stakeholder	3/31, 4/1/2020	Yes	Since there are fewer farms and generations have changed, there have been no troubles between farms.	Yes	None

	Stakeholder	3/31, 4/1/20	Yes	The mud is sampled twice a year and surveys are conducted. Water quality is being investigated if there is any problem.	Yes	None
	Stakeholder	3/31, 4/1/20	Yes	Never heard of complaints from local residents.	Yes	None
	Stakeholder	3/31, 4/1/20	Yes	No fishing boat accident has occurred.	Yes	None
	Stakeholder	3/31, 4/1/20	Yes	The fishing right is given to the fishery association after checking the items stipulated in the rules of the Fisheries Agency. If there is a breach of fishing rights, the union will be required to rectify it, but to date there have been no real cases.	Yes	None
	Stakeholder	3/31, 4/1/20	Yes	The target sea area has been mainly for pearl oyster farming since ancient times, and fish farming is still rare today. Red sea bream aquaculture does not appear to have any negative impact on other aquaculture or natural fish.	Yes	None

8.6	E5.1.i List of sites exempted from the scope of an initial audit and how they meet conditions in E5.1.i	
8.6.1	E5.1.ii Justification for auditing site(s) meeting conditions under E5.1.i	
8.7	E5.1.1.i List of sites removed after the initial audit	
8.7.1	E5.2.2 Reason for the removal of sites from the certificate.	
8.8	E5.4 Map of sites included in the unit of certification has been attached	
8.9	E5.5 Site(s) in fallowing period included in the audit (<i>only for surveillance and re-certification audits</i>)	

Audit report- ASC seabass, seabream and meagre v.1.1
Corresponds to seabass, seabream and meagre standard v. 1.1

If the **status** is set to **delayed**, the NC reference number is **automatically** populated to the **NO delay sheet**. Please fill out the NC delayed sheet in case a NC closure delay is requested.
Adjust the column width as needed to show the whole text or provide more space to write
If a VR was used or submitted for any indicator the VR number shall be noted in the VR column



Indicator	Indicator Text	Audit Evidence*	Metric value	Evaluation	Description of NO	NC reference number	Date of detection	Deadline for NO close-out	Actual date of close-out	Status	VR	Proposed by UoO and accepted by CAB				Evaluation by CAB (including evidence)	Compliance Criteria (Required Client Actions):	Auditor Evaluation (Required CAB Actions):
												Root cause analysis	NO root cause – Corrective action	NO Correction	Preventive action			
1.1.1	Indicator: Documents demonstrating compliance with all relevant local and national laws and regulations. Requirement: Yes. Applicability: All.	There are applicable laws: Fishery Act, Act on the Protection of Fishery Resources, Sustainable Aquaculture Production Assurance Act, Natural Park Law, Fisheries Disaster Compensation Act, Water Pollution Prevention Act, Ehime Prefectural Basic Environment Act, Ehime Prefectural Natural Park regulation, etc. The client had copies of each, as well as web links, where the digital copies of the same can be found. Ainan fishery cooperative has the license for a special demarcated fishery right to operate aquaculture farms in a designated area given by the prefectural governor. Among this, the cooperatives allows the use of area by a union member. Confirmed that Ainan fishery cooperative has the Demarcated fishery right Contract for U Tokku No. 200 signed with Ainan fisheries cooperative for 5-year period 2019/4/1–2024/3/31 and with a renewal clause. The Prefectural Fisheries Federation and the Fisheries Cooperatives visit the farm annually in September to check the number and area of cages in each district. There is no written record of the inspection, but instructions will be given if there is a violation. Uchiumi Suisan owns the land. Confirmed that there was no mistake in the land address, area, and right holder in the register transcript (as of March 12, 2020). Uchiumi Suisan does not carry out any processing and has no drainage.		Compliant													a. Maintain digital or hard copies of applicable land and water use laws. Provide the audit team with a summary of applicable laws and permit requirements along with contact details for relevant staff. b. Maintain original (or certified copies of) lease agreements, land titles and concession permit(s) on file as applicable. c. Keep records of inspections for compliance with national and local laws and regulations (where such inspections are legally required in the country of operation).	A. Review farms operation in the context of requirements of applicable land and water use law. B. Confirm client holds original (or certified copies of) necessary: · lease agreements or land titles · permits from government agencies · aquaculture concession(s) C. Review records of inspection and/or monitoring for compliance with national and local laws and regulations (as applicable).
1.1.2	Indicator: Documents demonstrating compliance with all tax laws. Requirement: Yes. Applicability: All.	Confirmed the tax payment certificate for prefectural taxes and special local corporation tax issued by Ehime Prefecture on Nov. 15, 2019, and tax payment receipts incl. corporate tax, property tax, consumption tax and light vehicle tax, and taxpayment certificate for corporate municipal tax issued by Uwajima city on Nov. 15, 2019. Uchiumi Suisan does not have a contract with a tax accountant and prepare and submit the declaration of CIT by theri own. The corporate tax was 0 yen.		Compliant													a. Provide a certificate of tax clearance or tax law conformity from local Revenue authority. OR Maintain records of tax payments to appropriate authorities (e.g. land use tax, water use tax, revenue tax). Note that CABs will not disclose confidential tax information unless client is required to or chooses to make it public.	A. Review certificate of tax clearance and/or tax law conformity from local revenue authority; OR An independently (third party) audited company annual report may be used to confirm tax status. Verify client has records of tax payments to appropriate authorities. Do not disclose client tax information, which is confidential.
1.1.3	Indicator: Documents demonstrating compliance with all labor laws and regulations. Requirement: Yes. Applicability: All.	The client had copies of the Japanese Labor Standards Act. Confirmed the Staff employment regulation for Uchiumi Suisan. Companies with 10 or more employees are required to notify the Labor Standards Inspection Office, but Uchiumi Suisan has 4 employees and is not obligated to notify the Labor Standards Inspection Office. Labor inspections by the government were not conducted.		Compliant													b. Demonstrate that the farm ensures compliance with tax laws.	A. Verify that the farm conforms with labor codes and employment law through review of documentation, and /or direct discussion with staff and /or workers representatives. B. Review inspection records for compliance with national labor laws and codes (as applicable).
1.1.4	Indicator: Documents demonstrating compliance with regulations and permits concerning water quality impacts. Requirement: Yes. Applicability: All.	There is no specific wastewater quality regulation related to aquaculture. The farm operate aquaculture with sea cages and nothing are drained into sea. The declaration document issued by Uchiumi Suisan on September 1, 2019 clarified that the farms are not subject to controlled wast water under the Uwajima City Sewage Countermeasures Basic Act, or the Uwajima City Living environment beautification Codes.		Compliant													a. Obtain permits for discharge water where applicable. b. Maintain records of monitoring and compliance with discharge laws and /or regulations as required. c. Maintain records of monitoring and compliance with waste and pollution laws /regulations.	A. Verify that client obtains permits as applicable. B. Verify that records show that monitoring compliance with discharge laws and /or regulations as required. C. Verify that records show that monitoring compliance with waste and pollution laws and /or regulations as required.

2.1.1	<p>Indicator: Redox potential or total "free" sulphide levels in sediment immediately outside the Allowable Zone of Effect (AZE) attributed to farm operations</p> <p>Requirement: Redox potential > 0 millivolts (mV) OR Sulphide ≤ 1,500 micromoles/l OR No significant difference in redox potential or total "free" sulphide levels in sediment at the edge of the AZE in comparison to control sites</p> <p>Applicability: All farms</p>	<p>A site-specific AZE defined by farm was confirmed with a map. Sampling was performed from three stations immediately outside the AZE (32 m from the cages) and the reference stations (about 300m away from the cages). Confirmed GPS location information of all stations. The setting of sampling stations was appropriate.</p> <p>In the area, pearl oysters are mainly cultured, and there are only two red sea bream farms, including Uchiumi Suisan.</p> <p>The Redox potential Level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p> <p>Estimated from last year's landings, biomass peaked in early May. The survey was conducted on July 4, 2019, near the biomass peak. Teijin Eco Science Co., Ltd. is registered with the government as a construction consulting business and measurement certification business.</p> <p>Since the redox potential was about -80 mV on average at three sampling stations and -116 mV at the control site, it was judged that there was no significant difference between the levels of the sampling station and the control site.</p> <p>The environment of Sampling Station 1 was different from that of 2 and 3, and the depth of water was extremely shallow near the coast and the sediment was sandy.</p> <p>Excluding the value of station 1 which has a different environment, the average value of 2 and 3 where the sediment are muddy is about -165 mV.</p> <p>This area is a ria coast and the seabed is rugged.</p> <p>A control site was set up in the area deeper than the sampling station</p>	No significant difference	Compliant
	<p>Indicator: Benthic faunal index score (choosing a suitable benthic index to the composition of the benthos being sampled)</p> <p>Requirement: AZTI Marine Biotic Index (AMBI) 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 score ≥ 3.5 or No significant change in benthic faunal index scores at the edge of the AZE in comparison to control site</p> <p>Applicability: All farms</p>	<p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>The benthic fauna in the sediment was investigated and The Shannon-Wiener Index was calculated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p> <p>The sediment collected was 0.12 m² (0.04 m² × 3 times).</p> <p>H index was 3.5 on average at three sampling stations and 3.5 at the control site. It was judged that there was no significant difference between the value of the sampling station and the control site.</p> <p>The environment of Sampling Station 1 was different from that of 2 and 3, and the depth of water was extremely shallow near the coast and the sediment was sandy.</p> <p>Excluding the value of station 1 which has a different environment, the average value of 2 and 3 where the sediment are muddy is about 3.7.</p>	H > 3.5	Compliant
2.1.2	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
2.1.3	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
2.1.4	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
2.1.5	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
2.1.6	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
2.1.7	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
2.1.8	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for the Redox potential.</p> <p>It was confirmed with a report that the copper level in the sediment was investigated by a third-party research institution, Teijin Eco Science Co., Ltd. on Oct. 17, 2019.</p>		Compliant
	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>The farm stopped using copper nets or copper-treated nets two years ago.</p> <p>The farm set up next to each other uses copper-treated nets.</p> <p>The sampling was conducted from four stations at the same time as the sediment survey for</p>		

