Pangasius Farms
Certification Application/Audit

INSPECTION INFORMATION – Download Electronic Form to Apply

The following questions comprise both the application form and audit for farms that apply for Best Aquaculture Practices certification. They are provided to help facilities prepare for the application process and subsequent site inspection.
To apply for certification, download and return the electronic Application Form at www.aquaculturecertification.org.

ANSWER ALL OF THE QUESTIONS. See scoring system below to perform a self-audit on the right side of the form. Following your facility's site inspection, the BAP auditor will determine a final score based on three categories of questions:

- **Critical questions** (indicated by "C" mark) are mandatory for certification and graded as pass or fail during the inspection and review process.
- **Scored questions** (indicated by "S" mark) are assigned 0 to 3 points with the following values: 0 = Unsatisfactory, 1 = Needs major improvement, 2 = Needs minor improvement, 3 = Satisfactory.
- **Informational questions** (indicated by "I" mark) provide required data, but no score is assigned.

To be certified, applicants must comply with all (100%) of the critical inspection requirements, score at least 70% (67 of 96 points) on the scored inspection requirements and maintain specified production records for traceability for at least three months. If a facility fails any critical elements, it will not be certified, regardless of its score otherwise. After five years, certified facilities shall comply with all critical requirements and score 80% or better on the scored requirements.

PUBLIC COMMENT DRAFT

		Score	
		Critical (P/F)	Scored (0-3)
	1. Property Rights and Regulatory Compliance		
C	1.1: Are current documents available to prove legal land and water use by your facility? _____ Yes _____ No		
I	1.1.1: List the documents you will present. (Confirmed during inspection.) _____ _____		
C	1.2: Are current documents available to prove all business and operating licenses have been acquired by your facility? _____ Yes _____ No		
I	1.2.1: List the documents you will present. (Confirmed during inspection.) _____ _____		
C	1.3: Are current documents available to prove compliance with applicable environmental regulations for construction and operation? _____ Yes _____ No		
I	1.3.1: List the documents you will present. (Confirmed during inspection.) _____ _____		
	2. Community Relations		
C	2.1: Does your facility accommodate local inhabitants by not blocking traditional access routes to fishing grounds, wetland areas and other public resources? (Prepare to provide area map showing property lines, fences, canals, ditches and other barriers. Auditor may interview members of local community.) _____ Yes _____ No		
S	2.2: Does your facility manage its water usage to avoid restricting the amount of water available to other users? _____ Yes _____ No		
		Subtotal	Subtotal

Application/audit form copyright 2010, Global Aquaculture Alliance. Do not reproduce without permission.

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

	Score	
	Critical (P/F)	Scored (0-3)

S 2.3: List meetings, committees, correspondence, service projects or other activities that show your facility is committed to regular interaction with the local community to avoid or resolve conflicts.

_____

_____

3. Worker Safety and Employee Relations

I 3.1: What is the minimum wage rate, including benefits, required by local and national labor laws?

Rate and currency _____ per time period _____
(e.g., hour, day, week, month)

C 3.2: Does your facility meet or exceed these wage and benefit requirements? _____ Yes _____ No
(Present documentation during inspection.)

C 3.3: Does your facility comply with national labor laws? _____ Yes _____ No
(Present documentation during inspection.)

S 3.4: Does your facility provide employee housing that meets local and national standards (e.g., water-tight structures, adequate space, heating/cooling)? (Confirmed during inspection.) _____ Yes _____ No _____ Does Not Apply

C 3.5: Is safe drinking water readily available to employees? _____ Yes _____ No
(Confirmed during inspection.)

C 3.6: Are running water, toilet and shower facilities readily available to employees? _____ Yes _____ No
(Confirmed during inspection.)

S 3.7: Are living areas free of accumulated trash and garbage? _____ Yes _____ No
(Confirmed during inspection.)

S 3.8: Briefly describe the basic medical care provided by your facility, including access to or communication with medical authorities in case of emergencies or accidents. (Confirmed during inspection.)

_____

_____

C 3.9: Is an emergency response plan prepared for serious illnesses or accidents? _____ Yes _____ No
(Confirmed during inspection.)

