



PANGASIIUS AQUACULTURE DIALOGUE STANDARDS

Created by the
Pangasius Aquaculture Dialogue

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Published August 31, 2010

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INTRODUCTION

Aquaculture is the fastest growing food production system in the world. Global production from aquaculture is growing substantially and this trend is projected to continue.

The aquaculture industry provides significant quantities of food for human consumption, as fish is a key source of protein for many people. The industry also creates millions of jobs on and off the farm. With appropriate management, aquaculture can be environmentally and socially sustainable, meet the growing need for aquatic food and contribute to food security, poverty reduction and sustainable economic development.

As with any rapidly growing industry, the growth in aquaculture production often raises concerns about negative social and environmental impacts, such as water pollution, the spread of diseases and unfair labor practices at farms. And as in any industry, there are some businesses addressing these issues well and some that are not doing so at all or are doing so poorly. It is important that we face the challenge of promoting practices that contribute to resolving these issues, while reducing those that have a negative impact.

One solution to this challenge is creating voluntary standards for aquaculture production, as well as a process for certifying producers who adopt the standards. Such certified products can help reassure retailers, restaurants, food service companies and other seafood buyers that the aquaculture products they purchase were produced responsibly.

Through a multi-stakeholder process called the Pangasius Aquaculture Dialogue (PAD), science-based standards for the pangasius aquaculture industry have been created. With minor exceptions, the standards are numbers and/or performance levels that must be reached to determine if an issue is being addressed. The standards, when adopted, will help minimize the key negative environmental and social issues associated with pangasius farming.

- Each standard is based on an issue, impact, principle, criteria and indicator, as defined below:
Issue: A concern to be addressed
- Impact: Matters that need to be minimized
- Principle: The high-level goal for addressing the impact
- Criteria: The area to focus on to address the impact
- Indicator: What to measure in order to determine the extent of the impact

The PAD standards are the product of the 600-plus people who participated in the PAD from September 2007 until its completion in August 2010. This includes producers, environmental and social non-governmental organizations, retailers, aquaculture associations, academics, researchers, government representatives, independent consultants and others. The PAD was coordinated by World Wildlife Fund (WWF).

The PAD process and full suite of standards are described in this document, along with the underlying rationales for how particular standards are intended to address key impacts. The document will be supplemented by auditor checklists and guidance documents detailing the methodologies used to determine if the standards are being met, as well as a Better Management Practices (BMP) manual explaining specific steps that can be taken by producers to achieve the standards. The BMP manual will be particularly useful to those producers who do not have the capability to test new and innovative techniques that could be used to meet or exceed the PAD standards.

For additional information about the PAD, including meeting summaries and presentations, go to www.worldwildlife.org/pangasiusdialogue

UNDERSTANDING STANDARD SETTING, ACCREDITATION AND CERTIFICATION

Certification is the verification of compliance with a set of performance-based standards. Certification schemes encompass the processes, systems, procedures and activities related to three functions: 1) standard setting, 2) accreditation and 3) certification (i.e., verification of compliance, also known as “conformity assessment”). These functions are described in more detail below. Understanding each function and the link between them is important to comprehending the PAD process.

For aquaculture certification to be credible, it must be consistent with rigorous procedures for standard setting, accreditation and certification. The certification scheme must establish and maintain the confidence of the producers and industry operators involved in aquaculture activities, as well as the confidence of other stakeholders, including consumers, governments and civil society groups.

For standard setting, which is the process of creating the acceptable tolerance levels or limits of impacts, it is essential that the process is not dominated by one or a few stakeholder groups. It is critical that aquaculture standard-setting processes and certification schemes adequately incorporate the experiences and expertise of a broad and diverse group of people who are interested in aquaculture (e.g., producers who use different management practices, conservationists from local and international organizations, and scientists who specialize in different fields related to aquaculture) in an inclusive, transparent process. Attention to the needs and conditions of small-scale producers and their communities is particularly important. If the standards are to be global, they must include stakeholders from around the world.

The “Code of Good Practice for Setting Social and Environmental Standards” created by the International Social and Environmental Accreditation and Labelling (ISEAL) Alliance, provides the guidelines under which standard setting could take place. The goal of the PAD was to follow the code. WWF, on behalf of the PAD and the seven other Aquaculture Dialogues, is an associate member of ISEAL.

For accreditation, which is the process of authorizing entities to verify compliance with the standards, it is important that there is no conflict of interest between the standard setting body, the entity that manages the standards, the accreditor and the certification bodies. Sufficient separation is required between these components to maintain independence and credibility.

For certification, which is the process of verifying compliance with the standards, it is critical that there is no conflict of interest between the certification body and the farm seeking certification, the standard setting body, the entity that manages the standard, and the accreditors. For this reason, such certification, defined as third-party, is the most transparent, credible and trustworthy process. Through this process, an accredited, independent certification body analyzes the process or product, and issues certificates for processes or products that are compliant.

PURPOSE, JUSTIFICATION AND SCOPE OF THE STANDARDS

Purpose of the Standards

The purpose of the PAD standards is to provide a means to measurably improve the environmental and social performance of pangasius aquaculture development and operations.

Justification for the Standards

The justification for the standards, as agreed by consensus at the first PAD meeting, is based on the following points:

- Pangasius is increasingly popular among consumers. While it used to only be eaten in Vietnam, it is now exported to more than 100 international markets.

- Pangasius farming is experiencing an extremely fast growth, with production increasing more than 60-fold in the last decade.
- There is a desire by the stakeholders who participated in the PAD to safeguard the sustainability of pangasius farming and consumers' safety, therefore maintaining quality and productivity.
- There is a need to be proactive rather than reactive to problems.
- There is a need for a multi-stakeholder, consensus-based and transparent process to create metrics-based standards.

Scope of the Standards

Issue areas of pangasius aquaculture to which the standards apply

The PAD established principles, criteria, indicators and standards to address the negative social and environmental issues related to pangasius aquaculture.

Operational components of pangasius aquaculture to which the standards apply

Pangasius aquaculture and its value chains generally consist of the following operational components:

- Supply chain inputs (e.g., water, seed, feed, chemicals and medicines)
- Production systems (e.g., ponds, pens and cages, as well as the other equipment and operations associated with production)
- Processing
- Chain of custody (e.g., from production, through processing, export, import, distribution and retail)

These standards are designed to address the most significant impacts of pangasius aquaculture, which are mostly from the production systems and the immediate inputs to production (e.g., feed, seed and water).

These standards apply to all production systems currently used for pangasius production, such as ponds, pens and cages. Throughout these standards, the word “farm,” therefore, is used to indicate an establishment which uses either ponds, pens or cages to produce pangasius.

Species and geographic scope to which the standards apply

The PAD standards apply to the production of two pangasius species: *Pangasianodon hypophthalmus*¹ and *Pangasius bocourti*².

The PAD standards apply globally to all locations and any scale of pangasius aquaculture production system.

Unit of certification to which the standards apply

The unit of certification is the specific aquaculture operation to be assessed and monitored for compliance with the standards. The size of the production operation can vary considerably and needs careful consideration when determining the entity that will seek certification. As the focus of these standards is on production and the immediate inputs to production, the unit of certification will typically consist of a single farm or some other, yet to be defined, entity.

The unit of certification may also encompass a group of operations that, logically, should be considered collectively, especially in the case of small-scale farms producing the same species and using similar management regimes. For example, they may be in close proximity to each other, share resources or infrastructure (e.g., water sources or effluent discharge systems), share a landscape unit (e.g., a watershed), and/or be under the same management. This group or cluster must be a legal entity that shares a common management structure so that the PAD standards are binding for each individual producer. Certification will not be transferable to another farm, production site or production system that does not undergo auditing.

¹ Common name in Vietnam: tra

² Common name in Vietnam: basa

Regardless of the specific situation, farms and other users often can have cumulative negative effects on the environment and society. As a result, some of the PAD standards are independent of what a producer can achieve at the farm level and rely on the efforts of the producer to act as an advocate and steward of their environment.

PROCESS FOR CREATING THE STANDARDS

The PAD standards were developed through transparent, consensus-oriented discussions with a broad and diverse group of stakeholders.

The steps in the process are described below:

- Under the leadership of WWF, the PAD was created in 2007.
- In 2007, WWF notified ISEAL of the intent to apply the “Code of Good Practices for Setting Social and Environmental Standards” to the PAD. ISEAL approved this step and accepted WWF as an associate member on behalf of all of the Aquaculture Dialogues.
- From 2007 to 2010, all PAD meetings were publicized on the Aquaculture Dialogues website, in seafood trade publications, and in several other publications read by key stakeholders. Key stakeholders also were asked directly by WWF and others to participate in the PAD in order to ensure its credibility. This was in line with the PAD’s goal of opening up the process to anybody with an interest in pangasius aquaculture.
- From 2007 to 2010, five PAD meetings were held in Vietnam to discuss and finalize the PAD process, governance structure, goals, objectives and standards document.

| DATE | LOCATION | PARTICIPANTS |
|-----------------------|------------------|--------------|
| September 26-27, 2007 | Ho Chi Minh City | 81 |
| March 27-28, 2008 | Can Tho | 103 |
| December 3-4, 2008 | Can Tho | 83 |
| August 5-6, 2009 | Ho Chi Minh City | 107 |
| March 4-5, 2010 | Can Tho | 121 |

- In 2007, PAD participants agreed on eight key environmental and social issues associated with pangasius aquaculture and on the principles to address each issue.
- In 2007, PAD participants agreed on the objectives of and justification for the PAD, as well as the PAD process.
- In 2008, PAD participants agreed on the following governance structure for the development of the standards:
 - The Process Facilitation Group (PFG) was charged with managing the PAD process. (See list of PFG members in Annex A.)
 - Seven technical working groups (TWGs), one for each principle, were charged with drafting the principles, criteria, indicators and standards. (See list of TWG members in Annex B.)
 - Final decision-making authority was given to the participants of the PAD meetings. Final decisions were made by consensus. The PAD used the definition of “consensus” provided by the International Organization for Standardization, which is: “General agreement, characterized by the absence of

sustained opposition to substantial issues by any important part of the concerned interests and by a process seeking to take into account the views of interested parties, particularly those directly affected, and to reconcile any conflicting arguments. Consensus need not imply unanimity.”

- In 2008, each TWG appointed a coordinator responsible for moderating the TWG discussions and compiling the TWG outcomes. (See list of coordinators in Appendix B.)
- In 2008, TWG members held discussions by e-mail and through in-person meetings until they reached consensus (although sometimes not unanimity) on the draft principles, criteria, indicators and standards.
- In December 2008, the first draft of the principles, criteria, indicators and standards were presented at a PAD meeting. Input from the meeting was used by the TWGs and PFG to revise the document.
- In 2008 and 2009, the PAD held outreach meetings with key stakeholders to engage them in the PAD process and receive their feedback on the draft standards. These included thorough consultations with small-scale farmers in An Giang, Dong Thap and Can Tho provinces which were conducted through field visits (some which was part of two international M.Sc. theses largely focused on assessing the challenges of small-scale pangasius farmers in complying with the standards). Outreach also included ad hoc meetings with processors and government officials at the provincial and national levels.
- In April 2009, the draft standards document was posted for the first of two 60-day public comment periods.
- In August 2009, the feedback from the first public comment period—as well as some key questions regarding the feedback – was presented and discussed at a PAD meeting. The PAD participants reached consensus (although sometimes not unanimity) on all matters discussed.
- From September to October 2009, the TWGs met to revise the standards document, based on decisions made by the PAD participants.
- In November 2009, the revised standards document was posted for the second of two 60-day public comment periods.
- In December 2009, the feedback from the first public comment period, as well as the PFG’s and TWGs’ answers to the comments received, was posted on the PAD website.
- In March 2010, the feedback from the second public comment period—as well as some key questions regarding the feedback—was presented and discussed at a PAD meeting. The PAD participants reached consensus (although sometimes not unanimity) on all matters discussed.
- From March to July 2010, the TWGs met to revise the standards document, based on decisions made by the PAD participants.
- In September 2010, the feedback from the second public comment period, as well as the TWGs’ answers to the comments received, will be posted on the PAD website.
- The standards document was finalized in August 2010.
- A total of 638 people have been actively involved in the process, as summarized in the table below.

| TYPE OF STAKEHOLDER | NUMBER OF STAKEHOLDERS |
|--|------------------------|
| Farmer | 110 |
| Academia | 106 |
| Government | 73 |
| Input supplier (e.g., seed, feed and chemicals) | 53 |
| NGO | 52 |
| Non-farmer (e.g., employee and agriculture farmer) | 51 |
| Farmer cum processor | 48 |
| Media | 42 |
| Consultant | 39 |
| Buyer | 37 |
| Certifier | 11 |
| Processor | 8 |
| Inter governmental organization | 8 |

CONTINUOUS IMPROVEMENT OF THE PAD STANDARDS

As stated in the ISEAL “Code of Good Practices for Setting Social and Environmental Standards,”

“... Standards shall be reviewed on a periodic basis for continued relevance and effectiveness in meeting their stated objectives and, if necessary, revised in a timely manner.”

It is implicit in the development of the PAD standards that the numerical values, or “tolerance levels,” will be raised or lowered over time to reflect new data, improved practices and new technology. These changes will correspond to a lessening of impacts rather than an increase in impacts. Changes to other components of the PAD standards are also recognized as a way to reward better performance and, as science and technology allow for more precise and effective measures, the PAD shall remain open to adopt these new findings within the scope of the PAD standards.