2.1.4	<p>Indicator: Evidence that copper levels are < 34 mg Cu/kg dry sediment weight.</p> <p>OR</p> <p>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.</p> <p>Requirement: Yes</p> <p>Applicability: All farms that use copper or copper treated nets</p>	<p>Copper levels was about 5.6mg/kg on average at three sampling stations and 7.2mg/kg at the control site. It was judged that there was no significant difference between the levels of the sampling station and the control site.</p> <p>The environment of Sampling Station 1 was different from that of 2 and 3, and the depth of water was extremely shallow near the coast and the sediment was sandy. Excluding the value of station 1 which has a different environment, the average value of 2 and 3 where the sediment are muddy is about 7.8 mg/kg.</p>	< 9 mg/kg	Compliant													<p>a. Measure and record copper levels in samples taken from immediately outside the AZE.</p> <p>A. Review results to confirm status of finding. Copper levels in sediment immediately outside the AZE are < 34 mg Cu/kg dry sediment weight or Cu concentration falls within the range of background concentrations as measured at three reference sites in the water body.</p>
2.2.1	<p>The farm recorded DO data once a day in the morning for 10 years. Since July 15 2019, DO data have been recorded twice a day in the morning and in the evening. The data for 9 months and weekly average were confirmed from Daily report.</p> <p>Indicator: Weekly average percent saturation of dissolved oxygen (DO) on farm (Appendix 1-2)</p> <p>Requirement: ≥70%</p> <p>Applicability: All farms</p>	<p>There was a report that the DO data had been lost due to Operation Break or typhoon. DO sensor is calibrated before use.</p> <p>It was reported that the weekly average of DO were often below below 70%. If any weekly average DO values are < 70%, or approaching that level, the farm should monitor and record DO at a reference site and compare to on-farm levels.</p>	Weekly average DO values were often < 70%, but the farm did not monitor and record DO at a reference site and compare to on-farm levels.	Minor		2020/4/1	2020/7/1	Open	<p>When the weekly average dissolved oxygen saturation was less than 70%, a control area had to be set up and compared with the fishing ground, but the requirements were missed.</p> <p>Although daily data was measured, the calculation of the weekly average value was omitted and 70% was not confirmed. The procedure is to carry out a 70% comparison on a weekly average.</p>	<p>A control area has been set up from April 2, 2020, and it has been confirmed that there is no difference by comparing the values according to the procedure and checking if there are any problems.</p> <p>Evidence Material: 2.2.1 DO measurement, 2.2.1 DO comparison method</p>	<p>Immediately after the nonconformity was found, a control area was set up and data was collected. In addition, data from April 2 to 24, 2020 confirmed that the measured values compared were not significantly different from the farms. In order to confirm if there is no problem even if viewed for a longer period, audit team will check the measured value again near the deadline for releasing the nonconformity.</p> <p>The target area was set the day after the nonconformity was discovered, and the auditor also confirmed the validity of the setting location. In addition, data from April 2 to 24, 2020 confirmed that the measured values compared were not significantly different from the farms. In order to confirm if there is no problem even if viewed for a longer period, audit team will check the measured value again near the deadline for releasing the nonconformity.</p>	<p>a. Monitor and record on-farm percent saturation of DO at a minimum of two daily measurements using a calibrated oxygen meter or equivalent method. For first audits, farm records must cover ≥ 6 months.b. Provide a written justification for any missed samples or deviations in sampling time.c. Calculate weekly average percent saturation based on data. d. If any weekly average DO values are < 70%, or approaching that level, monitor and record DO at a reference site and compare to on-farm levels. e. Arrange for auditor to witness DO monitoring and calibration while on-site.</p> <p>A. Do not schedule audit until client provides a minimum of 6 months of DO data.B. Review records for completeness.C. Review calculation and confirm all weekly averages ≥ 70%D. As needed, review DO data from reference site and document in the audit report.E. Witness DO monitoring and verify calibration while on site. On-site values should fall within range of farm data for DO. If an out of range measurement is observed, raise a nonconformity.</p>					
2.2.2	<p>Indicator: Maximum percentage of weekly samples from 2.2.1 that fall under 2 mg/liter DO (Appendix 1-2)</p> <p>Requirement: ≤5%</p> <p>Applicability: All</p>	<p>Confirmed the data after July 2019. The minimum value of DO was 3 mg / L, which generally remained within the range of 4 to 7 mg / L. No DO data below 2 mg / L.</p>	>2 mg/L	Compliant												<p>a. Calculate the percentage of on-farm samples taken for 2.2.1a that fall under 2 mg/l DO.</p> <p>A. Review the farm's calculation and confirm that ≤ 5% of weekly samples fall under 2 mg/l DO.</p>	
2.2.3	<p>Indicator: Quarterly monitoring of TAN, NO₃, and TP levels on the farm and at a reference site (Appendix 1-3)</p> <p>Requirement: Yes</p> <p>Applicability: All farms</p>	<p>Confirmed data for Nitrate nitrogen, ammonia nitrogen, and total phosphorus measured from F station (4 station same as the survey of 2.1.1, and from additional 2 reference stations). The monitoring was conducted by the Japan Food Analysis Center. The monitoring data were all below the detection limits (Nitrate nitrogen 0.1 mg / L, ammonia nitrogen 0.1 mg / L, total phosphorus 0.5 mg / L).</p>		Compliant											<p>a. Develop, implement, and document a quarterly monitoring plan for Total Ammonia Nitrogen, NO₃, total P.</p> <p>A. Review the farm's monitoring plan and verify that the farm has collected monitoring data for N and P.</p>		
2.2.4	<p>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</p> <p>Requirement: Yes</p> <p>Applicability: All farms</p>	<p>No antifoulants is used for the net.</p>		Compliant											<p>a. Identify all biocides used by the firm in net antifouling.b. Compile documentary evidence to show that each chemical used in 4.7.5a is approved according to legislation in one or more of the following jurisdictions: the European Union, the United States, Australia, or Japan.</p> <p>A. Review list of biocides and cross-check against treatment records and purchase records.B. Review documentary evidence to confirm compliance.</p>		

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24.2	Indicator: Number of mortalities of endangered or red-listed animals in the farm lease area and adjacent areas due to farm operations, personnel or associates over the previous 2 years Requirement: 0. Applicability: All.	No wildlife deaths of endangered species have ever occurred for the past 2 years. When deaths occur, the farm will record it in the daily report and "Wildlife Death Record". 0 Compliant											a. Provide a list of endangered and red-listed animals occurring in the farm lease area and surrounding areas.b. Produce a documented record of the farm's impact on biodiversity and nearby ecosystems. Detail species/habitats, spatial/temporal aspects, type of interaction and outcome.c. Establish list of predators and pests requiring control. Identify clearly the permitted mitigation/control procedures and records that must be kept.	A. Review species list and seek independent verification of completeness.B. Verify the actual level of impact on biodiversity through discussion with farm staff.C. Verify that the farm does not permit lethal management of endangered or red-listed species in documentary records. If appropriate, corroborate evidence through discussion with farm staff and/or independent parties.
24.3	Indicator: Allowance for intentional lethal action against predators/wildlife on the farm site. Requirement: None, unless human safety is immediately threatened. Applicability: All.	No lethal action against predators/wildlife on the farm site. The actual situation was confirmed on-site and also interviewed with the manager. Compliant											a. Maintain a log of predator control events that allows for verification of adherence to ASC requirements regarding predator control.	A. Review the predator control log and verify if company procedures are implemented and adhered to in all cases of lethal predator management.B. Interview staff and/or stakeholders during the on-site audit with respect to procedures for managing predators.
24.4	Indicator: All lethal incidents are recorded and categorized and reported to ASC. Requirement: Yes Applicability: All	Deaths of birds (eg herons) occurred about once a year due to a fine mesh net installed in the fish cage to prevent invasion. When deaths occur, the farm will record it in the daily report and "Wildlife Death Record". Checked the records and confirmed that there were no recent fatal accidents. The farm made "procedures for handling dead animals at sea" and confirmed this procedure with a person in charge in Ansan Town and Ehime Prefecture. The procedure is appropriate. Compliant											a. Record all mortalities, species and time of the event.	A. Verify lethal incidents over the current production cycle (calendar year). B. Verify if lethal incidents are reported to ASC.
24.5	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.	A fine mesh net is installed in the fish cage to prevent invasion. If the heron enters the cage through the net, workers open the net and let the birds go. The farm use zip ties to reduce the gaps in the net to prevent bird invasion. The farm will perform risk assessment and review of procedures as necessary. Compliant											a. Carry out documented review of lethal incidents and revise risk assessment and procedures (see 2.3.1) if necessary / as appropriate.b. Demonstrate thorough revision of procedures that management of predators is continually being reviewed with a view to eliminating the need for lethal management.	A. Examine audit evidence that shows whether risks to species are reviewed and if predator management procedures are revised in accordance with changes in risk or efficacy of management.B. During the on-site audit, discuss predator management with staff Duff in order to verify that any changes in procedure have been implemented.
3.1.1	Indicator: Culture of a non-native species. Requirement: None, unless the farmed species is ecologically established in the region at time of publication of the ASC Seabass, SeaBream, and Meagre Standard v1.0 Applicability: All.	Red sea bream is a native species at the region. According to the Setouchi Net of the Ministry of the Environment, habitats of red sea bream have been confirmed in the area. https://www.env.go.jp/water/heisa/heisa.net/setouchiNet/seto/g1/g1chapter1/kimono/mada.html Compliant											a. Confirm to the CAB that the farm only produces native species.b. If non-native species, provide verifiable evidence that the species has already become established in the country and/or region/state prior to the publishing of the Sea Bass/Sea Bream standard. c. If the farm cannot provide evidence for 3.1.1.b, provide documented evidence that the production system is closed to the natural environment and for each of the following: 1) non-native species are separated from wild fish by effective physical barriers that are in place and well maintained; 2) barriers ensure there are no escapes of reared fish specimens that might survive and subsequently reproduce; and 3) barriers ensure there are no escapes of biological material that might survive and subsequently reproduce (e.g. UV or other effective treatment) by treating effluent water prior to it exiting the system to the natural environment.	A. Confirm the farm does not produce a non-native species by comparing indigenous species to the species under cultivation. Cross-check species under cultivation against a sample of records from suppliers of juveniles to the farm. Auditors may refer to online resources including fishbase.org to obtain descriptions of different species.B. Review evidence that the non-native species has already become established in the country/region prior to publication of the Sea Bass/Sea Bream standard. Verify through interview/discussion with independent and/or regulatory agencies.C. Review evidence that the farm complies with each point raised in 3.1.1c and confirm by inspection during on-site audit. Cross check against related farm records.
3.2.1	Indicator: Culture of transgenic fish Requirement: Not permitted Applicability: All.	Report on the history of Fingerlings shipped by Yamazaki Giken on January 26, 2020 (February 8, 2020 was confirmed. In this report, it was clearly stated that fingerling was not genetically modified, along with information such as parent fish history and fingerling history. Compliant											a. Prepare a declaration stating that the farm does not use transgenic stock.b. Maintain records for the origin of all cultured stocks including stocking date, supplier details, and contact person(s) for stock purchases.c. Ensure stock purchase/origin documentation clearly identifies genetic status and whether stock is transgenic or not.	A. Verify declaration of no use of transgenic stock.B. Review records to confirm compliance with stock origin record keeping requirements.C. Review stock purchase/origin documentation. If the auditor suspects that transgenic fish are being cultured, test stock identity by collecting 3 fish and sending to an ISO 17025 certified laboratory for genetic analysis.