S 3.10: Briefly describe what training in general health, safety, first aid, contamination risks and proper disposal of potentially dangerous compounds is provided to employees. (Confirmed during inspection.)

_____

_____

S 3.11: List the protective gear and equipment provided for employees (e.g., eye protection for welding, gloves for shop work, boots for wet areas). (Confirmed during inspection.)

_____

_____

S 3.12: Is a first aid kit readily available to employees? _____ Yes _____ No
(Confirmed during inspection.)

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

4. Wetland Conservation and Biodiversity Protection

		Score	
		Critical (P/F)	Scored (0-3)
I	4.1: Has net loss of sensitive wetland habitat occurred on facility property since 1999? _____ Yes _____ No (If no, do not answer questions 4.1.1 and 4.1.2. Auditor will adjust final score.)		
C	4.1.1: Were the wetlands removed for allowable purposes? _____ Yes _____ No		
C	4.1.2: Was the removal mitigated by restoring an area three times as large or donation to restoration? _____ Yes _____ No		
I	4.1.2.1: Removal was mitigated by creating or replanting a viable wetland area of _____ square meters on or near farm		
I	4.1.2.2: Removal was mitigated by contribution of U.S. $ _____ to Restoration Program _____		
S	4.2: Has your facility practiced unrequired wetland creation or restoration in abandoned production areas or elsewhere? (Documentation required.) _____ Yes _____ No		
I	4.2.1: How was the stewardship demonstrated? (Documentation required.)		
I	4.2.1.1: Wetland creation or restoration of _____ square meters on or near farm		
I	4.2.1.2: Contribution of U.S. $ _____ to Restoration Program _____		
C	4.3: Is it true that wetland vegetation around the farm perimeter is not dying as a result of farm operations? _____ Yes _____ No _____ Does Not Apply (Confirmed during inspection.)		
C	4.4: Has your farm avoided dredge and fill activities aimed at increasing the area available for pond construction? (Maps, photographs or satellite images required.) _____ Yes _____ No		
C	4.5: Are screens installed on both water inlet and water outlet pumps or pipes? _____ Yes _____ No (Confirmed during inspection.)		
S	4.6: Does your facility use humane, nonlethal methods of predator control? _____ Yes _____ No		
C	4.7: Does your farm obey laws related to the destruction of birds and other predators and not control species on the IUCN Red List? _____ Yes _____ No		
S	4.8: Are measures taken to control erosion and other impacts caused by outfalls? _____ Yes _____ No (Confirmed during inspection.)		
		Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

Score	
Critical (P/F)	Scored (0-3)

5. Effluent Management

I 5.1: Does your facility operate within an irrigation system such that effluent water is exclusively destined to irrigate agricultural crops? (Confirmed during insection.) If yes, Standard 5 does not apply — proceed to Standard 6. If no, answer the Standard 5 questions below. _____ Yes _____ No

I 5.2: Does your facility avoid all regular or temporary discharges of effluents into natural water bodies, for example, by reusing all water? (Confirmed during insection.) If yes, Standard 5 does not apply — proceed to Standard 6. If no, answer the Standard 5 questions below. _____ Yes _____ No

C 5.3: Are records on intake water and effluent monitoring maintained and available? (Confirmed during inspection.) _____ Yes _____ No

C 5.4: Do effluent water quality concentrations comply with BAP water quality criteria, or if it was not possible to comply with BAP criteria because of high concentrations in the intake water, do concentrations reflect no increase between intake and discharge? (Confirmed during inspection.) _____ Yes _____ No

Note: Water quality measurements taken during certification inspection must meet BAP's initial criteria as outlined in the Guidelines for Standards — except as excluded above — and those of applicable government permits. Farms must continue compliance with these criteria to maintain certification and comply with BAP's final criteria within five years.

I 5.5: If effluent data are available for less than a full year, how long was this period? _____
(* Minimum three months data required for initial inspection.)

I 5.6: What was your facility's estimated annual water use during the last calendar year? (cubic meters) _____

I 5.7: What were the average annual concentrations for each variable for effluents that entered natural bodies of water at your facility during the last calendar year? (Confirmed during inspection.)