1. PRINCIPLE: LOCATE AND OPERATE FARMS WITHIN ESTABLISHED LOCAL AND NATIONAL LEGAL FRAMEWORKS

Issue: Legal compliance

Principle 1 reinforces the need to follow national and local laws wherever pangasius farming is taking place. The standards go beyond the law and serve as a complement to the legal framework in pangasius producing countries. Although the PAD standards may be different from the laws where pangasius aquaculture is practiced, under no circumstance should the PAD standards contradict such laws.

1.1 Criteria: Local and national regulations

| INDICATOR | STANDARD |
|---|----------|
| 1.1.1 Presence of all pertinent permits and registrations required by local and national authorities | Yes |
| 1.1.2 Presence of documents proving compliance with pertinent tax laws | Yes |
| 1.1.3 Presence of documents proving compliance with pertinent water discharge (including water effluents) regulations | Yes |
| 1.1.4 Presence of documents proving compliance with local and national legal regulations on land and water use | Yes |

Rationale—Local and national regulations shall be adhered to, as local regulations sometimes concern a different level of detail compared with national regulations. In cases of conflict between national and local regulations, national laws take precedence.

As it is extremely difficult to audit for compliance to all laws in a country, PAD stakeholders decided the focus of the standards should be the four indicators included under this criteria.

Due consideration shall also be given to customary laws³ and are addressed within Principle 7.

³ Customary law: Traditional common rule or practice that has become an intrinsic part of the accepted and expected conduct in a community

2. PRINCIPLE: FARMS MUST BE LOCATED, DESIGNED, CONSTRUCTED AND MANAGED TO AVOID (OR, AT LEAST, MINIMIZE) THEIR NEGATIVE IMPACTS ON OTHER USERS AND THE ENVIRONMENT

Issue: Land and water use

The responsible use of land and water resources is fundamental to sustainable pangasius aquaculture. The siting, design and construction of pangasius farms often have a negative impact on other resource users and the environment. To address this, a growing number of countries have established land and water use plans. Some also have created aquaculture development plans and zoning regulations for certain aquaculture activities. Respecting these planning decisions and adding additional considerations to ensure environmental and social sustainability forms the basis of the following section of the PAD standard.

2.1 Criteria: Meeting official development plans

| INDICATOR | STANDARD |
|---|----------|
| 2.1.1 Farm ⁴ located in approved aquaculture development areas | Yes |

Rationale—Although some countries may not have aquaculture development plans identifying approved aquaculture development areas, it is important, when these plans exist, to confirm that the unit of certification is within the identified zone. In areas where there is no official aquaculture development plan, the PAD assessment will serve as the appropriate intermediary tool.

2.2 Criteria: Conversion of natural ecosystems

| INDICATOR | STANDARD |
|---|----------|
| 2.2.1 For ponds ⁵ , evidence ⁶ that only land that has been allocated to agriculture or aquaculture for 10 years prior is used for new pond development or for farm expansion | Yes |
| 2.2.2 Evidence that a contribution of at least USD \$0.50 per ton of fish produced has been paid to the environmental and social restoration fund ⁷ annually | Yes |
| 2.2.3 Evidence ⁸ that no earth has been discharged into common ⁹ water bodies | Yes |
| 2.2.4 Evidence ¹⁰ of no negative impacts on endangered species ¹¹ | Yes |

⁴ Pond, cage and pen-based facilities

⁵ For Ponds established after the publication of the PAD standards

⁶ From government organizations

⁷ To be identified by the Aquaculture Stewardship Council (ASC). If a fund has yet to be created and recognized by the ASC at the time of auditing, then standard 2.2.2 will not be considered

⁸ For ponds established after the publication of the PAD standards

⁹ Exception made for discharge into water bodies belonging to the farm and without negative impacts to other water resource users

¹⁰ Farmers shall submit the result of a search of published and grey (e.g. local newspapers, magazines) literature. Statements from local communities and organizations shall also be produced

¹¹ As set by IUCN and national authorities

Rationale—As pangasius farming is conducted in a relatively limited production area and farms are most commonly established by converting rice fields, certified PAD farms must be able to establish and expand into land that has been allocated for farming for the last 10 years without having to convert natural ecosystems (e.g. mangroves and wetlands). Establishment of the farm and expansion of an existing farm shall not result in conversion of wetlands (following the RAMSAR¹² definition¹³) and any other ecosystems other than agriculture or aquaculture land.

Farms established before the PAD standards were issued may have caused negative impacts on the environment or society. In addition, pangasius farms must use land and water, which, most likely, are associated with a certain degree of impact on the environment and other resource users. For these reasons, the PAD decided to establish a restoration fund to support activities aimed at compensating for such impacts. At the time of writing of these standards there was no restoration fund in place. However, it is expected that the Aquaculture Stewardship Council (ASC)¹⁴ will identify such a fund.

Discharge of earth during farm construction has been reported by some local communities as having affected their livelihood by negatively impacting water quality. Discharge of land in water bodies also affects the aquatic ecosystem. This practice should, therefore, be avoided.

An increasing number of species worldwide become endangered because of human activities. Pangasius farming should be conducted in a way that does not put further pressure on those species.

2.3 Criteria: Site connectivity

| INDICATOR | STANDARD |
|--|--|
| 2.3.1 Farm does not impede navigation, aquatic animals or water movement | Yes |
| 2.3.2 For cages, minimum width of the water body ¹⁵ without cages (see Diagram 1, Annex C) | ≥ 50% |
| 2.3.3 For pens, maximum width a farm can occupy, calculated when the water body level/width is at its minimum (see Diagram 2, Annex C) | ≤ 20% percent of the width of the water body |
| 2.3.4 For pens, maximum number of contiguous pens allowed (see Diagram 3, Annex C) | Two, only if a stretch of river bank that is at least the length of the two pens is left free from farms on both sides of the pens |

Rationale—Indicators 2.3.1–2.3.3 are meant to ensure that pangasius farms operate in a manner that allows boats and aquatic organisms to move (both horizontally and vertically) in what the PAD has coined a “reasonable space.” Reasonable space means the available space, where the siting of farms would not obstruct

¹² The Convention on Wetlands (Ramsar, Iran, 1971) -- called the "Ramsar Convention" -- is an intergovernmental treaty that embodies the commitments of its member countries to maintain the ecological character of their Wetlands of International Importance and to plan for the "wise use", or sustainable use, of all of the wetlands in their territories (www.ramsar.org).

¹³ Areas of marsh, fen, peatland or water, whether natural or artificial, permanent or temporary, with water that is static or flowing, fresh, brackish or salt, including areas of marine water the depth of which at low tide does not exceed six metres

¹⁴ The ASC, which is expected to be in operation by 2011, will be responsible for working with independent, third party entities to certify farms that are in compliance with the Aquaculture Dialogue standards.

¹⁵ Water body: Any pond, lake, canal, river, stream or any other distinct mass of water, whether publicly or privately owned, including the banks and shores thereof.

or cause major diversions for navigation. Reasonable space also applies to operational activities of farms (e.g., repairing activities). These should not impede boat and aquatic organism movement.

The PAD recognizes that the water bodies used for pangasius production are important, economically, for other types of industries that may use them for transport. A main driver for the standards in 2.3 is to minimize user conflicts. Standard 2.3.4 is meant to allow for organisms living on the banks to have a “reasonable” space available, in spite of the fact that pens obstruct complete access to the river bank where they are located.

2.4 Criteria: Water use

| INDICATOR | STANDARD |
|--|---|
| 2.4.1 Farm complies with water allocation ¹⁶ limits set by local authorities or a reputable independent institution ¹⁷ | Yes |
| 2.4.2 For ponds, maximum ratio of total water abstracted ¹⁸ (not consumed) per ton of fish produced. Calculate abstracted water using formula in Annex D. | 5,000 m ³ /metric ton of fish produced |

Rationale—Water use is an increasingly important global issue and its efficient use is an important part of sustainable production. Pangasius production can require higher levels of water use compared to terrestrial animal food production. The PAD has included a water efficiency standard to encourage responsible water use. The 5,000 m³/metric ton of fish produced standard was set using actual data submitted by PAD stakeholders. It will serve as a starting place for the standards and be revised in future versions of the standards.

If the water allocation limits differ from the set 5,000 m³/metric ton of fish produced, then farmers must comply with both standards.

¹⁶ Valid for both surficial water and groundwater. Surficial water is defined as “water collecting on the ground or in a stream, river, lake, wetland or ocean.” Groundwater is defined as “water beneath the earth’s surface that supplies wells and springs.”

¹⁷ A reputable independent institution can be a government organization, an academic institution or an organization that is not linked specifically to the aquaculture sector, but has generated water use parameters for the region, or is responsible for water allocation. Reputability of the institution shall be demonstrated by the farmer showing peer reviewed articles and/or reports on water allocation. Documents produced for a sector other than aquaculture are also acceptable. A track record of at least three years of operation must be available.

¹⁸ Water abstracted is water removed from the water body and introduced into the farm. It includes both surficial water and groundwater

3. PRINCIPLE: MINIMIZE THE NEGATIVE IMPACT OF PANGASIOUS FARMING ON WATER AND LAND RESOURCES

Issue: Water pollution and waste management

The PAD recognizes it is difficult to operate commercial pangasius culture systems without having some impact on the water used. However, it is important to control the most important water parameters, such as nitrogen and phosphorous, and to develop specific water quality standards for them. Monitoring of effluent water quality is critical to ensuring the aquaculture operations are not generating unacceptable levels of pollution.

The values used in these standards were based on actual data provided by producers and experts. The PAD agreed to set the standard by using the median of all available data. However, in the absence of practical data from the producers, inputs from technical experts were considered as a starting point for this standard. It is expected that these numbers will change and the rationale for each one will be clarified as the standard is improved over time.

3.1 Criteria: Nutrient utilization efficiency

| INDICATOR | STANDARD |
|---|-----------|
| 3.1.1 For cages and pens, maximum amount of total phosphorus (TP) ¹⁹ added as feed per metric ton of fish produced | 20 kg/t |
| 3.1.2 For cages and pens, maximum amount of total nitrogen (TN) ²⁰ added as feed ²¹ per metric ton of fish produced | 70 kg/t |
| 3.1.3 For ponds, amount of TP discharged per metric ton of fish produced (See TP measurement methodology and calculation in Annex D) | 7.2 kg/t |
| 3.1.4 For ponds, amount of TN discharged per metric ton of fish produced (See TN measurement methodology and calculation in Annex D) | 27.5 kg/t |

Rationale—Efficient use of nutrients in pangasius culture is key to better production in any type of system, as efficient nutrient utilization may result in less negative impacts on the receiving water bodies. There are several parameters that can be used to measure the impact of farm effluent on the water quality of a given water body (e.g., phosphorus, nitrogen, biological oxygen demand, chemical oxygen demand and suspended solids). However, members of the PAD agreed to prioritize the parameters that will be used in this standard and focus only on the most important nutrients: nitrogen and phosphorus. Both nitrogen and phosphorus are key nutrients that affect eutrophication, and both are released from the culture system through feeds and fertilizer.

¹⁹ TP includes all forms of phosphorus found in the sample (Adapted from Australian Government, Department of Meteorology)

²⁰ TN means the measure of all forms of nitrogen found in the sample, including nitrate, nitrite, ammonia N and organic forms of nitrogen (Australian Government, Department of Meteorology)

²¹ Feed refers to all feeds or feed items, regardless of where or how they are produced, and applies to all farms seeking certification. Farms that meet the standards should be able to demonstrate compliance, regardless of whether their feed is made by a commercial feed mill or on site. See Principle 5 for further details.

The level and amount of phosphorus and nitrogen was set using data provided by producers who are directly and indirectly involved in the PAD process. The PAD agreed that the median of the available data was to be used instead of the mean. It should be noted that the value set in this standard is just the starting point and will be revised when relevant data becomes available.

Best estimates for TN and TP efficiency in cages and pens were taken from industry experts.

3.2 Criteria: Measuring water quality in receiving water body

| INDICATOR | STANDARD |
|---|----------|
| 3.2.1 Percentage change in diurnal dissolved oxygen ²² (DO) of receiving waters ²³ relative to DO at saturation for the water's specific salinity and temperature. An exception is made for ponds that discharge water with TN and TP lower than the TN and TP of the intake water respectively (See DO measurement methodology in Annex D) | <=65% |

Rationale—Diurnal fluctuation is the only parameter that the PAD considered in determining the impact of farm effluent on the quality of the receiving water body. Fluctuation of the level of oxygen in a given water body is influenced by the rate of photosynthesis and respiration in the said environment. The rate of fluctuation in a given water body can be best observed by comparing early morning DO levels to those in the late afternoon, as during the early morning DO is usually low because of animal and plant respiration. Conversely, DO peaks in the late afternoon, having built up through photosynthetic activity that releases oxygen in the water during daylight hours. The percentage change in DO is a good indicator of the biological activity in the water. A lower value of percentage change of DO indicates a healthy water body. In order to minimize the contribution of aquaculture activities to eutrophication and to maintain the good quality of the natural water bodies, the PAD included a set level for diurnal change. Measurements for DO must be taken twice during the day, one sample 1h (± 30min) before sunrise and the second two hours (± 30min) before sunset in order to get the maximum and the minimum levels.

Exemptions to this standard were also identified and apply to farms that have “cleaner” water (i.e., where the value of the farm TP and TN is lower than that of the intake water), showing that the farm has an overall “cleaning” effect on water. This applies, regardless of whether the receiving water is eutrophic. Although this may not be common practice at the time when these standards were written, this exception has been included in the standards.