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3.3.6	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.	If there are escapes and unexplained losses, the number will be published on the Daiichi website. Website design was confirmed.		Compliant												a. The results from 3.3.4a are publicly available. Keep records of when and where escape records were made public (e.g. date posted to a company website) for all production cycles (calendar year).	A. Verify farm escape records are public available.B. Verify if lethal incidents are reported to ASC.
3.4.1	Indicator: Source of fingerlings Requirement: Hatchery only Applicability: All.	The supplier name, address, sea area, health status, shipping date, breeding history, etc. ware confirmed on the history of Fingerlings shipped by Yamazaki Giken on January 26, 2020 (February 6, 2020). All fingerlings supplied domestically are artificial .		Compliant												a. Provide details of the source of all fingerlings. Provide supporting documentation including purchase orders, invoices, delivery notes etc. that attest to the origin of fingerlings.	A. Verify from documentation that all fingerlings used to stock the farm came from a hatchery and not a wild source.
3.4.2	Indicator: Traceability of all hatchery purchased fingerlings to their source. Requirement: Yes Applicability: All.	The supplier name, address, sea area, health status, shipping date, breeding history, etc. ware confirmed on the history of Fingerlings shipped by Yamazaki Giken on January 26, 2020 (February 6, 2020). Request a report if the farm purchases from another supplier.		Compliant												a. Provide supporting documentation including purchase orders, transit/movement authorizations, invoices, delivery notes, stocking records etc. that attest to the origin of all stock present on the farm.	A. Review documentary evidence provided to the audit team and determine whether the origin of all stock under culture can reliably be traced to the original hatchery. B. During the onsite audit discuss the origin of stocks present with farm staff and cross check with documentation provided at 3.4.2a.
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.	We have confirmed the supplier's "Health Management Plan" (September 20, 2019). The health plan includes a list of possible fish diseases, biosecurity-related risk assessments, and Quarantine, and has been approved by the fish quarantine officer. In Japan, fish quarantine officers are considered to have the same expertise and qualifications as veterinarians. When the fingerling is shipped, the health condition is visually confirmed, and recorded in the "health condition upon shipment" and the "Medical history" of the "history record".		Compliant												a. Obtain a copy of the fingerling supplier's fish health management plan and bio-security protocol for the identification and monitoring of fish disease and parasites. b. Obtain internationally/nationally recognized 3rd party certificate for fish health and bio-security from fingerling suppliers.	A. Verify that the farm obtains copies of fish health management plans and bio-security protocols from fingerling suppliers. B. Verify that farm has obtained copies of fingerling suppliers certificates for fish health and bio-security.
3.4.4	Indicator: The receiving facility has a documented bio-security protocol, including quarantining with respect to purchased fingerlings Requirement: Yes Applicability: All.	The procedure for confirming fish diseases, including quarantine of purchased fingerlings, is specified in the "Health Management Plan (Uchiumi Suisan, November 22, 2019)". This health management plan is approved by the veterinarian of the drug supplier. Before stocking fingerlings in a cage, send a sample to the Ehime Prefectural Fisheries Research Center and request a medical examination. Regarding biosecurity, there is a procedure to check the health status before and after the fingerling is supplied (see also Indicator 3.4.3). Up to now, no health abnormality has been confirmed when stocking fingerling.		Compliant												a. Prepare a bio-security protocol for receiving purchased fingerlings that includes provisions for identification of fish disease and parasites and potential quarantining procedures. This plan may be part of a more comprehensive fish health management document.	A. Obtain and review the farm's biosecurity protocol for receiving purchased fingerlings.
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.	All fingerlings are supplied domestically, and there is no trans-national imported fingerlings.		Compliant												a. If fingerlings are purchased from international sources, all required documentation relating to health and bio-security (e.g. health certificates) must be retained and made available to the ASC auditor.	A. Obtain and review all documentation relating to the importation of fingerlings.

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4.3	<p>Indicator: Percent of non-marine ingredients from sources certified by an ISEAL Member's certification scheme that addresses environmental and social sustainability</p> <p>Requirement: 80% for soy and palm oil within 5 years following the date of the publication of the ASC Sea Bass, Sea Bream, and Meagre Standard</p> <p>Applicability: All.</p>	Not applicable as it is within 5 years from the issue date of ASC standard.	N/A												<p>a. Obtain documentation that indicates the relative quantities of non-marine ingredients used in feed manufacture that is certified under an ISEAL member's accredited certification. b. For non-conforming farms, prepare a declaration stating the farm's intent to source feed that contains non-marine ingredients certified under an ISEAL member standard that addresses both environmental and social sustainability. c. If audit >5years after publication of the standards, provide documentation that confirms that requirement for at least 80% of non-marine ingredients used in feed comes from ISEAL member certifications that address both environmental and social sustainability.</p>	<p>A. Review documentation that confirms the percent of non-marine ingredients used in feed manufacture that is certified under an ISEAL members accredited certification. The requirement for 80% for soy and palm oil certification only applies 5 years after standard publication.B. Obtain a copy of the client's declaration of intent.C. If audit >5years after publication of the standards, review evidence to determine whether there is compliance with requirement that at least 80% of soy and palm ingredients used in feed comes from ISEAL member certifications that address both environmental and social sustainability.</p>
4.3.1	<p>Indicator: Evidence that non-biological waste (including net pens) from grow-out site is either disposed of properly or recycled.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>"Waste disposal method procedure manual" was confirmed. There is no recycled waste. The synthetic fiber net is repaired and used continuously, and is not discarded. Wasted paper bags, nets, floats, etc. are discarded. Daiichi collects the Feed paper bag and asks the government-approved waste carrier and waste disposal company to dispose of it. Confirmed the contracts and manifests exchanged by the farm with the industrial waste collection and transportation companies and waste disposal companies. Used wire mesh and iron frames are collected and disposed of by the seller. No record of wire mesh disposal has been confirmed.</p> <p>The procedure and the records at the time of exchanging the wire nets and cages could not be confirmed.</p>	Minor		2020/4/1	2020/7/1	2020/4/30	Closed		The procedure manual for disposing of wire nets and cages was not prepared.	The interpretation of the requirements was insufficient. We will create a procedure for how to dispose of wire nets and cages.	We create and maintain a written procedure. We will follow the procedure when disposing of wire mesh.	We once again understood the requirements and audit findings and created a written procedure. From now on, we will dispose of wire nets and cages according to the procedure manual. We will maintain future operations by reviewing adherence to procedures.	The Audit team received the "Waste Disposal Method Procedure Manual" and the record format including the procedure for replacing the wire net and cage, and confirmed that there was no problem. Evidence Material: 4.5.1 Waste Disposal Procedure Manual	<p>a. Provide a description of the most common production waste materials and how the farm ensures these waste materials are properly disposed of. (See also 4.5.1c). b. Provide a description of the types of waste materials that are recycled by the farm. (See also 4.5.1d). Inform the CAB of any infractions or fines for improper waste disposal received during the previous 12 months and corrective actions taken.d. Maintain records of disposal of waste materials including old nets and cage equipment.</p>	<p>A. During the on-site inspection look for evidence of proper waste disposal. (See also 4.5.1c) B. During the on-site inspection look for evidence of recycling of waste materials as described by client. (See also 4.5.1d). C. Review infractions and corrective actions.D. Review records to verify waste disposal and/or recycling is consistent with client description and policy.</p>
4.3.2	<p>Indicator: Evidence of appropriate storage and/or disposal of biological waste</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>As for biological waste, only dead fish are discarded as industrial waste. The farm has established a procedure called "removal and disposal of dead individuals". When there are dead fish, only 10 kg of biological waste is discharged at a time.</p> <p>Dead fish will be collected in a bucket and temporarily stored in the freezer at the Suge Farm, and when the amount reaches 1 ton, it will be collected by a contractor. If a large number of fish die due to illness, have a fish quarantine officer inspect the cause of death and take action.</p> <p>Tokushima Kasei Co., Ltd. will be in charge of waste disposal, and Kishi Chemical will be in charge of collection and transportation. Checked sample contract and manifest slip.</p>	Compliant												<p>a. Develop procedure that ensures proper disposal of all biological waste.b. Maintain records to show how the farm disposes of dead fish and other forms of biological waste.</p>	<p>A. Verify that the farm has procedure in place for the proper disposal of biological waste.B. Verify from farm records that disposals follow the farm's procedures.C. During the on-site inspection, confirm the farm's plan is effectively implemented. Evidence will include interviews with farm workers who confirm that disposals followed the plan.</p>
4.3.3	<p>Indicator: Evidence of appropriate storage and/or disposal of chemical and hydrocarbon wastes</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>The farm uses hydrogen peroxide and antibiotics. The acceptance and use of medicines are recorded in the list of payments. The farm takes inventory of equipment every month. The record of January 2020 was confirmed. The engine oil of the outboard motors of fishing boats is voluntarily replaced and transferred to a neighboring company as fuel for waste oil stoves. Confirmed the format of the "Oil Discharge Transfer Form," which is a record of oil exchange and disposal. A record will be kept if an oil change is made during the regular inspection of the forklift.</p> <p>Leaks such as fuel and engine oil are checked every month and are listed in the monthly inspection and maintenance record table. No oil leak has been confirmed so far.</p>	Compliant												<p>a. Ensure that the disposal and storage of chemical and hydrocarbon wastes are done according to local law and Material Safety Data Sheets (MSDS). Farms shall maintain an inventory of all chemicals used or located on site.</p>	<p>A. Verify through farm inspection that disposal is done according to local law and MSDS descriptions. e.g. no disposal of waste at sea or in any watercourse, burning of plastics and other synthetic materials.</p>