		Auditor Sample
I	5.7.1: pH (standard units)	
I	5.7.2: Total suspended solids (mg/L)	
I	5.7.3: Soluble phosphorus (mg/L)	
I	5.7.4: Total ammonia nitrogen (mg/L)	
I	5.7.5: 5-day biochemical oxygen demand (mg/L)	
I	5.7.6: Dissolved oxygen (mg/L)	
I	5.7.7: Chloride (mg/L)	

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

	Score	
	Critical (P/F)	Scored (0-3)

5.8: **(For Auditor Only)** What volume of effluent water was discharged on the day the readings above were taken? _____

5.9: **(For Auditor Only)** What are the farm's annual indices for the following?

5.9.1: Water use _____

5.9.2: Total suspended solids _____

5.9.3: Soluble phosphorus _____

5.9.4: Total ammonia nitrogen _____

5.9.5: 5-day biochemical oxygen demand _____

5.10: **(For Auditor Only)** What were the concentrations for each variable for the source water that entered the farm on the day of the inspection?

5.10.1: pH (standard units) _____

5.10.2: Total suspended solids (mg/L) _____

5.10.3: Soluble phosphorus (mg/L) _____

5.10.4: Total ammonia nitrogen (mg/L) _____

5.10.5: 5-day biochemical oxygen demand (mg/L) _____

5.10.6: Dissolved oxygen (mg/L) _____

5.10.7: Chloride (mg/L) _____

5.11: **(For Auditor Only)** What volume of source water entered the farm on the day the readings above were taken? _____

6. Sludge Management

I 6.1: Does your farm produce more than 20 mt fish/ha/crop? _____ Yes _____ No
If no, Standard 6 does not apply — proceed to Standard 7.
If yes, answer the Standard 6 questions below.

I 6.2: What is the total amount of fish produced in all ponds over one crop cycle at your facility? (metric tons) _____

I 6.2.1: What is the required capacity of sedimentation basins to handle sludge generated by the above production? (metric tons) (Calculated by auditor.) _____

C 6.3: Does the farm possess sufficient sedimentation basin capacity to handle the sludge volume associated with the crop production indicated above? (Confirmed during inspection.) _____ Yes _____ No

C 6.4: Does the farm process all sludge in sedimentation basins? (Confirmed during inspection.) _____ Yes _____ No

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

	Score	
	Critical (P/F)	Scored (0-3)

7. Soil and Water Conservation

I 7.1: Are ponds at your facility constructed on permeable soil? _____ Yes _____ No
(Confirmed during inspection.)

C 7.1.1: Are measures taken to control seepage and avoid contamination of aquifers, lakes, streams and other natural bodies of freshwater? _____ Yes _____ No
(Observation of salt-sensitive vegetation, monitoring of on-farm well water, interviews with local community.)

C 7.2: Does quarterly monitoring of neighboring well and surface water show that chloride levels are not increasing due to farm operations? _____ Yes _____ No
(Confirmed during inspection.)

I 7.3: Does your farm use well water in culture systems? _____ Yes _____ No
(Confirmed during inspection.)

S 7.3.1: Are water levels in nearby wells monitored by regulatory agencies to establish that aquaculture is not lowering the water table? _____ Yes _____ No
(Documentation required.)

S 7.4: Is it true that use of water from wells, lakes, streams, springs or other natural sources has not caused ecological damage or subsidence in surrounding areas? _____ Yes _____ No
(Confirmed during inspection.)

S 7.5: Are ponds managed to minimize water use through seine harvesting and other practices that result in major pond draining only at up to seven-year intervals? _____ Yes _____ No
(Confirmed during inspection.)

C 7.6: Is accumulated sludge removed from sedimentation basins and confined within the farm property or consolidated and used locally for landfill or agriculture? (Confirmed during inspection.) _____ Yes _____ No

8. Fishmeal and Fish Oil Conservation

C 8.1: Does your farm use feed that indicates its wild fishmeal and fish oil content or feed fish inclusion factor to allow determination of a fish in:fish out ratio? _____ Yes _____ No
(Confirmed during inspection.)