²² DO is the concentration of oxygen dissolved in water, expressed in mg/l or as percent saturation, where saturation is the maximum amount of oxygen that can theoretically be dissolved in water at a given altitude and temperature (biology-online.org)

²³ “Receiving water” is the first natural water body that receives the water from the farm and does not belong to the farm

3.3 Criteria: Measuring quality of pond effluents²⁴

| INDICATOR | STANDARD |
|---|----------|
| 3.3.1 Maximum average percentage change of TP between inlet and outlet (See TP measurement methodology and TP discharge formula in Annex D) | 100% |
| 3.3.2 Maximum average percentage change of TN between inlet ²⁵ and outlet ²⁶ (See TN measurement methodology and TN discharge formula in Annex D) | 70% |
| 3.3.3 Minimum dissolved oxygen (DO) concentration in water discharged (See DO measurement methodology in Annex D) | 3 mg/l |

Rationale—The PAD determined that monitoring the amount of nutrients being released to the water from a pond system is not enough to determine or control the amount of nutrients being released into the natural environment. Hence, monitoring of the quality of water being released from the pond system is also included in the standard.

The PAD determined key water parameters that need to be monitored in this standard. Percent change, not absolute value, will be set as the standard because the latter does not consider the quality of water that is coming into the aquaculture system.

3.4 Criteria: Sludge disposal for ponds and pens, not cages²⁷

| INDICATOR | STANDARD |
|---|----------|
| 3.4.1 Evidence that sludge is not discharged directly into receiving waters or natural ecosystems ²⁸ | Yes |
| 3.4.2 Evidence of a sludge repository of appropriate size (See Sludge Repository formula in Annex D) | Yes |

Rationale—Waste management is closely related to water pollution issues. Sludge from ponds must be disposed of properly²⁹ and not discharged into public water bodies (i.e., places that are shared or belong to the government), given that sludge can be a significant pollution source.

²⁴ This criteria is not pertinent to either cage or pen cultures

²⁵ Inlet: The water in the intake canal, as close as possible to the farm or pond being certified

²⁶ Outlet: The actual water being discharged, not the receiving water

²⁷ For cage culture, there are no standards for benthic monitoring included, as cages account for a small percentage of production. This situation will be monitored and revised if the production of cage culture rises significantly.

²⁸ "The complex of a community and its environment functioning as an ecological unit in nature." More simply, it's both living and non-living things that interact with each other. In these standards, both the terrestrial and aquatic ecosystems are considered.

²⁹ Proper disposal includes delivery to a regulated or dedicated landfill or farmers may re-use the sludge. Evidence of the re-use needs to be available for the audit process. Examples of re-use methods allowed by the standards are, as fertilizer or soil conditioner for the production of agriculture crops as landfill and other construction-related uses.

3.5 Criteria: Waste management

| INDICATOR | STANDARD |
|---|----------|
| 3.5.1 Evidence of farm solid wastes being discharged into the natural environment | None |
| 3.5.2 Evidence of human and animal solid wastes being discharged into the natural environment | None |
| 3.5.3 Evidence of chemical and medicine wastes being discharged into the natural environment | None |
| 3.5.4 Evidence of proper disposal ³⁰ of dead/moribund fish | Yes |

Rationale—The construction and operation of pangasius farms involves the use of hazardous chemicals (e.g., combustibles, lubricants and fertilizers) and generates waste. The storage, handling and disposal of such hazardous materials and waste must be done responsibly, according to the law minimizing their respective potential impacts on the environment and human health. The PAD defines quantifiable indicators that imply the implementation of a management plan and the separation of waste, depending on their destination. The PAD determined that all hazardous materials and waste must be strictly controlled and that the proportion of recycled waste shall be improved over time, with an initial target of 50% of recyclable wastes. Another major waste stream is dead and moribund fish removed from ponds. Proper disposal (e.g., burial or incineration) is necessary to ensure that this waste does not impact the environment.

In the case of mass mortalities associated, for example, with pesticide/chemical pollution of the intake water or abnormal water conditions (linked to abnormal weather incidences), the farm shall still adopt proper disposal of the dead fish.

3.6 Criteria: Energy consumption

| INDICATOR | STANDARD |
|---|----------|
| 3.6.1 Information available on the following variables (per year per farm in the certification unit): – Fuel Used – Quantity of electricity – Amount of dead fish for each disposal method adopted | Yes |

Rationale—Energy is consumed throughout the culturing, harvesting, processing and transportation stages of pangasius production. There are also many other energy drains to consider, such as energy consumed during the construction of facilities, while maintaining and updating facilities, during the production of those construction

³⁰ Proper disposal of dead fish include: incineration, burial, fermentation and use as fertilizer and production of fish meal or fish oil. Dead fish should never be used for human consumption. Also acceptable if there is strong evidence that the mortality was not caused by an infectious agent or a pesticide/chemical pollutant, the fish can be used as feed for animals other than pangasius. Evidence on the cause of mortality shall be provided by the aquatic animal health specialist (see Principle 6)

materials, and during the production of liming materials, fertilizers and other inputs. The PAD acknowledges that, at this time, there is insufficient data available for setting energy use standards. Therefore, the PAD standards require the collection of energy consumption data by audited farms in order to be able to set up energy standards in the future. To be useful for addressing the issue of carbon emissions in the future, data collection needs to be as exhaustive as possible so that the conversion of energy consumption to carbon emissions will be feasible.

All dead fish will lead to the production of greenhouse gases. Therefore, the amount of dead fish and the method adopted to dispose them shall be recorded and included in the computation of energy used.

4. PRINCIPLE: MINIMIZE IMPACTS OF PANGASIOUS AQUACULTURE ON THE GENETIC INTEGRITY OF LOCAL PANGASIOUS POPULATIONS

Issue: Genetics

Pangasius aquaculture can impact the genetics and biodiversity of wild pangasius populations when it's introduced as an exotic species and escapes into the surrounding ecosystems from culture facilities. Other impacts can come with the use of Genetically Modified Organisms (GMOs)³¹ and hybridization.

4.1 Criteria: Presence of pangasius in the water drainage system

| INDICATOR | STANDARD |
|---|----------|
| 4.1.1 Farm is located in a river basin where the farmed species is indigenous or has a self-recruiting ³² stock established before January 2005 | Yes |
| 4.1.2 If a self-recruiting stock is established, evidence of no negative impacts on the environment ³³ | Yes |
| 4.1.3 If the species is not indigenous and does not have a self-recruiting stock established, evidence that the species cannot establish in the river basin ³⁴ | Yes |

Rationale—If pangasius farming occurs in locations where the farmed species is not indigenous or if a self-recruiting stock is not established, pangasius aquaculture can impact habitats and/or the genetic integrity of local pangasius populations. This type of aquaculture also can impact the environment if measures are not in place to minimize escapes from production systems, especially via drainage systems and during flood events. The PAD standards address this issue by ensuring that pangasius farming takes place only in locations where that species of pangasius is indigenous or has a self-recruiting stock established before January 2005. This date was set based on two pangasius generations (approximately three years each) in order to ensure that any farms which claim to be farming exotic species that are established can appropriately demonstrate via two generations of breeding that the species is indeed established.

The PAD recognizes that it may be possible to develop a technology to eliminate escapees. This will be considered in further revisions of the standards. Possible exceptions also will be considered.

³¹ A GMO is an organism, with the exception of human beings, in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination (Directive 2001/18/EC)

³² Self-recruiting is defined as naturally reproducing. Peer-reviewed papers, official government (competent authority) statements or other comparable references on multiple incidences of different age classes at different times and location are necessary as evidence.

³³ Peer-reviewed papers, official government (competent authority) statements or other comparable references are necessary as evidence

³⁴ Peer-reviewed publication in a reputable journal is required as evidence that the species cannot be established

4.2 Criteria: Genetic diversity

| INDICATOR | STANDARD |
|---|----------|
| 4.2.1 Demonstration ³⁵ that the seed ³⁶ has been generated from the pangasius population naturally reproducing in the river basin ³⁷ | Yes |

Rationale—Genetic diversity is an important conservation issue, as escaped farmed pangasius have the potential to negatively impact the genetic diversity of wild pangasius by interbreeding. Genetic changes in captive bred or hatchery populations are likely in any stock of fish that is bred in captivity over several generations. Pangasius, in their natural habitat, have a complex population structure and there is evidence that different genetically distinct populations of pangasius species exist. Captive breeding may result in the mixing of genetically distinct stocks which may lower overall genetic diversity and reduce survival. Introducing a different strain of the same species (i.e., a population which is genetically different but still belonging to the same species) would therefore pose the risk of the different strain having an impact on the ecosystem when escaping, an impact that may not have been occurring with the original pangasius strain. The PAD standards address this issue by ensuring that seed used for juveniles is sourced from pangasius populations already established in the river system where the farming operation is located. Although this approach may represent a challenge for domestication programs, the PAD agreed to adopt a precautionary approach when dealing with introductions.

4.3 Criteria: Source of seed

| INDICATOR | STANDARD |
|--|----------|
| 4.3.1 Allowance for use of wild-caught seed for grow out | None |

Rationale—There is concern that the use of wild-caught seed or wild collections of juveniles can lead to adverse impacts (e.g., decline) on wild pangasius populations as has occurred for other types of aquaculture (e.g., shrimp).

In addition, techniques used for catching wild seed are most often poorly selective, hence leading to high amounts of non-target species bycatch, impacting broadly on the aquatic biodiversity. Therefore, only hatchery seed should be used.

³⁵ A thorough map of pangasius establishment that indicated the range of the species, as well as distinct stocks, will be necessary

³⁶ Throughout these standards, the word “seed” is used for pangasius seed only

³⁷ This standard is applicable to all farms using seed sourced from either populations which are indigenous or populations which are established before January 2005

4.4 Criteria: Genetically engineered and hybridized strains

| INDICATOR | STANDARD |
|--|----------|
| 4.4.1 No use of genetically engineered (transgenic) or hybrid seed | Yes |

Rationale—The potential for enhanced strains of pangasius to out-compete native fish species causing genetic pollution provides sufficient justification to exclude any breeding manipulation (transgenic or hybridization) of culture species within the PAD standard. Thus, transgenic and hybridized strains are prohibited from being reared under these standards.

The use of GMOs and hybrid seed creates additional issues regarding genetic pollution and impacts on farm stocks and wild populations. These impacts can be prevented by avoiding the use of GMOs and hybrid seed which is mandated by the PAD standards.

4.5 Criteria: Escapees

| INDICATOR | STANDARD |
|--|----------|
| 4.5.1 Evidence that inlets and outlets to culture systems and all confinements are equipped with net mesh or grills appropriately sized to retain the stocks in culture preventing fish of any size (in the holding unit being assessed) to escape | Yes |
| 4.5.2 Evidence of regular, timely inspections (at least once a day); mitigation and repairs are performed on net mesh or grills and recorded in a permanent register (available for inspection) | Yes |
| 4.5.3 Bund ³⁸ height sufficient ³⁹ to prevent water spillage, along with escapees, in the rainy season when flooding occurs | Yes |
| 4.5.4 Presence of trapping devices ⁴⁰ placed in effluent/drainage canals or on water outlets to capture escapees; a record of findings and actions taken (available for inspection) | Yes |

Rationale—Genetic changes in hatchery populations also are an important aspect of pangasius aquaculture and the risks associated with it must be acknowledged. Some genetic changes are likely in any stock of fish that is bred in captivity over several generations. Therefore, minimizing escapes of captive-bred fish is essential to preventing the genetic disturbance of wild populations.

Pangasius escapees may also have an effect on local non-catfish biodiversity through such things as competition and habitat destruction. Little data or information on this issue was located for the PAD, making it challenging to develop metrics. As this standard evolves, it is critical to assess these impacts and, where necessary,

³⁸ Bund: berm containing the water in the pond

³⁹ Consider 10 years maximum water level (including cases of storms)

⁴⁰ These devices should not injure or compromise fish health (e.g., gill nets)

incorporate indicators and standards that measure and prevent any adverse impacts. This will be done in future versions of the standards.

While a range of techniques and practices are available to prevent escapes, no foolproof system has been developed. Therefore, it is important to approach escapee management from the perspective of minimization rather than hypothetical elimination. Escape reduction also is a good business practice, as there are economic incentives to prevent escapes. The PAD standards mandate a series of BMPs to try to prevent escapes and ensure compliance.

4.6 Criteria: Pond maintenance as part of escapee management

| INDICATOR | STANDARD |
|---|----------|
| 4.6.1 Evidence that the bund has remained intact ⁴¹ throughout the culture cycle | Yes |
| 4.6.2 Evidence assuring there has been no intentional release ⁴² | Yes |

Rationale—As noted above, escapees from pangasius culture facilities can pose a conservation risk. While farmers can have measures in place to reduce escapees (i.e., criteria 4.5), occasionally major or catastrophic releases of farmed populations can occur if the pond dyke collapses, if the pond gets flooded, or if the farmer intentionally decides to release the stock to prepare the pond. These releases of farmed populations may have huge impacts on the environment (both pangasius and non-pangasius populations). Therefore, they are unacceptable under these standards.

The rationale to have two separate, but slightly different, escapes criteria is that a farmer may be in full compliance with criteria 4.5 but then could have a disease outbreak and release the whole farmed stock. The farmer also may not have appropriately (during design/construction) built a strong dike. Hence, although the bund is high enough, it may collapse, thereby releasing many farmed pangasius. The PAD does not want farms certified in these instances.