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5.1.1	<p>Indicator: Evidence of a veterinary approved Fish Health Management Plan (FHMP)</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	The health management plan formulated by Uchiumi Suisan was confirmed. Daiichi has established a system based on the fish inspection room of the Ehime Prefectural Fisheries Research Center. Three persons have been trained in pathological anatomy at the fish inspection room of Ehime Prefecture Fisheries Research Center, and have been engaged in pathological anatomy at the fish disease analysis room in Daiichi for more than 10 years. The health management plan was approved by the veterinarian.		Compliant									a. Prepare a fish health management plan that incorporates components related to identification and monitoring of fish diseases and parasites. This plan may be part of a more comprehensive farm planning document. b. Ensure that documentation is available to verify that the fish health management plan includes mandatory procedures for either: (1) vaccination against diseases that present a risk in the region and for which an effective and commercially viable vaccine exists; OR (2) veterinarian-approved alternative fish health management strategies.c. Ensure that the farm's current fish health management plan was reviewed and approved by the farm's designated veterinarian A. Obtain and review the farm's fish health management plan. B. Review evidence that procedures for vaccination of stock as identified in the fish health management plan are routinely implemented; and/or that approved alternative fish health strategies are implemented.C. Verify there is evidence to show that the firm's designated veterinarian reviewed and approved the current version of the plan.
5.1.2	<p>Indicator: Farm maintains a fish health management record keeping system</p> <p>Requirement: Yes</p> <p>Applicability: All.</p>	Daily health management is recorded as a database in the aquaculture daily report. The aquaculture daily report was confirmed, and the use record of the drug (OTC (oxytetracycline)) was confirmed. Although no fish diseases have occurred recently, procedures have been put in place to record disease and drug use in the daily aquaculture report. If the cause of death of the fish could not be determined, it is described as "Unknown cause of death". It was not specified whether the cause of death was unknown due to difficulty in diagnosis due to corruption or whether the cause of death was unknown as a result of analysis.	If the cause of death of the fish could not be determined, it is encouraged to record if the death was unknown due to difficulty in diagnosis due to corruption or whether the cause of death was unknown as a result of analysis.	Compliant	Observation:	2020/4/1							a. Maintain a record keeping system to monitor all diseases /parasites and treatments on the farm. A. Verify farm maintains records for disease monitoring and identification, treatments applied (therapeutics used, fish treated, dates, etc.), vaccinations, and corrective actions if applicable.B. Review records to confirm that the farm follows their fish health management plan when monitoring and responding to disease and/or parasites.
5.2.1	<p>Indicator: Use of therapeutic treatments that are listed as critically important for human medicine by the World Health Organization</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	The latest version, Ministry of Agriculture, Forestry and Fisheries – “32nd Report on the Use of Pharmaceutical Products for Fisheries” was confirmed. The farm has a policy of not using therapeutic treatments that are listed as critically important for human medicine by the World Health Organization. The WHO list was kept in the Japanese translation list.		Compliant									a. Maintain a current version of the WHO list of antimicrobials critically and highly important for human health.b. Maintain a list of therapeutants the use of which in finfish aquaculture are banned by law. c. If the farm has used antibiotics listed as critically important to human health and/or has used therapeutants that are banned in finfish culture to treat any fish during the current production cycle (calendar year), inform the CAB prior to scheduling audit.d. If yes to 5.2.1c, request an exemption to the requirement of 5.2.1 from the CAB in order to certify only that portion of production that complies with the indicator.Prior to the audit, provide the CAB with records sufficient to establish details of treatment, which holding facilities were treated, and how the farm will ensure full traceability and separation of treated fish through and post- harvest. A. Confirm that the farm has the current copy of the WHO list of antibiotics.B. Confirm that the farm maintains a list of banned therapeutants.C. Make note of the farm’s critical antibiotic and/or banned therapeutant usage and do not schedule an on-site audit until the client provides sufficient additional information that will permit request of exemption to 5.2.1 (see 5.2.1(d)).D. Review the farm’s exemption request and supporting documents to verify that the farm can satisfactorily demonstrate traceability to merit an exemption.
5.2.2	<p>Indicator: Prophylactic use of chemical antimicrobial treatments.</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	The farm uses antibiotics and anthelmintic drugs, and records the history of use in the daily aquaculture report. Detailed usage records were confirmed. If an abnormal fish is found in the farm, the cause of the disease is confirmed before the drug is given. No prophylactic use of chemical antimicrobial treatments.		Compliant									a. Maintain records for all purchases of chemical antimicrobials (invoices, prescriptions) for the current and prior production cycles (calendar year). b. Maintain a detailed log of all medication-related events (see also 5.2.1.a and 5.2.3.c). Calculate the total amount (g) and treatments (#) of chemical antimicrobials used during the current and preceding production cycles (calendar year). A. Review purchase records and calculate total amount of chemical antimicrobials procured by client. Inspect storage areas to verify quantities on-site.B. Review log of medication events to verify that the quantity of chemical antimicrobials supplied by the client does not suggest prophylactic use.C. Verify that the total amount of chemical antimicrobials used in the current production cycle (calendar year) is equal to the total amount prescribed.
5.2.3	<p>Indicator: The farm shall document all chemicals and therapeutants used during the most recent production cycle</p> <p>Requirement: Yes..</p> <p>Applicability: All.</p>	The aquaculture daily report has records of the use of all chemicals. The chemicals used are listed on the inventory table. Most recently, OTC was used in October 2019. The name of the disease and the treatment taken will be recorded in the aquaculture daily report.		Compliant									a. Maintian comprehensive documentation on all chemicals and therapeutants used on the farm that includes he amounts used (including grams per kg of fish produced), the dates used, the retention time, which group of fish were treated and against which diseases, proof of proper dosing, and all disease and pathogens detected on the site. A. Verify farm maintains records for chemical and therapeutant use as specified by the standard.
5.2.4	<p>Indicator: Number of anti-parasiticide treatments allowed over the most recent production cycle, including the hatchery</p> <p>Requirement: 1.</p> <p>Applicability: All.</p>	Fingerling supplier used hydrogen peroxide once as a countermeasure against aphids after stocking in cage. Check the record in the fingerling history report. All the chemicals used in the aquaculture log are recorded. There was no record of using anthelmintic drugs in the last production cycle.	1	Compliant									a. Identify permitted anti-parasiticides that may be applied to stock during the farming procedure in the fish health management plan. Provide Material Data Safety Sheets for all anti-parasiticide products that are used. Other than freshwater, formaldehyde and hydrogen peroxide only one prescribed anti-parasitide treatment is allowed.b. Make available records relating to all chemical, veterinary and therapeutant suppliers. Include Invoices, laboratory testing results as well as prescriptions and treatment records. A. Review fish health management plan and procedures relating to use of anti-parasiticsides. Review MSDS to verify what chemicals or compounds are applied. Compliance is demonstrated when evidence suggests that only one prescried anti-parasite treatment other than freshwater, formaldehyde and hydrogen peroxide is used.B. Confirm conformity with the requirement that the farm does not use anti-parasiticide treatments other than those permitted under the standard by review of documentation and interview with farm staff.

5.2.5	Indicator: Number of treatments of antibiotics over the most recent production cycle, including the hatchery cycle. Requirement: ≤ 3 Applicability: All	OTO (oxytetracycline) is used. It may be used by fingerling suppliers and will be listed in the fingerling history report. It was confirmed that all details of antibiotic use were recorded in the aquaculture daily report. At the time of audit, a maximum of 2 antibiotic treatments were performed. At the farm, the number of antibiotic treatments will be up to 3 times.	≤ 2	Compliant														a. Maintain records of all treatments of antibiotics (see 5.2.1a). For first audits, farm records must cover the current and immediately prior production cycles (calendar year) in a verifiable statement.b. Calculate the total number of treatments of antibiotics over the most recent production cycle (calendar year) and supply a verifiable statement of this calculation.	A. Review documents to confirm that the client maintains a record of all treatments of antibiotics. Cross-check against records of on-farm chemical & therapeutic use (5.2.1a), medication events (5.2.3a), and prescription records. B. Confirm that the client used ≤ 3 treatments of antibiotics over the most recent production cycle (calendar year), including the hatchery phase of that stock.
5.3.1	Indicator: All recovered mortalities are removed and disposed of in a responsible manner. Requirement: Yes Applicability: All	We confirmed the procedure for the disposal of dead fish "Removal and disposal of dead individuals". The dead fish floating on the surface of the water are collected in a bucket and disposed of as industrial waste. The disposal company is Tokushima Kasei Co., Ltd., and confirmed the contract and manifest. Details are as shown in Indicator 4.5.2.		Compliant														a. Maintain records of mortality removals to show that dead fish are removed regularly and disposed of in a responsible manner'. b. Collect documentation to show that disposal methods are in line with practices recommended by fish health managers and/or relevant legal authorities.c. For any exceptional mortality event where dead fish were not collected for post-mortem analysis, keep a written justification.	A. Review records of mortality removals to confirm completeness and accuracy. B. Review client submission. Inspect the farm's system for mortality removals and disposals during the on-site audit.C. Review the farm's justification for any exceptional mortality event where dead fish were not collected for post-mortem analysis (this situation should be a rare occurrence).
5.3.2	Indicator: Classification of mortalities Requirement: All recovered mortalities are recorded and classified by cause of death Applicability: All	The cause of death is determined by dyeing and observing the bacteria in the Daiichi laboratory. Ask the Fisheries Research Center in Ehime Prefecture to inspect individuals with unknown disease names. If the cause of death cannot be determined due to corruption, the cause of death is recorded as unknown. Death occurs in about 1 to 3 fish per day, but it is considered that the cause of death is not the disease. Causes of death are classified in the aquaculture daily report.		Compliant														a. Maintain detailed records for all mortalities and post-mortem analyses including: - date of mortality and date of post-mortem analysis; - total number of mortalities and number receiving post-mortem analysis; - name of the person or lab conducting the post-mortem analyses; - qualifications of the individual (e.g. veterinarian, fish health manager); - cause of mortality (specify disease or pathogen) where known; and - classification as 'unexplained' when cause of mortality is unknown.b. For each mortality event, ensure that post-mortem analyses are done on a statistically relevant number of fish and keep a record of the results.c. If on-site diagnosis is inconclusive and disease is suspected or results are inconclusive over a 1-2 week period, ensure that fish are sent to an off-site laboratory for diagnosis and keep a record of the results.	A. Review records of mortalities to verify completeness and to confirm that post-mortem analyses were done by qualified individuals or labs.B. Review records to confirm the farm had post-mortem analysis done for each mortality event and that a statistically relevant number of fish were analyzed from each mortality event.C. Review records to confirm that any inconclusive on-site diagnoses were sent to an off-site laboratory for further testing.
5.3.3	Indicator: When unexplained mortalities exceed 0.5% / per day, samples are submitted for analysis by a veterinarian or designated fish health expert Requirement: Yes Applicability: All	Several deaths every day were counted as unexplained deaths. If the unexplained mortality rate exceeds 0.5% per day, ask the prefectural fish disease center for testing. There were unexplained deaths, but none exceeded 0.5% per day.		Compliant														a. Maintain records of unexplained mortalities and responses triggered when unexplained mortalities exceeds 0.5% per day.	A. Verify farm maintains records for unexplained mortalities and submits samples for analysis when it exceed 0.5% per day.
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	Confirmed "mortality reduction program". The farm has set a goal of survival rate of 95% or more (mortality rate of 5% or less), which is shared by employees. The goal is to reduce mortality by monitoring water quality and diligently assessing health conditions.		Compliant														a. Use records in 5.3.2 to assemble a time-series dataset on farm-specific mortalities rates and unexplained mortality rates.b. Use the data in 5.3.2 and advice from the veterinarian and/or fish health manager to develop a mortalities-reduction program that defines annual targets for reductions in total mortality and unexplained mortality.c. Ensure that farm management communicates with the veterinarian, fish health manager, and staff about annual targets and planned actions to meet targets.	A. Confirm that the farm used mortalities records to assemble a detailed dataset on mortality rates which covers the required timeframe. B. Review program to confirm that targets for mortality reduction are reasonable and based on historical data. C. Interview workers to confirm their understanding of mortalities recording, classification, and annual targets for reduction.
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	Not applicable because there is no labor union organized in the company Uchumi Suisan has four employees. It was confirmed in an interview with the president that it is possible to elect a worker representative.		Compliant														a. Workers have the freedom to join any trade union, free of any form of interference from employers or competing organizations set up or backed by the employer. Farms shall prepare documentation to demonstrate to the auditor that domestic regulation fully meets these criteria.b. Union representatives (or worker representatives) are chosen by workers without managerial interference. ILO specifically prohibits "acts which are designated to promote the establishment of worker organizations or to support worker organizations under the control of employers or employers' organizations." c. Trade union representatives (or worker representatives) have access to their members in the workplace at reasonable times on the premises.d. Be advised that workers and union representatives (if they exist) will be interviewed to confirm the above.	