I 8.2: What was your facility's average annual feed-conversion ratio during the last calendar year? _____

I 8.3: What was your facility's average annual fish-in:fish out ratio during the last calendar year? _____

9. Control of Escapes, Use of GMOs

I 9.1: What fish species is/are cultured at your facility?

_____

_____

I 9.2: Are any of these fish non-native species? _____ Yes _____ No

I 9.2.1: List the non-native species.

_____

_____

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

	Score	
	Critical (P/F)	Scored (0-3)

I 9.3: Is governmental approval required for importation or use of the above species? _____ Yes _____ No

C 9.3.1: Does your facility comply with these government regulations? _____ Yes _____ No _____ Does Not Apply

I 9.3.1.1: List the documents you will present. (Confirmed during inspection.)

_____

_____

C 9.4: Are screens sized to retain the smallest animals present installed on water outlet pumps, pipes or sluices? (Confirmed during inspection.) _____ Yes _____ No

C 9.5: Are all incidents involving fish escapes accurately documented? (Documentation required.) _____ Yes _____ No

10. Storage and Disposal of Farm Supplies

C 10.1: Are fuel, lubricants and agricultural chemicals stored and disposed of in a safe and responsible manner? (Confirmed during inspection.) _____ Yes _____ No

S 10.2: Is it true that fuels, lubricants and agricultural chemicals are not stored near feed, in employee housing or kitchen areas, or near harvest equipment and supplies? (Confirmed during inspection.) _____ Yes _____ No

S 10.3: Are fuel, lubricants and chemical storage areas marked with warning signs? (Confirmed during inspection.) _____ Yes _____ No

S 10.4: Are precautions taken to prevent spills, fires and explosions, and are procedures and supplies readily available to manage chemical and fuel spills or leaks? (Confirmed during inspection.) _____ Yes _____ No

S 10.5: Is garbage from housing and food waste retained in water-tight receptacles with covers to protect contents from insects, rodents and other animals? (Confirmed during inspection.) _____ Yes _____ No

S 10.6: Briefly describe how garbage and other solid waste are disposed of to comply with local regulations and avoid environmental contamination and odor problems (e.g., recycling, burning, composting or placing in a landfill). (Confirmed during inspection.)

_____

_____

S 10.7: Describe the measures taken to prevent infestation by animal and insect vectors and pests. (Confirmed during inspection.)

_____

_____

S 10.8: Does secondary fuel containment conform to BAP guidelines for fuel storage? (Confirmed during inspection.) _____ Yes _____ No

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

		Score	
		Critical (P/F)	Scored (0-3)

11. Animal Welfare

C 11.1: Does your facility apply a maximum biomass limit based on fish health and survival records? (Confirmed during inspection.) _____ Yes _____ No

I 11.1.1: The maximum biomass is set at _____ kilograms/cubic meter.

S 11.2: Is feeding managed to avoid stress through underfeeding or overfeeding? (Confirmed during inspection.) _____ Yes _____ No

S 11.3: Does your facility apply maximum periods for fasting, crowding and time out of water? (Confirmed during inspection.) _____ Yes _____ No

I 11.3.1: The maximum fasting period is _____ hours.

I 11.3.2: The maximum crowding period is _____ hours.

I 11.3.3: The maximum time out of water is _____ seconds.

S 11.4: Are regular inspections of the culture facility, water quality, behavior and condition of fish performed? (Confirmed during inspection.) _____ Yes _____ No

S 11.5: Are disease outbreaks managed through rapid diagnosis and treatment (including vaccination by trained staff) and, when necessary, humane slaughter? (Confirmed during inspection.) _____ Yes _____ No

S 11.6: When ill, deformed or unmarketable fish and unwanted species are removed, are they killed by humane techniques and the carcasses disposed of responsibly? (Confirmed during inspection.) _____ Yes _____ No

12. Drug and Chemical Management

S 12.1: Does the farm have a written health management plan that includes procedures to avoid the introduction of diseases, protocols for water quality management and fish health-monitoring and disease diagnosis techniques? (Documentation required.) _____ Yes _____ No

C 12.2: If used, are drug treatments based on recommendations and authorizations overseen by a fish health specialist only to treat diagnosed diseases in accordance with instructions on product labels and national regulations? _____ Yes _____ No _____ Do Not Use