⁴¹ Has not been affected in such a way to allow the escapee in part or all of the farmed stock

⁴² Suspiciously long periods between crops can be an indicator of intentional releases. Fish sizes and records of previous crops may be used to identify suspiciously long periods between crops.

5. PRINCIPLE: USE FEED AND FEEDING PRACTICES THAT ENSURE THAT FEED INPUTS ARE SUSTAINABLE AND MINIMIZED

Issue: Feed management

Feed is one of the most important cost factors in pangasius production. Good feed management on the farm is a critical control point for success and plays an important role in controlling the direct and indirect environmental impacts of farming operations. Efficient feeding management and adoption of practices designed to minimize feed inputs (or maximise feeding efficiency), therefore, are important to manage production costs and environmental impact. These standards are intended to provide a realistic starting point from which to improve the sustainability of pangasius aquaculture through more efficient feed management and, like the other standards, will be subject to regular review.

5.1 Criteria: Sustainability of feed ingredients

| INDICATOR | STANDARD |
|---|---|
| 5.1.1 Use of uncooked or unprocessed fish and/or fish products ⁴³ (including trash fish) as feed | No |
| 5.1.2 Use of pangasius <i>fish processing by-products</i> ⁴⁴ as feed or feed ingredients | No |
| 5.1.3 Fish products used in feed are not in the “threatened categories” ⁴⁵ on the International Union for Conservation of Nature (IUCN) Red List of Threatened Species ⁴⁶ | Yes |
| 5.1.4 Fish products used in feed are not from species listed in the Convention on International Trade in Endangered Species (CITES) Appendices I, II and III ⁴⁷ | Yes |
| 5.1.5 ISEAL-certified fishmeal and fish oil products must be used in feed | Within 3 years of becoming available in a region |
| 5.1.6 ISEAL certified fishmeal and fish oil products must be used in feed | Within 5 years from the publication date of the PAD standards |

⁴³ Fish products are defined as all forms of fish or products derived from fish (e.g., whole fresh, frozen, minced, dried, meals, oils, and processing by-products)

⁴⁴ Trimmings, viscera, heads and frames from the processing of fish—either wild or farmed—are processing by-products. Generally, these are not counted as part of the “fish product” amount when calculating feed fish equivalencies, as this helps promote the best use of the wild-caught fish. However, it is not acceptable to use pangasius by-products in pangasius diets.

⁴⁵ Vulnerable, Endangered and Critically Endangered.

⁴⁶ www.iucnredlist.org Use latest version. A period of one year is allowed for adaptation to any new amendment, therefore if a new animal is added to the IUCN list, producers have one year to meet the standards.

⁴⁷ <http://www.cites.org/eng/app/appendices.shtml>

5.1.7 Up to when standard 5.1.5 or 5.1.6 can be met:

Interim Option A: Fishmeal or fish oil products used in feed have been sourced from fisheries with an average FishSource (FS) score

Interim Option B: Fish Products used in feed have been sourced from facilities certified as being in compliance with Sections 11 (Responsible Sourcing), 2 (Traceability), and 3 (Responsible Manufacturing) of the International Fishmeal and Fish Oil Organisation’s (IFFO) “Responsible Sourcing Program for Certification of Responsible Practice for Fishmeal and Fish Oil Production

≥ 6.0 with no individual score < 6.0
or an N/A in the stock assessment category

Yes

Rationale—Under these standards, “feed” refers to all feeds or feed items, regardless of where or how they are produced. Farms that meet the standards should be able to demonstrate compliance regardless of whether their feed is made by a commercial feed mill or on site.

There are concerns over the potential impact on marine biodiversity of sourcing fishmeal and fish oil as feed ingredients from wild fish stocks and the efficiency of its conversion to farmed fish through feed. Although the amount of fishmeal and oil used in feeds for pangasius is much less than in farmed shrimp or salmon, these standards will, over time, ensure the efficiency of this conversion. The standards also will ensure that the sources of these ingredients are managed properly, in order to avoid excessively negative impacts on their source populations and ecosystems. Where feeds are produced on farm, the farm will be required to demonstrate its compliance with the ingredient-sourcing requirements and standards for feed. Where farms rely on commercial feeds, the standards will require documented information from the feed supplier(s) to allow them to demonstrate that they meet the standards.

Standard 5.1.1 prohibits the direct use of unprocessed fish or fish products from wild fishery catch (sometimes referred to as “trash fish”), alone or in combination with other ingredients, as feeds for pangasius. Use of trash fish places undue pressure on vulnerable inshore fish stocks (including juveniles), can have deleterious effects on the culture environment, and represents a fish and public health risk, especially when uncooked.

IFFO reports that 25% of fishmeal currently being used for aquaculture is coming from by-products of fish processing. This amount is expected to increase. Although use of fish processing by-products is encouraged, the feeding of pangasius processing by-products to pangasius carries an unknown potential for spread of disease. At this time, no pangasius-specific scientific risk-assessment has been conducted to evaluate this risk. Therefore, PAD participants decided in Indicator 5.1.2 to disallow the use of pangasius processing by-products as feeds or ingredients of feeds for pangasius until such time as the risk has been deemed to be within an acceptable range as defined by the national competent authority.

While the PAD encourages the use of fishery processing by-products, it recognizes that this can result in higher feed conversion ratios (FCRs), resulting in tradeoffs between effluent concentration and efficient use of marine resources. The PAD has attempted to address this tradeoff through use of an eFCR standard (see Criteria 5.2) and effluent standards (see Principle 3).

Indicators 5.1.3 and 5.1.4 ensure that species classified as vulnerable or endangered, those that have protected status and those in which trade is illegal are not used as feeds or as feed ingredients.

Fish and fish products (such as fishmeal and fish oil) used to manufacture feed shall be from legal, reported and regulated fisheries that respect the Food and Agriculture Organization of the United Nations’ (FAO) “Code of

Conduct for Responsible Fisheries,”⁴⁸ such as ISEAL-certified schemes or those verified by IFFO and FishSource. Ideally, the goal is that all feeds shall be from a certified sustainable fishery and a fishery where by-catch is maintained within acceptable limits. Feeds also shall not pose a threat to endangered species.

Current pangasius feeds (commercial or farm-made) mainly use locally sourced fishmeal from inshore fisheries off Vietnam, Bangladesh or India. Traceability and fisheries certification currently are a challenge in Asia and the infrastructure to support good management of fisheries stocks is limited. This makes the process of creating auditable farm level standards very challenging. Over time, it is envisaged that farms seeking certification under these standards will use feeds that contain fishmeal and fish oil that are from certified sustainable and traceable sources. The current plan for implementation calls for the producer to demonstrate that the feeds being used meet the requirements of the standards. This will require feed suppliers to provide information to support the farmer’s declaration.

The PAD identified ISEAL member-certified fisheries as the most suitable sustainable fishery certification schemes, due to their transparency, verifiability and traceability. Currently, only the Marine Stewardship Council (MSC) meets these criteria. Quantities of MSC-certified fishmeal and fish oil are extremely limited, especially in the regions where pangasius is farmed. Demanding ISEAL-compliant fisheries would, under these circumstances, create serious difficulties for pangasius farmers and could negatively impact the rate of adoption of these standards. To avoid this, two schemes (FS and IFFO) for responsible certification were considered as effective interim indicators until certified fishmeal and fish oil are available and to give the industry time to adapt.

IFFO

IFFO has developed a certification scheme for responsibly-sourced fishmeal and fish oil that is International Organization for Standardization (ISO) 65 compliant. To comply with the definition of “responsible sourcing,” the applicant must be able to demonstrate:

- The responsible sourcing of legal, regulated and reported fishery material and avoidance of material sourced from IUU fishing activity
- Sourcing from fisheries that comply with the key requirements of the FAO “Code of Conduct for Responsible Fisheries”

Fishmeal and fish oil produced according to this standard will be identifiable and traceable. In the time period until commercial amounts of local forage fisheries that are ISEAL-certified with regard to sustainability will be available, the IFFO’s Sourcing Standard and Certification Program to Demonstrate Responsible Practice for Fishmeal and Fish Oil Production represents a good and practical alternative.

FS

The FS method was created by the Sustainable Fisheries Partnership to score fishery sustainability against a number of criteria. The score becomes a rough guide as to how these individual fisheries perform against these criteria.⁴⁹ Although they are not a comprehensive assessment of sustainability, FS scores can be considered strong indicators of a well-managed fishery, as assessed by existing fishery sustainability measures.

- FS scores are intended to be directly comparable to the MSC scheme. The formula is based on how MSC scores fisheries. Thus, an FS score for a given criterion of 8 or above is broadly equivalent to an MSC score of 80% (an unconditional pass), an FS score of 6 indicates an MSC score of 60 and is judged to be satisfactory. An FS score <6 is a strong indicator that the fishery would not be certifiable by the MSC.

⁴⁸ www.fao.org/docrep/005/v9878e/v9878e00.HTM

⁴⁹ The criteria are precautionary management, scientific basis for fishery management, compliance, fish stock health and future prospects for fish stock

- FS scores capture only some aspects of the fisheries considered by MSC. Other important features of sustainability are addressed in the 12 sections that comprise an FS fishery profile.

The current standard for FS represents an improvement in promoting the use of sustainable fishmeal and fish oil over the current situation and is a realistic goal, given the current status of available information on forage fisheries used in aquafeeds in Asia.

It should be noted that even the interim standards provide a significant challenge to the pangasius industry, as there are currently no local wild fishery sources of fishmeal and oil that comply with either interim scheme. Implementation of the interim or full standards without adequate consideration of the availability of fishmeal and fish oil that comply with these standards could unfairly disadvantage farmers seeking certification by forcing them to rely on feeds made with more costly imported ingredients and could also negatively impact adoption of the standards.

The timeframe for adoption of the standards should reduce the risk of non-compliance through lack of available and affordable ingredients, preferably locally sourced, while ensuring that there was sufficient incentive to improve on existing practices.

In order to reconcile these two points, two milestones have been identified by the PAD for compliance. If MSC-certified fisheries are available in the region (or, in the interim, stocks meeting the interim standards), certified farms will have a maximum of three years to switch to feeds made using these. Should such stocks not be available within five years after publication of the PAD standards, this standard will be revised to ensure that progress towards compliance is enforced.

Feeds use a number of ingredients from terrestrial sources, including animal and plant products, some of which may be genetically modified. Although there may be environmental and social issues associated with these ingredients, the PAD decided not to cover these under the current standards. It is intended that these will be covered in a separate feed and feed ingredients Dialogue or in a future revision of these standards.

5.2 Criteria: Efficient management of feed use on the farm

| INDICATOR | STANDARD |
|---|----------|
| 5.2.1 Maximum weighted ⁵⁰ average of economic Feed Conversion Ratio (eFCR) for the complete production cycle | 1.68 |
| 5.2.2 Maximum Fish Feed Equivalence Ratio (FFER) | .5 |

Rationale—Good on-farm feeding management and feeding efficiency are important to achieving the efficient use of available feed resources. Good feed management on the farm is essential to achieving efficient use of available feed resources and minimizing waste⁵¹. Feeding rates and the conversion of feed to fish should be within good standards of efficiency and consistency. FFER and eFCR provide useful means to measure whether fish product use is being managed and wastes are being minimized.

Calculation and monitoring of feed conversion (the amount of feed used to produce a given weight of fish) is one of the simplest and most powerful ways that farmers can determine feed use efficiency. By encouraging

⁵⁰ Weighting to be conducted by the amount of fish produced in different farming units (e.g. ponds, pens and cages)

⁵¹ In the context of Principle 5, waste refers to inefficient use of feed resources. Waste, as in waste products such as nitrogen and phosphorous, and their impact on effluent quality, are dealt with under Principle 3.

farmers to record this number and work to reduce it, the standards will promote a better use of resources by the farmers, as well as a greater understanding of their activities.

The eFCR accounts for the biomass, or weight, of fish stocked and represents the amount of feed used to support the change in fish biomass over the farming period in an individual pond. The eFCR will vary between ponds on a site, the duration of the farming period and the life-cycle stage or size of the fish. On an individual farm site, the pond size, number of fish stocked and weight of fish harvested can also vary. Therefore, in order to provide a simple way to adjust for these factors in the overall performance of the farm, the weighted average eFCR is used.

Actual production data was obtained from over 100 individual ponds in different farms using different feeds and the weighted eFCR calculated. Based on the median value⁵², the weighted eFCR was established as 1.68.

FFER is a measure of the efficiency with which fish products used in the feed are converted to live fish and requires some measure of the amount of fishmeal and fish oil used in the feed, as well as the efficiency of converting fish to fishmeal and fish oil. Accepted estimates for the yield of fishmeal and fish oil from wild caught fish range from 22–27% for fishmeal and 3-7% for fish oil, depending on the species and season. For the PAD, global average fishmeal yield of 22.22 percent and fish oil yield of 5 percent are assumed. However, where possible, these yields should be adjusted to reflect the actual species used in feeds.

It should also be noted that any trimmings, fishmeal or fish oil produced from fish processing by-products are not included in the calculation of FFER.

⁵² The PAD agreed that the median value would be used to establish the standards for all indicators where data was available for analysis to arrive at a standard value.