6.1.2	<p>Indicator: Evidence that workers are free to form organizations, including unions, to advocate for and protect their rights.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	Employees' right to organize, collective bargaining, and collective action are guaranteed by Article 28 of the Japanese Constitution.	Article 49 (Trade Union) of theUchumi Suisan Employment Regulation guarantees the freedom of forming a labor union.	Compliant																a. Employment contract explicitly states the worker's right of freedom of association.b. Employer communicates that workers are free to form organizations to advocate for and protect work rights (e.g. farm policies on Freedom of Association). c. Be advised that workers will be interviewed to confirm the above.
6.1.3	<p>Indicator: Evidence that workers are free and able to bargain collectively for their rights.</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	Employees' right to organize, collective bargaining, and collective action are guaranteed by Article 28 of the Japanese Constitution.	Collective bargaining rights are guaranteed under Article 49 (Trade Union) of theUchumi Suisan Employment Regulations.	Compliant																a. Local trade union, or where none exists a reputable civil-society organization, confirms no outstanding cases against the farm site management for violations of employees' freedom of association and collective bargaining rights. b. Employer has explicitly communicated a commitment to ensure the collective bargaining rights of all workers. c. There is documentary evidence that workers are free and able to bargain collectively (e.g. collective bargaining agreements, meeting minutes, or complaint resolutions).
6.2.1	<p>Indicator: Number of incidences of child labor</p> <p>Requirement: None</p> <p>Applicability: All except as noted 6.2.1a</p>	No child labor. Confirmed the age on the employee list and on-site. The minimum age for employees is 57. Article 5 of the employment regulations forUchumi Suisan stipulates that people under the age of 18 will not be hired.		Compliant																a. In most countries, the law states that minimum age for employment is 15 years. 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. If the farm operates in a country where the legal minimum ages is not 15, then the employer shall maintain documentation attesting to this fact. b. Minimum age of permanent workers is 15 or older (except in countries as noted above). c. Employer maintains age records for employees that are sufficient to demonstrate compliance.
6.2.2	<p>Indicator: Percentage of young workers that are protected</p> <p>Requirement: 100%</p> <p>Applicability: All</p>	Not applicable as there are no young workers. Confirmed the age on the employee list and on-site. The minimum age for employees is 57. Article 5 of the employment regulations forUchumi Suisan stipulates that people under the age of 18 will not be hired. High school students are not employed either.		N/A																a. Young workers are appropriately identified in company policies & training programs, and job descriptions are available for all young workers at the site. b. All young workers (from age 15 to less than 18) are identified and their ages are confirmed with copies of IDs.c. Daily records of working hours (i.e. timesheets) are available for all young workers. d. For young workers, the combined daily transportation time and school time and work time does not exceed 10 hours.e. Young workers are not exposed to hazards and do not perform hazardous work. Work on floating cages in poor weather conditions shall be considered hazardous.f. Be advised that the site will be inspected and young workers will be interviewed to confirm compliance.
6.3.1 ^(a)	<p>Indicator: Number of incidences of forced, bonded^(b) or compulsory labor</p> <p>Requirement: None</p> <p>Applicability: All</p>	There is no forced labor or slave labor. According to the employment contract, it was not an unfair contract. Employees are not unjustly detained. It also stipulates the reasons for dismissal. No evidence of forced or slave labor was found in interviews with employees.		Compliant																a. Contracts are clearly stated and understood by employees. Contracts do not lead to workers being indebted (i.e. no "pay to work" schemes through labor contractors or training credit programs).b. Employees are free to leave workplace and manage their own time.c. Employer does not withhold employee' s original identity documents.d. Employer does not withhold any part of workers' salaries, benefits, property or documents in order to oblige them to continue working for employer.e. Employees are not to be obligated to stay in job to repay debt.f. Maintain payroll records and be advised that workers will be interviewed to confirm the above.

6.4.1	Indicator: Evidence of comprehensive ⁽¹⁾ and proactive anti-discrimination policies, procedures and practices Requirement: Yes Applicability: All	A policy has been created to prohibit discrimination and harassment (as of September 1, 2019). This policy is posted in the warehouse and made known to employees. This policy includes internal and external consultation points. In addition, at the Health and Safety Committee on March 27, 2020, officers and employees watched a human rights awareness video of the Ministry of Justice.		Compliant															a. Employer has written anti-discrimination policy in place, stating that the company does not engage in or support discrimination in hiring, remuneration, access to training, promotion, termination or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, age or any other condition that may give rise to discrimination.b. Employer has clear and transparent company procedures that outline how to raise, file, and respond to discrimination complaints.c. Employer respects the principle of equal pay for equal work and equal access to job opportunities, promotions and raises.d. All managers and supervisors receive training on diversity and non-discrimination. All personnel receive non-discrimination training. Internal or external training acceptable if proven effective.
6.4.2	Indicator: Number of incidences of discrimination Requirement: None Applicability: All	No discrimination has occurred. No evidence of discrimination was found in employee interviews.		Compliant															a. Employer maintains a record of all discrimination complaints. These records do not show evidence for discrimination. b. Be advised that worker testimonies will be used to confirm that the company does not interfere with the rights of personnel to observe tenets or practices, or to meet needs related to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation or any other condition that may give rise to discrimination.
6.5.1	Indicator: Percentage of workers trained in health and safety practices, procedures and policies on a yearly basis Requirement: 100% Applicability: All	Prepared the 2020 work manual (created on March 1, 2012). Work details, risk points, and protective equipment are listed. Created "Safety and Health Committee Regulations". The president of Uchiuni Suisan participates in the monthly health and safety committee meeting held in Daiichi, and the contents of the meeting are shared by the president to employees. Other employees ofUchiuni Suisan are also planning to participate once every 3 to 4 months. At the Health and Safety Committee held in March, workers trained with a human rights awareness video. Emergency contact information is listed. Tsunami evacuation drills are being conducted by the residents' association. Tsunami evacuation sites and evacuation routes from work sites are created and posted at the site along with emergency contact information. There is a record of the medical examination, and the president who dives also had a special medical examination for the diver.		Compliant															a. Employer has documented practices, procedures (including emergency response procedures) and policies to protect employees from workplace hazards and to minimize risk of accident or injury. The information shall be available to employees.b. Employees know and understand emergency response procedures.c. Employer conducts health and safety training for all employees on a regular basis (once a year and immediately for all new employees), including training on potential hazards and risk minimization. Occupational Safety and Health (OSH) and effective use of PPE.
6.5.2	Indicator: Evidence that workers use Personal Protective Equipment (PPE) effectively Requirement: Yes Applicability: All	The protective equipment used for each work was clarified and included in the 2020 work manual. Currently, in addition to life jackets, helmets are used when using forklifts, during shipping operations and when using ship cranes. It is provided by the company. During the site audit, it was confirmed that appropriate safety equipment was used. Interviews with employees confirmed their understanding of wearing safety equipment.		Compliant															a. Employer maintains a list of all health and safety hazards (e.g. chemicals)b. Employer provides workers with PPE that is appropriate to known health and safety hazards.c. Employees receive annual training in the proper use of PPE (see 6.5.1c). For workers who participated in the initial training(s) previously an annual refreshment training may suffice, unless new PPE has been put to use.d. Be advised that workers will be interviewed to confirm the above.
6.5.3	Indicator: Presence of a health and safety risk assessment and evidence of preventive actions taken Requirement: Yes Applicability: All	Appendix 1 of the 2020 work manual describes risks and countermeasures for each work. Risks will be reassessed during the annual work manual review.		Compliant															a. Employer makes regular assessments of hazards and risks in the workplace. Risk assessments are reviewed and updated at least annually (see also 6.5.1a).b. Employees are trained in how to identify and prevent known hazards and risks (see also 6.5.1c).c. Health and safety procedures are adapted based on results from risk assessments (above) and changes are implemented to help prevent accidents.