C 12.3: Is it true that any antibiotics or chemicals banned or unapproved in the producing or importing country are not used in feeds, pond additives or any treatment that could result in residue in fish? (Confirmed during inspection.) _____ Yes _____ No

C 12.4: Is documentation available from feed manufacturers that antibiotics or other drugs are not present in non-medicated feed used at the farm? (Documentation required.) _____ Yes _____ No

I 12.5: Are medicated feeds used at your facility? (Confirmed during inspection.) _____ Yes _____ No

C 12.5.1: Are medicated feeds offered in accordance with product labels? (Documentation required.) _____ Yes _____ No

C 12.6: Is it true that your farm does not use antibiotics or hormones as growth promoters? (Confirmed during inspection.) _____ Yes _____ No

S 12.7: Has a survey of chemical use been conducted to identify potential contaminants such as pesticides, PCBs and heavy metals in the surrounding watershed? (Documentation required.) _____ Yes _____ No

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

	Score	
	Critical (P/F)	Scored (0-3)

13. Microbial Sanitation

I 13.1: Briefly describe how domestic sewage is treated to avoid contamination of surrounding areas (e.g., sewer system, septic system, portable toilet, outhouse). (Confirmed during inspection.)

_____

_____

C 13.1.1: Is human waste/sewage disposed of responsibly to prevent entry into water canals, ponds or nearby water bodies? (Confirmed during inspection.) _____ Yes _____ No

C 13.2: Is it true that human waste and untreated animal manure are not used to fertilize ponds? (Confirmed during inspection.) _____ Yes _____ No

C 13.3: Is it true that uncooked organisms are not used as feed in growout ponds at your facility? (Confirmed during inspection.) _____ Yes _____ No

14. Harvest and Transport

S 14.1: Are fish harvested and transported in a manner that maintains temperature control and minimizes stress? (Confirmed during inspection.) _____ Yes _____ No

S 14.2: Are equipment and containers used to harvest and transport fish clean and free of lubricants, fuel, metal fragments and other foreign material? (Confirmed during inspection.) _____ Yes _____ No

S 14.3: Is the adequacy of transport methods assessed through documented mortality rates? (Documentation required.) _____ Yes _____ No

S 14.4: Is the duration of live fish transport kept below 24 hours to minimize stress? (Confirmed during inspection.) _____ Yes _____ No

C 14.5: Is it true that nonapproved chemicals are not applied directly or indirectly during transport? (Confirmed during inspection.) _____ Yes _____ No

C 14.6: Prior to slaughter, are fish rendered insensible by means of carbon dioxide, ice or ice slurry, a blow to the head or an alternative stunning process? _____ Yes _____ No

Traceability Requirement

C Are traceability records maintained via the BAP-approved online traceability system for each of the specified parameters for every production unit and every production cycle to allow tracing of fish back to the unit and inputs of origin? (Confirmed during inspection.) _____ Yes _____ No

I What internal system does your facility use to maintain traceability data as defined in the Guidelines for Standards?

_____

_____

_____

Subtotal	Subtotal

FORM FOR REFERENCE ONLY. Download electronic form at www.aquaculturecertification.org to apply for certification.

PUBLIC COMMENT DRAFT

Final Scoring — For Offical Use After Inspection

Auditor:

I have applied the Best Aquaculture Practices guidelines to the best of my ability in completing the site inspection and assign the following score for this facility.

☐	**Irrigation System, No Discharge** Passed Critical Questions x 2.703 =	____ %	(Must pass all 37 items for 100%.)	
☐	**Pond-Based Farms** Passed Critical Questions x 2.564 =	____ %	(Must pass all 39 items for 100%.)	
☐	Total Scored Points x 1.042 =	____ %	(Must initially score at least 70%, then 80% or more after five years.)	

Final Score	
Pass	**Fail**

BAP Auditor Signature _____ Date _____

Farm Representative:

I had the opportunity to participate in the BAP site inspection and understand the score assigned.

Farm Representative Signature _____ Date _____

Note: Certification is not complete until payment is received for all ACC and auditor fees.

Auditor Comments — Attach additional sheets, if needed.