6. PRINCIPLE: MINIMIZE ECOSYSTEM AND HUMAN HEALTH IMPACTS, WHILE MAXIMIZING FISH HEALTH, WELFARE AND ENSURING FOOD SAFETY

Issue: Health management, veterinary medicines and chemicals

Managing the health of farmed pangasius stocks depends on the overall management of the farm, including the responsible use of veterinary medicines⁵³, chemicals and biological products⁵⁴. This must be undertaken in a manner that focuses on ensuring fish health and maintaining food safety and quality, while also minimizing the impacts to human health and the environment.

6.1 Criteria: Mortalities

| INDICATOR | STANDARD |
|---|----------|
| 6.1.1 Maximum average real percentage mortality, from stocking to harvest, during the grow-out period (See Real Percent Mortality formula in Annex D) | 20% |

Rationale—One of the major impacts of aquaculture can be the enhancement and transfer of natural or exotic diseases. However, it is very challenging to write standards to address this issue. One of the best options to ensure that disease transfer is minimized is through ensuring optimal fish health. A key measure of fish health is survival during the grow-out period.

The survival rates set in these standards serve as a performance-based indicator for successful disease prevention. Given that survival depends upon different factors, such as water quality and feeding, these indicators are also included elsewhere in this set of standards. The use of good management practices should result in a consistent survival rate among holding units. The proposed standard provides room for isolated mortalities, but farmers will have to react quickly to prevent disease from spreading to other holding units and farms.

Although mortality is related to the size at stocking, these standards do not specify seed size, since stocking different sizes is a management practice that the farmer can consider to reach compliance to this performance-based standard.

Farmers shall provide written records on the number of fish stocked and number of fish harvested. Numbers can be calculated by taking the total weight and dividing it by the average weight of the fish. Farmers shall maintain details on the weight of each basket/container at harvest, in addition to the total weight.

⁵³ Veterinary medicines include (a) any substance or combination of substances presented as having properties for treating or preventing disease in animals; (b) or any substance or combination of substances which may be used in, or administered to, animals with a view either to restoring, correcting or modifying physiological functions by exerting a pharmacological, immunological or metabolic action, or to making a medical diagnosis (Veterinary Medicines Directorate – UK)

⁵⁴ Vitamins and minerals are not included under this issue

6.2 Criteria: Veterinary medicines and chemicals

| INDICATOR | STANDARD |
|---|----------|
| 6.2.1 Use only veterinary medicines, chemicals and biological products approved for aquaculture by relevant national authorities and not banned for food fish use in the potential importing country | Yes |
| 6.2.2 Use only veterinary medicines and chemicals for therapeutic use prescribed by an aquatic animal health specialist ⁵⁵ based on a verified condition; follow the label specifications concerning the use of the substance for the given purpose ⁵⁶ | Yes |
| 6.2.3 Follow the aquatic animal health specialist recommendations on: 6.2.3.1 How to apply the veterinary medicine and chemicals prescribed 6.2.3.2 How to handle and store the veterinary medicines and chemicals prescribed 6.2.3.3 Who needs to be informed about the disease and how 6.2.3.4 How to limit the spread of the disease to neighboring wild or farmed populations | Yes |
| 6.2.4 Allowance to sell fish or fish products before the completion of the withdrawal period specified on veterinary medicine or chemical labels or 750 °D if no withdrawal is specified on label | None |
| 6.2.5 Allowance for the use of antibiotics critical for human medicine, as categorized by the World Health Organization ⁵⁷ | None |
| 6.2.6 Allowance for prophylactic use of veterinary medicines (excluding vaccines) prior to any evidence of a specific disease problem | None |
| 6.2.7 Allowance for use of veterinary medicine (excluding vaccines) to serve as growth promoters ⁵⁸ | None |

Rationale—Veterinary medicines and chemicals can play an important role in maintaining fish health and survival, however, the over use of these medicines and chemicals can have environmental as well as human health impacts.

⁵⁵ Aquatic animal health specialist defined following government’s regulations, if such regulations exist in the producing country. If the government does not regulate on this, the following people can be considered as specialists:

- Veterinarians with at least three months of academic training on fish health management (for a total of at least 60 hours). This training may be included with the veterinary degree.
- Aquaculturists (with university or vocational degree) who have completed at least three months of training on fish pathology and treatment (for a total of at least 60 hours). This training may be included with the university or vocational degree.

⁵⁶ Label specifications may be overridden by the recommendations of the aquatic animal health specialist when justification for the decision is documented in the farm book or approved in the animal health plan.

⁵⁷ Refer to the second WHO expert meeting called Critically Important Antimicrobials for Human Medicine: Categorization for the Development of Risk Management Strategies to Contain Antimicrobial Resistance Due to Non-Human Antimicrobial Use, 29–31 May 2007 (http://www.who.int/foodborne_disease/resistance/antimicrobials_human.pdf). If an updated version of this list is made available, an allowance of one year is given to farmers to comply with the updated list.

⁵⁸ Growth promoters: Veterinary medicines, such as antibiotics, to be given to healthy fish for the sole purpose of making them grow faster (i.e., not to treat a specific disease).

6.3 Criteria: Pangasius health plan

| INDICATOR | STANDARD |
|---|----------|
| 6.3.1 Presence of a written pangasius health plan reviewed yearly, updated and approved by a specified aquatic animal health specialist ⁵⁹ (See Annex E for Health Plan Checklist) | Yes |

6.4 Criteria: Holding-unit specific record-keeping

| INDICATOR | STANDARD |
|--|----------|
| 6.4.1 Availability of records of the name, reasons for use, dates, amounts and withdrawal times of all veterinary medicines and chemicals used in hatchery and grow-out facilities | Yes |
| 6.4.2 Availability of records of the source, size and quality of the seed stocked. Records of seed quality should include: <ul style="list-style-type: none"> 6.4.2.1 Description of gross signs and any abnormalities 6.4.2.2 List of veterinary medicines, chemicals and biological products used in earlier life stages 6.4.2.3 Results of pathogen testing, as legislated | Yes |
| 6.4.3 Daily records showing regular monitoring of fish for signs of stress ⁶⁰ or disease are kept | Yes |
| 6.4.4 All mortality events with daily mortality above the average daily mortality in the farm are reported to the aquatic animal health specialist | Yes |

Rationale—Daily records of mortality and clinical signs will also be used to revise the PAD standards so that performance-based metrics can be identified.

Note: Additional performance standards on fish health could be identified when the PAD standards are revised.

⁵⁹ GlobalG.A.P. AB 5.2.3 was taken as reference and amended to fit with the requirements of the PAD stakeholders

⁶⁰ Signs of stress or disease include abnormal behaviour (e.g., swimming), reduced appetite and external abnormalities (e.g., lesions, spots and fin erosion)

6.5 Criteria: Fish welfare

| INDICATOR | STANDARD |
|---|---|
| 6.5.1 Minimum average growth rate | 3.85 g/day/fish |
| 6.5.2 Maximum fish density at any time for ponds and pens | 38 kg/m ² for ponds and pens |
| 6.5.3 Maximum fish density at any time for cages | 80 kg/m ³ for cages |

Rationale—A minimum growth rate was selected based on the assumption that farmed fish under good welfare conditions will show a good growth performance. However, the minimum growth rate standard shall not be used to exclude organic or low intensity systems.

Fish stocking density is an important element of maintaining fish health and welfare. There is always a need to find the right balance between space efficiency, farming performance, disease control and fish welfare. Guidance on maximum fish densities for ponds, pens and cages (at any time during production) is an important tool for maintaining fish health.

6.6 Criteria: Predator control

| INDICATOR | STANDARD |
|--|----------|
| 6.6.1 Use of lethal predator ⁶¹ control | No |
| 6.6.2 Mortality of IUCN red listed species | 0 |

⁶¹ Predators are defined as animals which have the potential to kill healthy pangasius. These standards include all types of predators during the production period, but only birds, reptiles and mammals during the period of preparation of the holding units (e.g., ponds, cages and pens). Rats and mice are excluded from consideration as they are unlikely to harm fish on the farm, be endangered or pose a conservation concern

7. PRINCIPLE: DEVELOP AND OPERATE FARMS IN A SOCIALLY RESPONSIBLE MANNER THAT CONTRIBUTES EFFECTIVELY TO COMMUNITY DEVELOPMENT AND POVERTY ALLEVIATION

Issue: Social responsibility and user conflict

Pangasius aquaculture must be done in a socially responsible manner that ensures the operations benefit farm workers and local communities.

The labor rights of pangasius workers are important and farm work conditions shall ensure that workers are treated and paid fairly and have the ability to have a reasonable work/life balance in spite of the farm's need for work hours to be flexible. Where possible, pangasius aquaculture must also benefit local communities and, at the very least, not negatively affect communities.

7.1 Criteria: Labor law

| INDICATOR | STANDARD |
|---|----------|
| 7.1.1 Compliance with labor laws in the country where pangasius is produced | Yes |

Rationale—Labor laws in the producing country set the minimum requirements for a farm to operate legally. For this reason, the laws shall be complied with in full. If the requirements of such laws somehow differ from the PAD standards, farmers are reminded that they shall comply with all the PAD standards, including those under this criteria (labor law) and the ones under other criteria and issues.

7.2 Criteria: Child labor⁶² and young workers⁶³

| INDICATOR | STANDARD |
|---|----------|
| 7.2.1 Minimum age of workers | Yes |
| 7.2.2 For workers under 18 years old: | Yes |
| 7.2.2.1 Work does not jeopardize schooling | |
| 7.2.2.2 Work, when added to the hours of schooling, does not exceed 10 hour/day | |
| 7.2.2.3 Work is restricted to light work ⁶⁴ | |
| 7.2.2.4 Work is restricted to not hazardous work ⁶⁵ | |

⁶² Child: Any person less than 15 years of age, unless local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If however, local minimum age law is set at 14 years of age in accordance with developing country exceptions under ILO Convention 138, the lower age will apply. Child labor does not include children helping their parents on their own farm, provided that working does not jeopardize their schooling or health.

⁶³ Young worker: Any worker between the age of child as defined and under the age of 18

⁶⁴ Light Work: (ILO convention 138, article 7.1) Light work is work that is 1) not likely to be harmful to a child's health or development and 2) not likely to prejudice their attendance at school, participation in vocational orientation or training programs, or diminish their capacity to benefit from instruction received

⁶⁵ Hazardous work: Work which, by its nature or circumstances in which it is carried out, is likely to harm the health, safety or morals of workers

Rationale—Adherence to the child labor codes and definitions included in this section indicates compliance with what the International Labour Organization (ILO) and international conventions generally recognize as the key areas for the protection of child and young workers. Children are particularly vulnerable to economic exploitation, due to their inherent age-related limitations in physical development, knowledge and experience. Children need adequate time for education, development and play and, therefore, shall never be exposed to work or working hours that are hazardous to their physical or mental well-being. To this end, the standards related to what constitutes child labor will protect the interests of children and young workers in certified aquaculture operations.

7.3 Criteria: Forced and compulsory labor⁶⁶

| INDICATOR | STANDARD |
|--|----------|
| 7.3.1 Workers are free to terminate their employment and receive full payment until the last day of their employment, based on reasonable ⁶⁷ notice given to their employer ⁶⁸ | Yes |

Rationale—Forced labor (e.g., slavery, debt bondage and human trafficking) is a serious concern in many industries and regions of the world. Ensuring that contracts are clearly articulated and understood by workers is critical to determining that labor is not forced. The inability of a worker to freely leave the workplace and/ or an employer withholding original identity documents of workers are indicators that employment may not be at-will. Employees shall always be permitted to leave the workplace and manage their own time. Employers are never permitted to withhold original worker identity documents. Adherence to these policies shall indicate an aquaculture operation is not using forced, bonded or compulsory labor forces.

7.4 Criteria: Health and safety

| INDICATOR | STANDARD |
|--|----------|
| 7.4.1 The employer provides a non- hazardous working and living environment | Yes |
| 7.4.2 Workers are aware of the health and safety hazards ⁶⁹ at the work place and how to deal with them | Yes |
| 7.4.3 The employer records all accidents, even if minor, ⁷⁰ and takes preventive and corrective action for each | Yes |
| 7.4.4 Employer ensures that all permanent workers have health insurance ⁷¹ | Yes |

⁶⁶ Forced (Compulsory) labor: All work or service that is extracted from any person under the menace of any penalty for which a person has not offered him/ herself voluntarily or for which such work or service is demanded as a repayment of debt. “Penalty” can imply monetary sanctions, physical punishment, or the loss of rights and privileges or restriction of movement (withholding of identity documents)

⁶⁷ As stated in the contract

⁶⁸ Employers are those workers who, working on their own account or with one or a few partners, hold the type of job defined as a self-employed job, and in this capacity, on a continuous basis (including the reference period) have engaged one or more persons to work for them in their business as employees

⁶⁹ Hazard: The inherent potential to cause injury or damage to people’s health—for instance unequipped to handle heavy machinery safely/ unprotected exposure to harmful chemicals

⁷⁰ Accidents that could not be handled in-house and, therefore, the person was taken to the closest clinic

⁷¹ Health insurance is required for workers who are employed for >3months/year. If not covered under national law employers must provide insurance to cover 100% of any job-related accident/injury for permanent workers. The cost associated with permanent disabilities generated from a job related accident is, however, not included.