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	No accident has occurred so far. If an accident occurs, record details, analysis results, and recurrence prevention measures. There is a form of "accident report".		Compliant															a. Employer records all health- and safety-related accidents.b. Employer maintains complete documentation for all occupational health and safety violations and investigations.c. Employer implements corrective action plans in response to any accidents that occur. Plans are documented and they include an analysis of root cause, actions to address root cause, actions to remediate, and actions to prevent future accidents of similar nature.d. Employees working in departments where accidents have occurred can explain what analysis has been done and what steps were taken or improvements made.
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	Workers have industrial accident insurance. Confirmed the notification of establishment of industrial accident relations (April 18, 2013) and the labor insurance declaration (July 10, 2019). The representative director does not qualify for the industrial accident insurance and therefore has another insurance.		Compliant															a. Employer maintains documentation to confirm that all personnel are provided sufficient insurance to cover costs related to occupational accidents or injuries (if not covered under national law). Equal insurance coverage must include temporary, migrant or foreign workers. Written contract of employer responsibility to cover accident costs is acceptable evidence in place of insurance.
6.5.6	Indicator: Evidence that all diving operations are conducted in a manner that protects the health and safety of divers Requirement: Yes Applicability: All	Only the president dives. Confirmed the diver license. He also receives a special medical examination twice a year for divers. Diving is done at most once a week. Diving work must be carried out under conditions that can be rescued in an emergency. Though the personnel on board do not have a diving license, there are always multiple people working, and it is possible to carry out rescue operations in an emergency. A specialized company will do the net cleaning and the anchor check. Confirmed the contractor's diver license. There is only one outsourced diver, and the president always assists during work.		Compliant															a. Employer keeps records of farm diving operations and a list of all personnel involved. In case an external service provider was hired, a statement that provider conformed to all relevant criteria must be made available to the auditor by this provider. All diving operations are logged using diving computers and records are kept electronically. b. Employer ensures that a safety diver or a diving buddy is present during all dives.c. Employer maintains evidence of diver certification (e.g. copies of certificates) for each person involved in diving operations. Divers shall be certified through an accredited national or international organization for diver certification. Divers shall undergo periodical medical exams, which will include monitoring of all tissues affected by continuous diving (i.e. bones, cartilages).
6.6.1	Indicator: The percentage of workers whose basic ^[51] wage (before overtime and bonuses) is below the minimum wage ^[52] Requirement: 0 (None) Applicability: All	The minimum wage in Ehime prefecture is 790 yen (revised on October 1, 2019). The amount is posted on the website. A salary level above the minimum wage is promised in the employment contract. Checking the wage register, all employees' salaries were above the minimum wage.		Compliant															a. Employer keeps documents to show the legal minimum wage in the country of operation. If there is no legal minimum wage in the country, the employer keeps documents to show the industry-standard minimum wage.b. Employer's records (e.g. payroll) confirm that worker's wages for a standard work week (548 hours) always meet or exceed the legal minimum wage. If there is no legal minimum wage, the employer's records must show how the current wage meets or exceeds industry standard. If wages are based on piece-rate or pay-per-production, the employer's records must show how workers can reasonably attain (within regular working hours) wages that meet or exceed the legal minimum wage.c. Maintain documentary evidence (e.g. payroll, timesheets, punch cards, production records, and/or utility records) and be advised that workers will be interviewed to confirm the above.
6.6.2	Indicator: Evidence that the employer is working toward the payment of basic needs wage ^[53] Requirement: Yes Applicability: All	The minimum wage in Japan is determined by the local minimum wage council, which is composed of the same number of members from the public interest representative, worker representative, and employer representative for each prefecture. The labor bureau director has decided. The minimum wage by region is determined by comprehensively considering (1) workers' living expenses, (2) workers' wages, and (3) regular business wage-paying ability. In consideration of "living expenses", it is considered that workers should have a healthy and cultural minimum living. Therefore, in Japan, it is considered that the minimum wage is set to meet the living wage. Although it is difficult to calculate the daily salary specialized for this region, the hourly wage for each employee greatly exceeds the minimum wage. It can be judged that the salary is sufficiently high.		Compliant															a. Proof of employer engagement with workers and their representative organizations, and the use of cost of living assessments from credible sources to assess basic needs wages. Includes review of any national basic needs wage recommendations from credible sources such as national universities or government.b. Employer has calculated the basic needs wage for farm workers and has compared it to the basic (i.e. current) wage for their farm workers.c. Employer demonstrates how they have taken steps toward paying a basic needs wage to their workers.

6.6.3	Indicator: Evidence of transparency in wage-setting and rendering ^[54] Requirement: Yes Applicability: All	Wage regulations have been established. The basic wage is stated in the contract. Wages are decided by discussion at the time of contract. Dainichi does the monthly salary calculation. Currently there is no raise. There is no record of bonus payments.	Compliant															a. Wages and benefits are clearly articulated to workers and documented in contracts.b. The method for setting wages is clearly stated and understood by workers.c. Employer renders wages and benefits in a way that is convenient for the worker (e.g. cash, check, or electronic payment methods). Workers do not have to travel to collect benefits nor do they receive promissory notes, coupons or merchandise in lieu of payment.d. Be advised that workers will be interviewed to confirm the above.
6.7.1	Indicator: Percentage of workers who have contracts Requirement: 100% Applicability: All	Has an employment contract with all four employees. There are two people working in the Yutai area covered by ASC. It was confirmed that unfair contract details were not included.	Compliant															a. Employer maintains a record of all employment contracts.b. There is no evidence for labor-only contracting relationships or false apprenticeship schemes.c. Be advised that workers will be interviewed to confirm the above.
6.7.2	Indicator: Evidence of a policy to ensure social compliance of its suppliers and contractors Requirement: Yes Applicability: All	Declarations to comply with social responsibility were signed by major suppliers and contractors (submersibles, cage manufacturers, fishing vessel maintenance companies).	Compliant															a. Farm has a policy to ensure that all companies contracted to provide supplies or services (e.g. divers, cleaning, maintenance) have socially responsible practices and policies.b. Producing company has criteria for evaluating its suppliers and contractors. The company keeps a list of approved suppliers and contractors.c. Producing company keeps records of communications with suppliers and subcontractors that relate to compliance with 6.7.2.
6.8.1	Indicator: Evidence of worker access to effective, fair and confidential grievance procedures Requirement: Yes Applicability: All	Oreated "Complaint Handling Regulations". It is stated that the officer in charge of the company is consulted internally and the Uwajima Labor Standards Inspection Office is consulted externally. The regulations are stored byUchiumi Susan and can be viewed by all employees.	Compliant															a. Employer has a clear labor conflict resolution policy for the presentation, treatment, and resolution of worker grievances in a confidential manner.b. Workers are familiar with the company's labor conflict policies and procedures. There is evidence that workers have fair access.c. Maintain documentary evidence (e.g. complaint or grievance filing, minutes from review meetings) and be advised that workers will be interviewed to confirm the above.
6.8.2	Indicator: Percentage of grievances handled that are addressed within a 90-day timeframe Requirement: 100% Applicability: All	There have been no cases of complaints so far. The Complaint Handling Regulations specify that complaints will be addressed within 90 days.	Compliant															a. Employer maintains a record of all grievances, complaints and labor conflicts that are raised.b. Employer keeps a record of follow-up (i.e. corrective actions) and timeframes in which grievances are addressed.c. Maintain documentary evidence and be advised that workers will be interviewed to confirm that grievances are addressed within a 90-day timeframe.
6.9.1	Indicator: Incidences of excessive or abusive disciplinary actions Requirement: None Applicability: All	There has been no disciplinary action to date. It is not confirmed during interviews with employees that there was any case of disciplinary action.	Compliant															a. Employer does not use threatening, humiliating or punishing disciplinary practices that negatively impact a worker's physical and mental health or dignity.b. Allegations of corporeal punishment, mental abuse, physical coercion, or verbal abuse will be investigated by auditors.c. Be advised that workers will be interviewed to confirm there is no evidence for excessive or abusive disciplinary actions.a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker.b. Maintain documentary evidence (e.g. worker evaluation reports) and be advised that workers will be interviewed to confirm that the disciplinary action policy is fair and effective.
6.9.2	Indicator: Evidence of a functioning disciplinary action policy whose aim is to improve the worker Requirement: Yes Applicability: All	The rules for disciplinary acts are described in Article 44 (sanctions), Article 45 (liability), Article 46 (honour), and Article 47 (disciplinary dismissal) of the employment rules. The employment rules were partially revised, and only the responsibility will be blamed when the reason is minor or the blame is significant. In addition, the rules of the Prize and Punishment Committee have created a mechanism to judge disciplinary acts fairly.	Compliant															a. Employer has written policy for disciplinary action which explicitly states that its aim is to improve the worker. b. Maintain documentary evidence (e.g. worker evaluation reports) and be advised that workers will be interviewed to confirm that the disciplinary action policy is fair and effective.

6.10.1	Indicator: Incidences, violations or abuse of working hours and overtime laws Requirement: None Applicability: All	Since the working hours are basically fixed, the salary is fixed. The standard working hours are from 7:00 to 16:00, but the start times are flexibly changed according to the work. The end time is also changed according to the start time. Make a decision in coordination with employees. A time card records attendance and departure times. The employees work 6 to 7 hours a day, but pay the salary by calculating 8 hours a day according to the contract. There is no overtime. At least one day off per week (currently mainly Saturday). There is no seasonal busy season. The employee was interviewed and the working hours were as recorded on the time card.	Compliant																a. Employer has documentation showing the legal requirements for working hours and overtime in the region where the farm operates. If local legislation allows workers to exceed internationally accepted recommendations (48 regular hours, 12 hours overtime) then requirements of the international standards apply.b. Records (e.g. time sheets and payroll) show that farm workers do not exceed the number of working hours allowed under the law.c. If an employer requires employees to work shifts at the farm (e.g. 10 days on and six days off), the employer compensates workers with an equivalent time off in the calendar month and there is evidence that employees have agreed to this schedule (e.g. in the hiring contract). d. Be advised that workers will be interviewed to confirm there is no abuse of working hours and overtime laws.
6.10.2	Indicator: Overtime is limited, voluntary, paid at a premium rates and restricted to exceptional circumstances Requirement: Yes Applicability: All	There is no overtime. No work on holidays.	Compliant																a. Payment records (e.g. payslips) show that workers are paid a premium rate for overtime hours.b. Overtime is limited and occurs in exceptional circumstances as evidenced by farm records (e.g. production records, time sheets, and other records of working hours).c. Be advised that workers will be interviewed to confirm that all overtime is voluntary except where there is a collective bargaining agreement which specifically allows for compulsory overtime.
6.11.1	Indicator: Farm employees accommodated on the farm have access to clean, sanitary, safe and suitable living conditions Requirement: Yes. Applicability: All.	Not applicable because there are no workers living in the farm.	N/A																a. Provide evidence that potable/safe drinking water is always available for workers.b. Provide evidence that adequate sanitary facilities are available for workers.c. Provide evidence of safe, secure and quality accommodation sufficient to withstand local conditions in the event of storms or other natural events that could endanger lives.d. Provide evidence that accommodation provided is suitable to workers needs (and their family's), appropriate for their gender if accommodated on site also.
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 (6.11.2a).	Not applicable because there are no workers living in the farm.	N/A																a. Provide separate and suitable sanitary and toilet facilities are available for men and women, with the possible exception of married couples being accommodated together.
7.1.1	Indicator: Evidence of regular and meaningful consultation and engagement with community representatives and organizations Requirement: Yes. Applicability: All.	The farm participates in the regular meeting of the Ainan Fisheries Cooperative Association held four times a year. Confirmed the notice and materials for the extraordinary general meeting held on February 12, 2019. Participated in the Ainan Fisheries Cooperative Aquaculture Council Board of Directors. It was confirmed that the farm kept agendas for second board meeting in 2019 (held on December 6, 2019) and the third board meeting (held on January 22, 2019). The minutes of the fishery cooperative meeting are kept at the fishery cooperative office. The community gatherings include a self-governing body meeting such as a general meeting held twice a year, a fire brigade meeting and training held three times a year, and a night patrol at the beginning of the month. The minutes of the residents' meeting are kept at the office of the residents' association.	Compliant																a. The farm engages in consultations with the local community at least twice every year (bi-annually). Note: farms with less than 6 employees consultations once every year is sufficient. This may include local authorities and/or elected community representatives.b. Consultations are meaningful. OPTIONAL: the farm may choose to use participatory Social Impact Assessment (sSIA) or an equivalent method for consultations. c. Consultations include participation by elected representatives from the local community who were asked to contribute to the agenda.d. Maintain records and documentary evidence (e.g. meeting agenda, minutes, report) to demonstrate that consultations comply with the above.e. Be advised that representatives from the local community and organizations may be interviewed to confirm the above.

[illegible]

0.9	<p>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.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>The drug (hydrogen peroxide) used at Yamazaki Giken is described in the fingerling history report. Although there was a record of the disease name, medication period and drug name, the amount used was not recorded.</p> <p>Marugin Suisan's daily aquaculture report and drug records recorded the disease name, medication period and drug name, and amount used.</p>		Minor	<p>The drug used at Fingerling supplier was described in the fingerling history report, but amount used was not recorded.</p>		2020/4/1	2020/7/1	Open		<p>The total amount of chemicals used was not recorded in the fingerling history of Yamazaki Giken.</p>	<p>The type of drug was recorded, but the total amount of drug used was not recorded. We request Yamazaki Giken to record the amount used, and will continue to receive fingerling history in the same format.</p>	<p>We contacted Yamazaki Giken and asked them to note the total amount of chemicals used in the fingerling history from the next time. The amount of chemicals used on the fingerling itself is recorded by Yamazaki Giken.</p>	<p>The amount used is already known. From the next time onward, there will be a column for entering the amount in the history, and submission will be made without omission. We will prevent this by maintaining the same style in the future.</p>	<p>The amount of chemicals used (January 26, 2020) was reported by the fingerling supply company.</p> <p>Evidence Material: 8.5 Fingerling history</p>	<p>a. Prepare a letter informing egg and fry suppliers that they must disclose all chemical and antibiotic treatments on eggs and fry, along with stated rationale and the quantity used. b. Optional. Farm may conduct voluntary sat. tests on a subsample of fingerlings for each stocking event, to test for chemical and antibiotic use consistent with the supplier's declaration.</p>	<p>A. Verify that the farm has informed its suppliers that they must disclose information on chemical and antibiotic treatments together with the rationale for their use. B. Auditor includes in the audit report whether the farm has chosen to conduct chemical and antibiotic test on a subset of samples for each major stocking event.</p>
6.0	<p>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.</p> <p>Requirement: Not permitted.</p> <p>Applicability: All.</p>	<p>The farm did not have a list of antibiotics banned by EU law.</p> <p>There was a list of antibiotics listed as critically important for human medicine by the World Health Organization. The farm also notified the fingerling supplier and breeding contractor of the lists.</p> <p>Only OTC is used in the farm, its use is not prohibited in the EU and it is not a critically important antibiotic of WHO.</p>		Compliant	<p>Observation: The farm did not have a list of antibiotics banned by EU law.</p>		2020/4/1									<p>a. Inform fingerling suppliers in writing that the farm will not purchase from suppliers using any therapeutants or antibiotics that are banned under EU law or treated with anti-microbials defined as critically important by the WHO, unless otherwise stipulated in the ASC Sea bass, sea bream, and meagre standard. b. Compare any results from 8.6b to the farm's EU banned list and WHO critically important list to show that fingerling suppliers are in compliance.</p>	<p>A. Verify that the farm has a record of the statement sent to fingerling suppliers. B. Include a statement in the audit report, describing a) whether the farm undertook optional testing of their supplier's fingerlings and b) findings against the EU banned list and WHO critically important list.</p>
7.0	<p>Indicator: Presence of a fish health management plan implemented in agreement with the facility's designated veterinarian or fish health specialist</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>Yamazaki Giken, a fingerling supplier, has created a red sea bream fingerling health management plan (dated September 20, 2019) and was approved by a fish quarantine officer in Kochi Prefecture. At the time of delivery, the health condition was visually confirmed and described in the fingerling history report.</p> <p>Marugin Suisan, a fingerling fish breeder, also created a red sea bream health management plan (November 25, 2019), which was approved by the fish quarantine officer in Anan Town.</p> <p>Both confirmed the existence of a fish health management plan implemented based on the advice of designated experts.</p>		Compliant												<p>a. For every supplier of fingerlings to the farm, obtain a copy of the supplier's Fish Health Management Plan (FHMP). b. Ensure that the fingerling supplier's FHMP is reviewed and updated at least annually with signatures by management indicating approval. c. Ensure that the fingerling supplier's designated veterinarian reviews and approves the FHMP annually and after each update of the FHMP, by signature.</p>	<p>A. Verify that the farm obtains a FHMP from each fingerling supplier. B. Verify that the farm has record that supplier management approves review and update of the FHMP at least annually. C. Confirm that the farm has supplier documentation showing signature and date of review by designated veterinarian.</p>
8.0	<p>Indicator: Evidence of company-level policies and procedures that demonstrate the company's commitment to each of the 8 key ILO labor issues described in Principle 6.</p> <p>Requirement: Yes.</p> <p>Applicability: All.</p>	<p>Check the company pledge.</p> <p>There was a written pledge that confirmed the company-level policies and procedures for fingerling suppliers (18 December 2019) and fingerling breeders (20 January 2020) to comply with eight key ILO labor issues.</p>		Compliant												<p>a. Obtain a copy of the supplier's company-level policies and procedures relating to key ILO labor issues.</p>	<p>A. Verify that farm obtains copies of relevant company-level policies and procedures from suppliers. B. Review supplier policies and procedures (copy provided by the farm) to verify the supplier's commitment to address each of the 8 key ILO labor issues.</p>
8.9	<p>Indicator: Evidence of regular communication, engagement and consultation with surrounding communities</p> <p>Requirement: Yes</p> <p>Applicability: All</p>	<p>Yamazaki Giken, a fingerling supplier, releases red sea bream locally and interacts with local residents. There was a request for the release of fingerling from the Fukaura Branch of the Kochi Fisheries Cooperative Association (Example: May 10, 2019).</p> <p>Marugin Suisan, a fingerling breeder, participates in a meeting of the local Kura Fisheries Cooperative and regularly meets with local fishermen. Records of meetings such as general meeting materials and annual reports are kept.</p>		Compliant												<p>a. Ensure that the farm obtains documentary evidence from fingerling suppliers of regular communications with surrounding community as described under 7.1.1.</p>	<p>A. Examine copies of records and documentary evidence (e.g. meeting agenda, minutes, report) to verify that the farm's suppliers performed community consultations in compliance with requirements.</p>

Non Conformity closure delay Seabass, Seabream, Meagre

This field is automatically filled out in case of a delayed NC closure							
Indicator	Evaluation	NC reference number	Date request for delay received	Justification for delay	Next deadline	Request evaluation by CAB	Date request approved or declined
1.1.1	Compliant	FALSE					
1.1.2	Compliant	FALSE					
1.1.3	Compliant	FALSE					
1.1.4	Compliant	FALSE					
2.1.1	Compliant	FALSE					
2.1.2	Compliant	FALSE					
2.1.3	Compliant	FALSE					
2.1.4	Compliant	FALSE					
2.2.1	Minor	FALSE					
2.2.2	Compliant	FALSE					
2.2.3	Compliant	FALSE					
2.2.4	Compliant	FALSE					
2.3.1	Compliant	FALSE					
2.3.2	Compliant	FALSE					
2.3.3	Compliant	FALSE					
2.4.1	Compliant	FALSE					
2.4.2	Compliant	FALSE					
2.4.3	Compliant	FALSE					
2.4.4	Compliant	FALSE					
2.4.5	Compliant	FALSE					
3.1.1	Compliant	FALSE					
3.2.1	Compliant	FALSE					
3.3.1	Compliant	FALSE					
3.3.2	Compliant	FALSE					
3.3.3	Compliant	FALSE					
3.3.4	Compliant	FALSE					
3.3.5	Compliant	FALSE					
3.4.1	Compliant	FALSE					
3.4.2	Compliant	FALSE					
3.4.3	Compliant	FALSE					
3.4.4	Compliant	FALSE					
3.4.5	Compliant	FALSE					
4.1.1	Compliant	FALSE					
4.2.1	Compliant	FALSE					
4.2.2	Compliant	FALSE					
4.3.1	N/A	FALSE					
4.3.2	Compliant	FALSE					
4.3.3	Compliant	FALSE					
4.3.4	Compliant	FALSE					
4.4.1	Compliant	FALSE					
4.4.2	Compliant	FALSE					
4.4.3	N/A	FALSE					
4.5.1	Minor	FALSE					
4.5.2	Compliant	FALSE					
4.5.3	Compliant	FALSE					
4.5.4	Compliant	FALSE					
4.5.5	Compliant	FALSE					
4.6.1	Compliant	FALSE					
4.6.2	Compliant	FALSE					
4.6.3	Compliant	FALSE					
4.6.4	Compliant	FALSE					