Rationale—A safe and healthy working environment is essential for protecting workers from harm. It is critical for a responsible aquaculture operation to minimize these risks. Some of the key risks to employees include hazards resulting from accidents and injury. Consistent and effective employee training in health and safety practices is an important preventative measure. When an accident, injury or violation occurs, the company must record it and take corrective action to identify the root causes of the incident, remediate, and take steps to prevent future occurrences of similar incidents. This addresses violations and the long-term health and safety risks. Finally, while many national laws require that employers assume responsibility for job-related accidents/injuries, not all countries require this and not all employees (e.g., migrant and other workers) will be covered under such laws. When not covered under national law, employers must prove they are insured to cover 100 percent of employee costs in a job-related accident or injury. Although covering the costs associated with permanent disabilities generated from an employment accident is important, this is, at present, unrealistic within the pangasius industry. However, if possible, including coverage for permanent disabilities will be pursued in PAD standard revisions.

Note: During revisions to the PAD standards, PAD stakeholders should consider addressing the risk of long-term accidents (e.g., resulting from toxicity of chemicals).

7.5 Criteria: Freedom of association and collective bargaining⁷²

| INDICATOR | STANDARD |
|--|----------|
| 7.5.1 Workers ⁷³ have the right to form or join organizations to defend their rights (including their right to collective bargaining) without interference from the employer and without suffering negative consequences as a result of exercising this right ⁷⁴ | Yes |

Rationale—Having the freedom to associate and bargain collectively is a critical right of workers because it allows workers to have a more balanced power relationship with employers when doing such things as negotiating fair compensation. Although this does not mean all workers of a certified aquaculture operation must be in a trade union or similar organization, workers must not be prohibited from accessing such organizations when they exist. If they do not exist or are illegal, companies must make it clear that they are willing to engage in a collective dialogue through a representative structure freely elected by the workers.

7.6 Criteria: Discrimination

| INDICATOR | STANDARD |
|---|----------|
| 7.6.1 Workers do not suffer any discrimination ⁷⁵ from the employer or other workers | Yes |

⁷² Bargain collectively: Voluntary negotiation between employers and organizations of workers in order to establish the terms and conditions of employment by means of collective (written) agreements

⁷³ Worker: A person who enters an agreement of any duration with an enterprise to work for the enterprise in return for remuneration in cash or in kind. Immediate family members of the farm owner (i.e., children, spouse, parents, brothers and sisters) and exchange labor may not be considered as workers, unless they express their desire to be workers.

⁷⁴ Workers must not be prohibited from accessing such organizations when they exist. If they do not exist or are illegal, companies must make it clear that they are willing to engage in a collective dialogue through a representative structure freely elected by the workers.

⁷⁵ Including but not limited to: race, caste, origin, color, gender, age, disability, religion, sexual orientation, resident or migrant, union and political affiliations

Rationale—Unequal treatment of employees, based on certain characteristics (such as sex or race), is a violation of workers’ human rights. Additionally, widespread discrimination in the working environment can negatively affect overall poverty and economic development rates. Discrimination occurs in many work environments and takes many forms. In order to ensure that discrimination does not occur at certified aquaculture farms, employers must prove their commitment to equality with an official anti-discrimination policy, a policy of equal pay for equal work, as well as clearly outlined procedures to raise/ file and respond to a discrimination complaint in an effective manner. Evidence, including worker testimony, of adherence to these policies and procedures will indicate minimization of discrimination.

7.7 Criteria: Discrimination

| INDICATOR | STANDARD |
|--|----------|
| 7.7.1 Employers treat all workers with dignity and respect | Yes |

Rationale—The rationale for discipline in the workplace is to correct improper actions and maintain effective levels of employee conduct and performance. However, abusive disciplinary actions can violate workers’ human rights. The focus of disciplinary practices shall always be on the improvement of the worker. A certified aquaculture operation shall never employ threatening, humiliating or punishing disciplinary practices that negatively impact a worker’s physical and mental health or dignity. Employers that support non-abusive disciplinary practices as described in the accompanying guidance, as well as evidence from worker testimony, shall indicate that a certified aquaculture operation is not employing abusive disciplinary practices.

7.8 Criteria: Working hours

| INDICATOR | STANDARD |
|---|--|
| 7.8.1 Maximum number of regular working hours | 8 hours/day or 48 hours/week (although these do not have to be consecutive hours) |
| 7.8.2 Workers have the right to leave the farm after completing the standard work day | Yes |
| 7.8.3 Minimum time off | Two nights/week off if residing on the farm and a total of four days/month off for all workers |
| 7.8.4 Overtime hours: | Yes |
| 7.8.4.1 Are voluntary | |
| 7.8.4.2 Do not exceed a maximum of 12 hours per week | |
| 7.8.4.3 Occur on an exceptional (not regular) basis | |
| 7.8.4.4 Are paid at a premium rate ⁷⁶ (i.e., an additional 20% is paid to the normal salary) | |

⁷⁶ Premium rate: A rate of pay higher than the regular work week rate. Must comply with national laws/ regulations and / or industry standards. Must be 120% of normal rate or higher.

Rationale—Workers shall not be obliged to live on the farm. Abuse of overtime working hours is a widespread issue in many industries and regions. Workers subject to extensive overtime can suffer consequences in their work/life balance and are subject to higher fatigue-related accident rates. In accordance with better practices, employees in certified aquaculture operations are permitted to work within defined guidelines beyond normal work week hours but must be compensated at premium rates. Requirements for time off, working hours and compensation rates, as described above, should reduce the impacts of overtime.

7.9 Criteria: Fair and decent wages

| INDICATOR | STANDARD |
|---|----------|
| 7.9.1 The employer pays at least minimum wages, as defined by law, or ensures that wages cover basic needs, ⁷⁷ plus some discretionary income, ⁷⁸ whichever is higher | Yes |
| 7.9.2 Workers have the right to know the mechanism for setting the wages and benefits | Yes |
| 7.9.3 Wages shall be paid in cash or in a manner most convenient to workers | Yes |

Rationale—Workers shall be paid fair and equitable wages that, at a minimum, meet the legal minimum wage and the industry's standards. The wages should meet the minimum basic needs, as unfairly compensated workers can be subject to a life of sustained poverty. Certified aquaculture operations shall also demonstrate their commitment to fair and equitable wages by having and sharing a clear and transparent mechanism for wage setting and a labor conflict resolution policy that tracks wage-related complaints and responses. Company policies and practice shall also prohibit deductions in pay for disciplinary actions, and the payments shall be made in a manner convenient to workers. Having these policies outlined, in a clear and transparent manner, will empower the workers to negotiate effectively for fair and equitable wages that will, at a minimum, satisfy basic needs.

⁷⁷ Basic needs are determined by calculating the cost of the basic shopping basket needed for an adequate diet, the percentage of an average household's budget that goes to food and other necessary expenses, and the average size of a household in a given country. Recognized representative shopping basket surveys include those undertaken by national authorities and multi-lateral developmental agencies. A basic or living wage should be capable of sustaining 50% of an average-sized family with food, clean water, clothing, housing, transportation, schooling, obligatory tax payments, health care and an additional 10% discretionary income (SA8000). An employer shall minimally pay a full-time worker the basic needs wage (without financial deductions) or national legal minimum wage; whichever is higher. The basic needs wage/living wage refers to "take home payment." Any obligatory expenses at the side of the employee/worker (e.g., uniform, tools and lunches) will not bring "take home" pay below a basic needs standard.

⁷⁸ For guidance and methods for basic needs wage calculation, see SA8000 Guidance Document

7.10 Criteria: Labor contract

| INDICATOR | STANDARD |
|---|----------|
| 7.10.1 Workers have copies of, and can understand, their labor contract ⁷⁹ | Yes |
| 7.10.2 Maximum length of probation period stated in the contract for workers, other than farm managers and workers with a university degree | 1 month |
| 7.10.3 Maximum length of probation period stated in the contract for farm managers and workers with a university degree | 2 months |

Rationale—The key to a fair and transparent exchange (work for income) is an agreement that is clear to both parties and can be verified during the contract period. Signed documents that both parties have access to at will are important for verification to take place. This will also ensure that conflicts around misunderstandings can be avoided and, if they occur, discussed in a mutually transparent manner. Revolving labor contract schemes, designed to deny long-time workers full access to fair and equitable remuneration and other benefits, are prohibited.

7.11 Criteria: Management systems

| INDICATOR | STANDARD |
|---|--|
| 7.11.1 The employer ensures that all workers have appropriate channels to communicate anonymously with employers on matters relating to labor rights and working conditions | Yes |
| 7.11.2 Percentage of issues raised by workers which are registered, tracked and responded to by the employer | 100% |
| 7.11.3 Percentage of complaints that are resolved ⁸⁰ within one month after being received ⁸¹ | 90% |
| 7.11.4 A plan for addressing the yet to be resolved conflicts is developed and complied with | Yes |
| 7.11.5 Timeframe for the contracting ⁸² of suppliers and service providers that ensure suitable health and safety conditions for their workers ⁸³ | Within 1 year from achieving certification |

⁷⁹ Where verbal contracts are practiced (e.g., remote rural locations, cases of illiteracy and small family farms), extra care needs to be taken that the contents of the agreement are fully agreed to and well-understood. Cross interviews must take place to establish that the employer and the employee understand in the same way the terms of the verbal agreement.

⁸⁰ Resolution of a conflict is defined as when both parties agree to remove it from the list of conflicts

⁸¹ Complaints include the ones coming from other resource users, employees and buyers (e.g., middlemen or processors)

⁸² Including either written or verbal contracts

⁸³ As defined in these standards

Rationale—Employers shall put in place systems that allow workers to communicate freely on any issues of concerns. Such a system should protect the anonymity of “whistle-blowers.” Employers shall also keep records and track and resolve issues to the maximum of their ability. The figure of 90% is arbitrary and is meant to indicate that almost all the grievances are resolved quickly. Having a metrics-based standard also allows for the percentage of complaints being addressed to be set at a higher level during revisions to these standards. It is recognized that, at present, most suppliers and service providers contracted by farmers may not offer suitable health and safety conditions to their workers and that this is beyond the control of the farmer. A period of one year is, however, considered by the PAD to be a realistic timeframe for farmers to identify suppliers and providers that do offer such conditions.

7.12 Criteria: Record-keeping

| INDICATOR | STANDARD |
|---|----------|
| 7.12.1 Records of the hours worked by every worker employed in the farm are available | Yes |

Rationale—Compliance to standards on overtime requires a record of the hours worked by every employee to be accurately kept.

7.13 Criteria: Participatory social impact assessment for local communities

| INDICATOR | STANDARD |
|---|----------|
| 7.13.1 A participatory Social Impact Assessment (p-SIA) ⁸⁴ is conducted (See Annex F for more information) | Yes |
| 7.13.2 Local communities, ⁸⁵ local government and at least one civil society organization chosen by the community have a copy of the p-SIA in locally appropriate language | Yes |

Rationale—The people who live in communities around pangasius farms are critical stakeholders. Regular communication and consultation can build trusting relationships with local communities and prevent or minimize conflicts. The farms should contribute to poverty alleviation and food security so that there are net benefits to the local community.

The focus of the p-SIA criteria is on risks and impacts between surrounding communities and the farm. Information about technical operations on the farm that have no bearing on risks and impacts outside the farm need not be documented nor disclosed in the participatory processes.

⁸⁴ p-SIA: An assessment of positive and negative consequences and risks of a planned or ongoing project (e.g., a farm or farm development) undertaken in such a manner that all stakeholder groups have input in process, results and outcome of such an assessment, and that steps taken and information gathered is openly accessible to all.

⁸⁵ Community: A group of people with possibly diverse characteristics who are linked by social ties, share common perspectives, and are joined by collective engagements within a geographically confined area. Four common indicators are 1.) a state of organized society in small form (town, village, hamlet) that recognizes a single representative (leader, formal or informal); 2.) the people inside a confined geographical area; small enough to allow face-to-face interaction as the main form of contact between the individuals within the group; 3.) having a common good or a common interest and recognizing that, and been recognized as having that; and 4.) A sense of common identity and characteristics (i.e., “we” versus “them” feeling) on either/or social, cultural, economic, ethnic grounds.

The extent to which the steps in the p-SIA are done by outside professionals, or with outside professional consultants, or (almost fully) localized, with or without the use of high-end technical tools, can be appropriate to the scale of the farm. Area-size (ponds and additional grounds dedicated to the farm), farm-technology (intensive to extensive), and capital lay-out are good indicators to make judgments on the appropriateness of the methods and tools used in the p-SIA.

Small farmers can do these steps in locally organized processes and use hand-written documentation that gets posted on village public sign boards. Industrial estates of large size and investment will need to hire professional experts to assist in this process and are expected to adhere to methodological descriptions provided by the UNDP or World Bank. The only addition to existing generic descriptions of the p-SIA methodology is that a closure and reclamation plan is requested.

For new farms, the focus of this criteria lies in assessing future risks and impacts. It will be done before a physical start is made with farm establishment. For existing farms, the focus lies in assessing actual risks and impacts. In both cases, the outcome is oriented towards identifying how to responsibly deal with these risks and impacts in negotiated processes with those who are affected.

In group certification approaches (cooperatives or an area of individual farms of which products are not individually traceable in trade), the whole group is the unit of interest.

Credible social sustainability standards must be able to respond to real human concerns that arise in communities located near the farm, as well as on the farm. In particular, appropriate consultation must be undertaken within local communities so that potential conflicts are properly identified, avoided, minimized and/or mitigated through open and transparent negotiations on the basis of an assessment toward risks and current impacts on the surrounding communities. Communities will have the opportunity to be part of the assessment process. The impacts of aquaculture operations on minorities and those prone to discrimination will be accounted for, and opportunities for these groups of people should be identified, evaluated and addressed. Negative impacts may not always be avoidable. However, the process for addressing them must be open, fair and transparent. Therefore, these community standards focus on due diligence through dialogue and negotiation with surrounding communities.

Commonly used prescribed methodologies exist for p-SIAs.

- See United Nations Public Administration Network's "A Comprehensive Guide for Social Impact Assessment" (2006) for an example of a more comprehensive description of the methodology, and
- United Nations Environment Programme "Social Impact Assessment tools and Methods" Handout 13-2 in EIA Training Resource Manual (2002)
- for a short concise set of tools adapted to developing country rural context

7.14 Criteria: Complaints by local communities

| INDICATOR | STANDARD |
|---|--|
| 7.14.1 A verifiable conflict resolution policy ^{86,87} for local communities is developed and applied | Yes |
| 7.14.2 Complaint boxes, complaint registers, and complaint acknowledgement receipts in local language(s) are used | Yes |
| 7.14.3 Percentage of conflicts resolved within the date of being filed | Within 6 months: 50% Within 1 year: 75% Within 2 years: 100% |

Rationale—Mutually fair and open negotiations will help resolve conflicts. The farm must, therefore, have a conflict resolution policy in place that describes how to make complaints as well as how the farm intends to address them. The contents of this policy must be known publicly (in surrounding communities) and the farm must provide verification as to the progress it makes in resolving outstanding concerns.

The standard makes allowance for the eventuality that not all conflicts can be resolved easily and quickly. It must also be mentioned that conflicts may not necessarily be caused by farm development and/or operation. But the farm shall exercise due diligence (i.e., actively seek to determine and solve) with regard to complaints, provide the utmost effort to avoid doing harm to the interests of surrounding communities, and provide evidence for this according to the standard.

7.15 Criteria: Preferential employment for local communities

| INDICATOR | STANDARD |
|--|--|
| 7.15.1 Evidence of advertising positions within local communities before migrant workers are hired | Yes |
| 7.15.2 An explanation on the reasons for employing each worker is available and the explanation justifies not employing workers from local communities | Yes, if workers outside the local community are employed |

Rationale—Unskilled manual labor is common on many pangasius farms and, therefore, pangasius aquaculture can be very beneficial to rural village economies as a major source of employment. However, pangasius farmers often resort to hiring migratory workers and asking them to stay on, or close to, the farm. In doing so, the potential value pangasius farming has to local rural economies is lessened. The criteria is formulated to ensure people within the local work force are duly considered for jobs on the farm, and migratory workers are only hired when people within the local workforce do not meet requirements.

⁸⁶ The policy shall state how conflicts and complaints will be tracked transparently and explain how to respond to all received complaints.

⁸⁷ The process of resolution is documented and meetings are summarized. Summaries include an agenda (the list of concerns), resolutions or agreements reached, who shall take what action by when, and a list of participants. Local government and at least one civil society or customary organization chosen by the community shall have access to the conflict resolution process and the documentation thereof. A conflict is deemed resolved if both parties in the negotiation process have agreed to take it off the agenda.

ANNEX A—LIST OF PROCESS FACILITATION GROUP MEMBERS

| Name | Organization | Stakeholder Group |
|------------------|--|------------------------------|
| Antoine Bui | Binca | Buyer/processor |
| Corey Peet | David Suzuki Foundation | NGO |
| David Graham | BirdsEye/Iglo | Buyer |
| Flavio Corsin | World Wildlife Fund | NGO |
| Jack Morales | Sustainable Fisheries Partnership | NGO |
| Nguyen Hoai Nam | Vietnam Association of Seafood Exporters & Producers | Farmer/processor association |
| Nguyen Van Trong | Research Institute for Aquaculture N.2 | Government |
| Pham Quoc Lam | Butler's Choice | Buyer |
| Pham Thi Anh | Van Lang University | Academia |
| Thuy Nguyen | Network of Aquaculture Centres in Asia-Pacific | IGO |
| Vo Thanh Khon | Binh An SeaFood Joint Stock Company | Farmer/processor |

ANNEX B—LIST OF TECHNICAL WORKING GROUP MEMBERS

| # | Name | Organization | TWG1 | TWG2 | TWG3 | TWG4 | TWG5 | TWG6 | TWG7 |
|----|----------------------------|--|------------|------|------|------------|------------|------|------------|
| 1 | Albert Salamanca | University of Durham | | X | | | | | X |
| 2 | Anne Laurance Huillery | Regal Springs (formerly Anova & Vinh Hoan) | | X | | | X | | |
| 3 | Antoine Bui | Binca | | | X | X | X | X | |
| 4 | Benjamin Belton | University of Stirling | | | | | | | X |
| 5 | Casson Trenor | Consultant (formerly Fishwise) | | | | XXX | X | | |
| 6 | Corey Peet | David Suzuki Foundation | X | X | X | X | X | | X |
| 7 | Dan Fegan | Cargill | | | X | | XXX | | |
| 8 | Dang Van Vien | Vinh Hoan | | | X | | | | |
| 9 | Dave Little | University of Stirling | XXX | X | | X | | | |
| 10 | Dave Robb | EWOS | | | | | X | | |
| 11 | David Graham | BirdsEye/Iglo | | | | | X | | |
| 12 | David Penman | University of Stirling | | | | X | | | |
| 13 | Dinh Thi Thuy | RIA2 | | | | | | X | |
| 14 | Dirk Lamberts | MRAG | | X | X | X | X | X | X |
| 15 | Dirk Lorenz-Meyer | Behn Meyer Animal Nutrition | | | X | | X | | |
| 16 | Do Thanh Muon | Bureau Veritas Vietnam | | | X | | X | X | |
| 17 | Flavio Corsin | WWF | X | X | X | X | X | X | X |
| 18 | Florentina Constanta Grecu | Triton Group (formerly Butler's Choice) | | | | | | | XXX |
| 19 | Francis Murray | University of Stirling | X | X | | X | X | | X |
| 20 | Gaetan Morizur | Ocialis | | | | | X | | |
| 21 | Geert Depestele | Marine Harvest Pieters N.V. | | | X | | | X | |
| 22 | Heinzpeter Studer | Fair Fish | | | | | | X | |
| 23 | Hua Thi Phuong Lien | AnGiang University | | | X | | X | X | |

| # | Name | Organization | TWG1 | TWG2 | TWG3 | TWG4 | TWG5 | TWG6 | TWG7 |
|----|-------------------------|---|------|------|------|------|------|------|------|
| 24 | Jack Morales | Sustainable Fisheries Partnership | | X | XXX | X | | X | X |
| 25 | Jan Koesling | Bayer | | | | | | X | |
| 26 | Julien Vignier | Viking Fish Farm | | X | | | X | | X |
| 27 | Kelling Ingrid | WorldFish Center | | | | | | | X |
| 28 | Kjersti Gravningen | PHARMAQ AS in Vietnam | | | | | | X | |
| 29 | Kwei Lin | Independent | | | X | | | | |
| 30 | Le Nguyen Doan Khoi | University of Groningen/CanTho University | X | | | | | X | |
| 31 | Leo van Mulekom | Oxfam Novib | | | | | | | X |
| 32 | Ludwig Nägel | Independent | | | X | | X | | |
| 33 | Mags Crumlish | University of Stirling | | | | | X | X | |
| 34 | Mai Thi Thuy Hang | Xanh | | | | | | | X |
| 35 | Malinee Smithrithee | Department of Fisheries | X | | | X | | | X |
| 36 | Marc Campet | Ocialis | | | X | | X | | |
| 37 | Marie-Louise Scippo | University of Liege | | | | | | X | |
| 38 | Md. Mofakkarul Islam | Bangladesh Agricultural University | X | | | | | | |
| 39 | Mike Phillips | WorldFish Center | | | | | | | X |
| 40 | Mohammad Mahfujul Haque | Bangladesh Agricultural University | | XXX | | | | | X |
| 41 | Nguyen Duong Hieu | TÜV SÜD PSB VIET NAM CO., LTD | | | | | X | X | |
| 42 | Nguyen Huynh Duc | Vung Vuong Sadec Company (Director) | | | | | | | |
| 43 | Nguyen Thanh Phuong | Can Tho University | | | X | | X | | |
| 44 | Nguyen Thi Bich | WWF | X | X | X | X | X | X | X |
| 45 | Nguyen Thi Hai Xuan | CEDMA/RIA1 | | | X | | | X | |
| 46 | Nguyen Van Sang | RIA2 | | | | X | | | |
| 47 | Nguyen Xuan Nhan | Domenal Joint Stock company | | | X | | X | X | |
| 48 | Nicolas Demblans | Distriblus Asia | | X | X | X | | | |

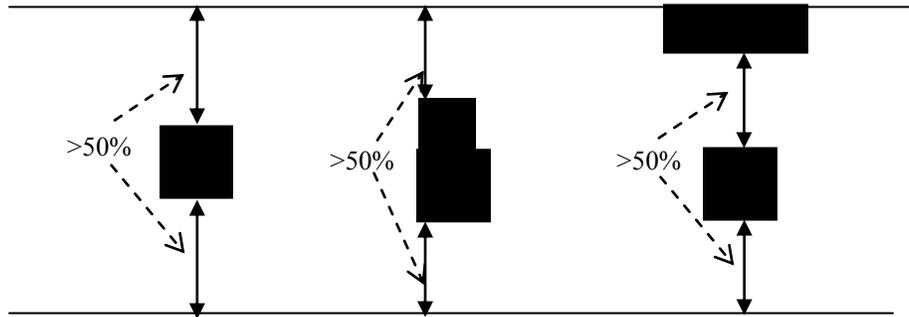
| # | Name | Organization | TWG1 | TWG2 | TWG3 | TWG4 | TWG5 | TWG6 | TWG7 |
|----|---------------------|--|------|------|------|------|------|------|------|
| 49 | Nicolas Privet | Freshstudio (formerly ANOVA) | | | | X | X | XXX | |
| 50 | Patrick Kestemont | University of Namur | | | | | | X | |
| 51 | Pham Quoc Lam | Butler's Choice | | | | | | | X |
| 52 | Phan Thi Hai Yen | Social Accountability International | X | | | | | | X |
| 53 | Phil Nguyen | Asia Innovation | | X | X | | X | X | |
| 54 | Raphaela Legouvello | Aquaculture Health Consulting | | | | | | X | |
| 55 | Reiko Omoto | University of Waterloo | | | | | | | X |
| 56 | Roel Bosma | Wageningen University | | | X | | X | | |
| 57 | Sena de Silva | NACA | X | | | | X | | X |
| 58 | So Nam | Inland Fisheries Research and Development Institute (IFReDI), Fisheries Administration, Cambodia | | | | X | X | X | |
| 59 | Stefano Carboni | University of Stirling | | | | X | | | X |
| 60 | Steven Schut | Wageningen University | | | | | | | X |
| 61 | Thuy Nguyen | Deakin University | | | | X | | | |
| 62 | Timothy Fitzgerald | Environmental Defense | | | | | | X | |
| 63 | Tran Truong Luu | Survey Design & Investment Consulting Joint Stock Company (SDICO) | | X | X | | | | |
| 64 | Uthairat Na-Nakorn | Kasetsart University | | | | X | | | |
| 65 | Vincent Ruel | Virbac | | | | | | X | |
| 66 | Vo Hoang Duy | Cuu Long University | | | X | | X | | |
| 67 | Vo Thanh Khon | Bianfishco | X | X | X | X | X | X | X |
| 68 | Wongpathom Kamonrat | Inland Fisheries Resources Research and Development Institute | | | | X | | | |
| 69 | Xavier Bocquillet | formerly IMO | | | X | | | | |

Note: “XXX” indicates TWG coordinators

ANNEX C—DIAGRAMS

Diagram 1. Standard for cages. Minimum width of the water body without farms

Examples of acceptable cage distributions (black rectangles indicate farming units)



Examples of unacceptable cage distributions (black rectangles indicate farming units)

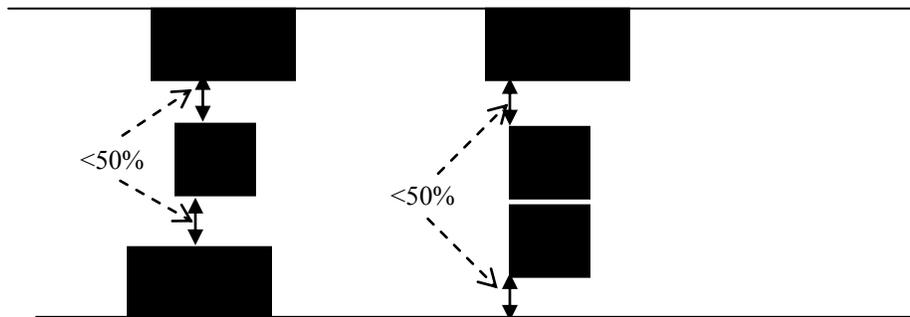
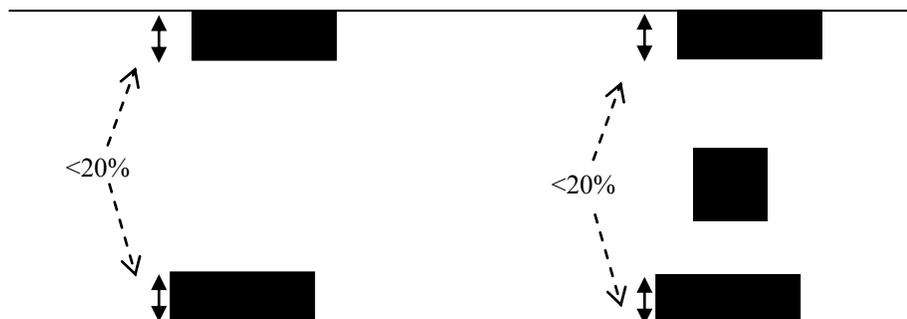