Non Conformity closure delay Seabass, Seabream, Meagre

5.1.1	Compliant	FALSE					
5.1.2	Compliant	FALSE					
5.2.1	Compliant	FALSE					
5.2.2	Compliant	FALSE					
5.2.3	Compliant	FALSE					
5.2.4	Compliant	FALSE					
5.2.5	Compliant	FALSE					
5.3.1	Compliant	FALSE					
5.3.2	Compliant	FALSE					
5.3.3	Compliant	FALSE					
5.3.4	Compliant	FALSE					
6.1.1	Compliant	FALSE					
6.1.2	Compliant	FALSE					
6.1.3	Compliant	FALSE					
6.2.1	Compliant	FALSE					
6.2.2	N/A	FALSE					
6.3.1	Compliant	FALSE					
6.4.1	Compliant	FALSE					
6.4.2	Compliant	FALSE					
6.5.1	Compliant	FALSE					
6.5.2	Compliant	FALSE					
6.5.3	Compliant	FALSE					
6.5.4	Compliant	FALSE					
6.5.5	Compliant	FALSE					
6.5.6	Compliant	FALSE					
6.6.1	Compliant	FALSE					
6.6.2	Compliant	FALSE					
6.6.3	Compliant	FALSE					
6.7.1	Compliant	FALSE					
6.7.2	Compliant	FALSE					
6.8.1	Compliant	FALSE					
6.8.2	Compliant	FALSE					
6.9.1	Compliant	FALSE					
6.9.2	Compliant	FALSE					
6.10.1	Compliant	FALSE					
6.10.2	Compliant	FALSE					
6.11.1	N/A	FALSE					
6.11.2	N/A	FALSE					
7.1.1	Compliant	FALSE					
7.1.2	Compliant	FALSE					
7.1.3	N/A	FALSE					
8.1	Compliant	FALSE					
8.2	Compliant	FALSE					
8.3	Compliant	FALSE					
8.4	Compliant	FALSE					
8.5	Minor	FALSE					
8.6	Compliant	FALSE					
8.7	Compliant	FALSE					
8.8	Compliant	FALSE					
8.9	Compliant	FALSE					

ASC Audit Report – Traceability

10	Traceability Factor	Description of risk factor if present.	Describe any traceability, segregation, or other systems in place to manage the risk.
10.1	The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, produced within the same operation.	<p>Uchiumi Suisan Co., Ltd. produces red sea bream in a single fishery area in the Yutai. The farm plans to use all 37 cages for ASC. At the time of initial audit, only 4 cages met the ASC criteria. All future fingerlings will be subject to ASC, and all red sea breams are ASC certified, unless the use of antibiotics does not meet ASC standards. ASC target and non-target cages exist simultaneously.</p>	<p>There is a feeding and medication record for each cage. Segregation is possible even if ASC non-certified red sea bream occurs due to medication.</p> <p>Unique IDs are assigned to all cages, and cages that are subject to ASC are distinguished and managed and recorded independently. Once per production cycle, one cage is distributed to 4 cages, an ID is assigned to each cage, and each cage is managed separately.</p> <p>At present, four cages are subject to ASC, and their IDs are 1901AKIYAMA①, 1901AKIYAMA①A, 1901AKIYAMA②, and 1901AKIYAMA②A, respectively.</p> <p>Only red sea bream is cultivated in the farm, and there are no other fish species that look similar.</p>
10.2	The possibility of mixing or substitution of certified and non-certified product, including product of the same or similar appearance or species, present during production, harvest, transport, storage, or processing activities.	<p>Aquaculture is managed in cages, and even if there are ASC non-certified red sea breams, cages for ASC-targeted fish and non-targeted fish are segregated. If taken from the cage at the same time, certified and uncertified red sea bream may be mixed.</p>	<p>Fish are landed separately for each cage. Certified and non-certified red sea bream are not landed simultaneously. At the time of shipping, the fish are moved to a small cage for shipping, and the small cage is towed to the port for landing. There is no physical mixture of fish from another cage to this small cage. The fish once transferred to the shipping cage is not returned to the original cage.</p> <p>In the same bay there is a pearl farmer and one red seabream farmer in addition to the Uchiumi Suisan. The cages of the farms are connected by ropes, and since they are sufficiently separated from the cages of other farms, there is no risk of mixing or substitution with other farm's cages.</p> <p>Landing is carried out by one cage alone and transported by one truck.</p>

10.3	The possibility of subcontractors being used to handle, transport, store, or process certified products.	<p>The landed fish is transported by the contractor's live fish truck. Fish from other farms are also shipped on the same truck at the same time.</p> <p>When transporting ASC certified fish, there is a risk of replacing certified and uncertified fish baskets in live fish trucks. A segregation procedure is required.</p>	<p>Fish are loaded into trucks in a basket with a lid. Up to 8 fish can be put in one basket. The number of shipments is counted one by one and written on the slip. It is possible to trace back from the sales slip to the cage using the slip and cage IDs.</p> <p>Each farm has a unique color basket and the name is printed on each farm, so they are clearly distinguished. Furthermore, it can be identified as an ASC certified product by the ASC tag.</p> <p>The trucks arrive at a limited number of destinations, and baskets and slips identify ASC certified and non-certified products.</p>
10.4	Any other opportunities where certified product could potentially be mixed, substituted, or mislabelled with non-certified product before the point where product enters the chain of custody.	<p>Customers handle ASC certified and non-certified products. An identification procedure that does not mix with non-certified products is required when transporting live fish trucks.</p>	<p>Shipment baskets are identified to prevent replacement in live fish trucks during transport. The shipping basket has a unique color and name for each farm and is clearly distinguished from the baskets of other farms. The ASC tag can also be attached, it can be identified as a certified product, and replacement will not occur.</p> <p>The trucks arrive at a limited number of destinations, and baskets and slips identify ASC certified and non-certified products. Clearly identified by shipping basket and slip until shipping is complete. After the transportation is completed, the identification and trace will be managed within the scope of COC certification.</p>

	Owned by client	Subcontracted by client
10.4.a Total number of sites owned/subcontracted by client producing the same species that is included in the scope of certification	1	0
Number of sites included in the unit of certification	1	0

	Site name(s)	Reason(s)
10.4.b Site(s) within UoC that has product to be excluded from entering the chain of custody	none	
10.5 Detail description of the flow of certified product within the operation and the associated traceability system which allows product to be traced from final sale back to the unit of certification	<p>There is no storage, processing or shipping facility at the farm. From Uchiimi Suisan, live fish trucks transport the fish directly to the customers. ASC target fish will be sold to the fish processing factory of Dainichi. The Dainichi processing plant is scheduled to acquire CoC certification. After handing over to the processing plant, it will be within the scope of CoC certification.</p> <p>Fish are landed separately for each cage. Certified and non-certified red sea bream are not landed simultaneously. At the time of shipping, the fish are moved to a small cage for shipping, and the small cage is towed to the port for landing. There is no physical mixture of fish from another cage to this small cage. The fish once transferred to the shipping cage is not returned to the original cage.</p> <p>Fish are loaded into trucks in a basket with a lid. Up to 8 fish can be put in one basket. The number of shipments is counted one by one and written on the slip. It is possible to trace back from the sales slip to the cage using the slip and cage IDs.</p> <p>Each farm has a unique color basket and the name is printed on each farm, so they are clearly distinguished. Furthermore, it can be identified as an ASC certified product by the ASC tag.</p>	

10.6 **Traceability Determination:**

10.6.1 The traceability and segregation systems in the operation are sufficient to ensure all products identified and sold as certified by the operation originate from the unit of certification, or	<p>Basically, all cages are subject to ASC certification, and there is no risk of replacement at farms. Cages that do not meet ASC criteria due to the use of antibiotics are identified as non-certified cages and are clearly separated from certified cages.</p> <p>As described in 10.5, there is a procedure to prevent the mixture, and the shipping slip and the shipping basket are identified by the ASC mark etc. to prevent replacement. It can be judged that the mechanism to trace back from the time of sale to the cage is sufficient.</p>
10.6.2 The traceability and segregation systems are not sufficient and a separate chain of custody certification is required for the operation before products can be sold as ASC-certified or can be eligible to carry the ASC logo.	As mentioned above, from landing to transportation, the risk of replacement and traceability is low, and it can be concluded that another COC certification is not required.
10.6.3 The point from which chain of custody is required to begin	The following COC certification is required from the time the red sea bream is transported from the farm and delivered to the shipping destination.
10.6.4 If a separate chain of custody certificate is required for the unit of certification	none

For Multi-site clients

ASC Audit Report – Closing

12 Evaluation Results

12.1 A report of the results of the audit of the operation against the specific elements in the standard and guidance documents	The operation of Uchiumi Suisan meets the requirements of ASC seabass, seabream and meagre Standard v.1.1.
12.2 A clear statement on whether or not the audited unit of certification has the capability to consistently meet the objectives of the relevant standard(s)	The audited certification unit has the ability to consistently meet the objectives of the relevant standards.
12.3 In cases where BEIA or PSIA is available, it shall be added in full to the audit report. IF these documents are not in English, then a synopsis in English shall be added to the report.	There is no BEIA or PSIA available.

13 Decision

13.1 Has a certificate been issued? (yes/no)	No
13.2 The Eligibility Date (if applicable)	yyyy/mm/dd
13.3 Is a separate CoC certificate required for the producer? (yes/no)	No
13.4 If a certificate has been issued this section shall include:	
13.4.1 The date of issue and date of expiry of the certificate.	The date of issue: The date of expiry of the certificate:
13.4.2 The scope of the certificate	DAINICHI Corporation and Uchiumi Suisan Co., Ltd. red sea bream farm Type of products: red sea bream farm (Pagrus major) Activities: Grow-out, harvesting and transportation Standard: ASC Seabass/ bream and meagre Standard Version 1.1 March 2019
13.4.3 Instructions to stakeholders that any complaints or objections to the CAB decision are to be subject to the CAB's complaints procedure. This section shall include information on where to review the procedure and where further information on complaints can be found.	Please contact AMITA Corporation for complaints procedure. Address: 3-2-4 Kudankita, Chiyoda-ku, Tokyo, 102-0073 Japan E-mail: ninsho@amita-net.co.jp

14 Surveillance

14.1 Next planned Surveillance

14.1.1 Planned date

14.1.2 Planned site

14.2 Next audit type

14.2.1 Surveillance 1

14.2.2 Surveillance 2

14.2.3 Re-certification

14.2.4 Other (specify t