Diagram 2. Standard for pens. Maximum width a farm can occupy, calculated when the water body level/width is at its minimum

Examples of acceptable pen distributions (black rectangles indicate farming units)



Examples of unacceptable pen distributions (black rectangles indicate farming units)

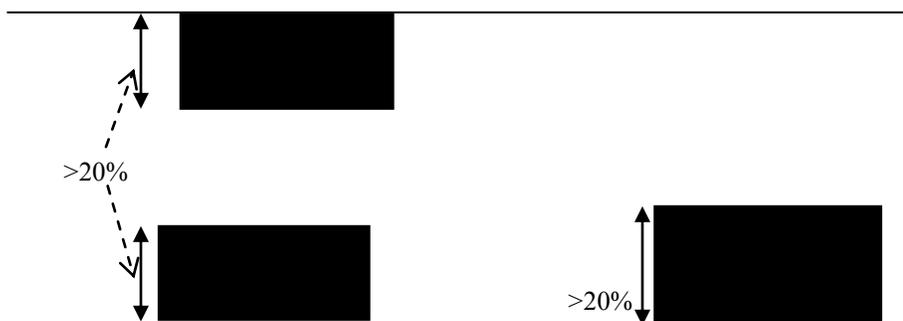


Diagram 3. Standard for pens. Number of contiguous pens allowed

Examples of acceptable pen distributions (black rectangles indicate farming units)



or



Examples of unacceptable pen distributions (black rectangles indicate farming units)



or



ANNEX D—MEASURING METHODOLOGIES AND FORMULAS

Note: Farm results are acceptable for audit purposes if there is evidence of those being obtained following appropriate procedures or from an appropriate source. If farmers do not conduct regular testing, the certification body will use an appropriate testing laboratory/procedure.

Water abstracted (Criteria 2.4)

Water abstracted can be calculated as follows:

| Code | Description | Example |
|------|---|------------------------------|
| PV | Pond volume | 27,000 m ³ |
| %E | % of pond water exchanged at each time | 1/3 water exchange |
| EV | Exchanged volume/time | 9,000 m ³ x time |
| T | Number of times in which water has been exchanged during one crop | 100 times/crop |
| TEV | Sustainable Fisheries Partnership | 900,000 m ³ /crop |
| Q | Total exchanged volume/crop | 300t |
| A | Quantity of fish harvested | 3000m ³ /t |

$$EV = \%E \times PV$$

$$TEV = EV \times T$$

$$A = TEV / Q$$

Total Nitrogen & Total Phosphorus Measuring Methodology (Criteria 3.1)

% Change = (value in outlet – value in the inlet) / value in the inlet

- TN shall be measured using the following method:
 - Kejdalh and Indo-phenol Blue
- TP shall be measured using the following method:
 - Kejdalh and Ascorbic acid
- Testing of water shall be conducted in the 2nd half of the crop (i.e. at least after 90 days from stocking)
- Farmers can provide test results directly. These have to be obtained following appropriate procedures (as defined in these standards) or from an appropriate source
- If farmers do not test water or the procedures used are not appropriate, the certification body will use an appropriate testing laboratory/procedure
- Sampling of water shall be conducted preferably in the morning (i.e. before 11AM)

Dissolved Oxygen Measuring Methodology (Criteria 3.2)

- Measurements for dissolved oxygen must be taken twice during the day. In order to get the maximum and the minimum levels, measurements should be made
- 1h before sunrise (± 30 min)
- and two hours before sunset (± 30 min)
- Oxygen shall be measured using a hand-held oxygen meter or a more accurate (chemical) method. Accuracy of the method shall be proven through peer-reviewed documents
- DO to be measured fortnightly by the farmer from the time of stocking and regularly for the whole period the farm is certified. Data for at least three months shall be available to the auditor. Records provided by the farmers will be validated by the auditor, who will measure DO in the receiving water at every visit.

Percentage change in diurnal DO of receiving waters relative to DO at saturation (Criteria 3.2)

Percentage change in diurnal DO of receiving waters relative to DO at saturation =

$$= \left[\frac{\text{Max DO (mg/l)}}{\text{DO at saturationMax (mg/l)}} \times 100 \right] - \left[\frac{\text{Min DO (mg/l)}}{\text{DO at saturationMin (mg/l)}} \times 100 \right]$$

Total TN Discharge Formula (Criteria 3.3)

TN Discharge (g/kg fish) =

$$\frac{[\text{Total TN (mg/l) in pond water} - \text{total TN (in mg/l) in intake water}] \times \text{Total discharged volume (m}^3\text{)}}{\text{fish yield (kg)}}$$

Total TP Discharge Formula (Criteria 3.3)

TP Discharge (g/kg fish) =

$$\frac{[\text{Total TP (mg/l) in pond water} - \text{total TP (in mg/l) in intake water}] \times \text{Total discharged volume (m}^3\text{)}}{\text{fish yield (kg)}}$$

Sludge Repository Formula (Criteria 3.4)

- Sludge is pumped every two months
- About 20 cm of sludge are pumped at every time
- Evaporation rate is assumed to be 150 mm/month⁸⁸

Therefore, the minimum sludge repository volume shall be calculated as follows

$$\text{Volume} = [\text{Area of ponds}^{89} \times 0.2\text{m}] - [\text{Area repository} \times 0.3\text{m}]$$

Weighted eFCR Formula (Criteria 5.2)

eFCR Calculation (Pond):

Feed Used (Metric Tons)

Fish harvested (Tons) - Fish Stocked (Tons)

Yield Calculation (Pond):

Fish harvested (Tons) - Fish Stocked (Tons)

Weighted eFCR Formula for Certified Farm (Criteria 5.2)

$$(\text{eFCR1} \times \text{Yield1}) + (\text{eFCR2} \times \text{Yield2}) + \dots + \text{eFCRn} \times \text{Yieldn}$$

(Yield1 + Yield2 + ... + Yieldn)

⁸⁸ Tri, Le Quang; van Mensvoort, M.E.F (2004) Decision trees for farm management on acid sulfate soils, Mekong Delta, Viet Nam Australian Journal of Soil Research. September 01, 2004

⁸⁹ Consider only the area of the ponds from which sludge has to be removed over the following 2 months

Feed Fish Equivalency Ratio (FFER) Formula (Criteria 5.2)

The FFER shall be calculated for both fishmeal and fish oil. The greater value shall be in compliance to the standards. FFER calculations for fishmeal and fish oil shall follow the formulas below:

Feed Fish Equivalency Ratio (Fishmeal):

$$\frac{(\% \text{ Fishmeal in feed } \times \text{ eFCR})}{\% \text{ yield of fishmeal from wild fish}^{90} (22.22\%)}$$

Feed Fish Equivalency Ratio (Fish oil)

$$\frac{(\% \text{ Fish oil in feed } \times \text{ eFCR})}{\% \text{ yield of fish oil from wild fish}^{91} (5\%)}$$

Real Percentage Mortality Formula (Criteria 6.1)

Real Percentage Mortality (versus recorded mortality) is calculated as an average across all holding units in the farm over a one year period. This calculation must only include live fish and must not be performed by subtracting the number of dead fish from the stocked number or adding it to the harvested number. ONLY use complete crops, such as crops which have been either harvested or prematurely stopped for any other reasons.

$$\text{Real Percentage Mortality} = \frac{(\text{number of fingerlings stocked} - \text{number of harvested fish}) \times 100}{(\text{number of stocked fish})}$$

Average Growth Rate Formula (Criteria 6.4)

$$\text{Average Growth Rate (g/day/fish)} = \frac{(\text{weight at harvest (g)} - \text{weight at stocking (g)})}{\text{number of days of production}}$$

⁹⁰ Does not include fishmeal or trimmings from fish processing by-products

⁹¹ Does not include fish oil from fish processing by-products

ANNEX E—HEALTH PLAN CHECKLIST (FOR CRITERIA 6.3)

| The health plan must include: | Done | Still to do |
|--|------|-------------|
| 1) Name and location of farm | | |
| 2) List of previously identified diseases | | |
| 3) Planned preventive methods and treatments (including chemicals, veterinary medicines, biological products and withdrawal periods) to be administered for previously identified diseases | | |
| 4) Pond preparation protocols | | |
| 5) Vaccination protocols (when applicable) | | |
| 6) Bio-security procedures | | |
| 7) Screening program in place for relevant pathogens | | |
| 8) Water management protocols for disease prevention | | |
| 9) Records of routine assigned aquatic animal health specialist visits are in place | | |
| 10) Frequency and methods of removal of sick and disposal of dead animals | | |
| 11) Other prevention plans where applicable | | |
| 12) Procedures for transportation of seed and of harvested fish | | |
| 13) Mechanism of responding to disease outbreaks, including reporting disease outbreaks to the fish health specialist and to others as appropriate | | |
| 14) Protocols for preventing disease spread (e.g., through water discharge and fish) | | |

ANNEX F—SOCIAL IMPACT ASSESSMENT (p-SIA) CHECKLIST FOR FARMERS (FOR CRITERIA 7.13)

A p-SIA is a risk assessment that assesses the impact of the farm on its environment and community, the extent of the impact and whom it will impact through a process in which farm and surrounding community (potentially affected stakeholders) have had open dialogues on impacts, risks, and ways to deal with these. Only those farm processes that present potential risks outside the farm (e.g. pesticide or antibiotic use and disposal for example) need to be reviewed in the p-SIA. The following nine facets should be considered.

| | Done | Still To Do |
|--|------|-------------|
| 1. The process and transparency of communication with stakeholders (e.g., affected people, groups and communities) | | |
| 2. Quality of the p-SIA process (e.g., is it participatory and transparent). (a) The intent to conduct a p-SIA is locally publicly communicated with sufficient time for interested parties to participate and/or get informed (b) In listing stakeholders, in making impact descriptions, and in preparation of a final p-SIA report-document, meetings with the listed stakeholders (or by stakeholders chosen representatives) have taken place (c) These meetings have been minuted and these records are attached to the final report; names and contact details of participating stakeholders included (d) Evidence is provided that draft and final p-SIA reports have been submitted to local government representative and, if stakeholders so desired, to a legally registered civil organization chosen by the stakeholders | | |
| 3. The risks, and actual impacts of the current or intended farm and at least two alternatives (one of these is the “no farm or no expansion” scenario). Concepts to cover include: | | |
| a) Economic aspects (influence on employment opportunities, influence on other livelihoods in community) | | |
| b) Natural resource access and use (land and water tenure, influence on quality and availability of natural resources incl. water) | | |
| c) Human assets (food security, health and safety, education, indigenous knowledge) | | |
| d) Physical infrastructure (access to roads, electricity, telephone, housing, waste disposal systems) | | |
| e) Social and cultural aspects (indigenous/traditional/customary rights and beliefs, social exclusion/inclusion, gender equity, changes in age composition of the community, local informal institutions and organizations) | | |

| | | |
|---|--|--|
| <p>f) Governance aspects (influence of aquaculture on norms, taboos, regulations, laws, conflict management, and whether these changes add up to more or less transparency, accountability and participation in decision making)</p> | | |
| <p>4. Research and report probable impacts that are likely to be most important. In doing this, it is important to arrange meetings with stakeholders to let them prioritize as well as to let them express how they assess/view/feel; identify both positive and negative risks and impacts. (this way of working also paves the way for handling trade-offs.)</p> | | |
| <p>5. Do deeper investigations into priority impacts with focus on the question “What changes will lead to if they indeed come about?” Include:</p> <ul style="list-style-type: none"> a) Physical effects to man-made and natural structures and processes b) Likely adaptations and the social and economic effects of making such adaptations c) How these effects and indirect effects would compare to having no intervention d) How effects may or might be cumulative. | | |
| <p>6. Make recommendations to maximize the positive and minimize the negative, with consideration to compensation options for those lands and people impacted; include recommendations on how to avoid these issues with the intended farm or farm development</p> | | |
| <p>7. Propose a mitigation plan assuming the farm development will take place or continue (in an adapted form if that seems appropriate); include a closure and reclamation plan explaining how repair or restoration will take place after farm closure or bankruptcy.</p> | | |
| <p>8. Develop and approve, with all stakeholders, a monitoring plan and indicators on positive and negative risks and impacts; make use of FDG⁹² and/or PRA⁹³ methodologies in this step</p> | | |
| <p>9. A summary with recommendations and conclusions is made available to all involved in the process and, through public local notices, made accessible to all members of the local community</p> | | |

⁹² Focus Group Discussions (FGD): A rapid way to collect comparative data from a variety of stakeholders in a group-setting. Very useful to list or brainstorm around concerns, to cross-check information for validation, or to obtain a list with a variety of reactions to hypothetical or intended actions

⁹³ Participatory Rural Appraisal (PRA): A term that covers a family of participatory approaches and methods to investigate with emphasis on local knowledge and perception. It includes group exercises through which stakeholders are encouraged to share information and make their own appraisals and formulate their own solutions. Originally developed for use in rural areas (with illiterate people), PRAs have been successfully employed in a variety of settings to enable local people to work together to plan appropriate developments in and for the community

