



**CERTIFICATION BODY (CB) APPROVAL REQUIREMENTS FOR THE IFFO
RESPONSIBLE SUPPLY (IFFO RS) AUDITS AND CERTIFICATION**

Introduction

The IFFO RS Certification Programme is a third party, independent and accredited Certification Programme owned by the IFFO RS Governance Board and operated by IFFO RS. The Programme certifies that Marine Ingredients such as Fishmeal and Fish Oil are manufactured responsibly and produced from Fishery Material supplied from responsibly managed Fisheries.

The Programme consists of a set of standards applicable for Marine Ingredient Producers and for the Chain of Custody of Compliant Material through the Supply Chain.

This document describes the requirements necessary for Certification Bodies (CBs) to apply and become successfully approved to Audit and Certify Applicants to the Responsible Supply component of the Programme and not to Applicants wishing to seek certification to the Chain of Custody standard.

Scope

The scope of CB Approval Requirements covered is for the Auditing and Certification of Marine Ingredients Producers to the IFFO RS standard (Requirements for Certification) current version.

1.0 Certification Body Registration with IFFO

1.1 Registration

1.1.1 Certification Bodies (CBs) wishing to apply to assess against the IFFO RS Responsible Supply standard shall first, as a pre-requisite, be accredited to ISO/IEC 17065:2012 Conformity assessment - Requirements for Bodies Certifying Products, Processes and Services.

CBs wishing to seek recognition shall formally write to the Head of Operations at IFFO RS, confirming their intention to submit an Application Form.

Upon receipt of an Application Form for Approval to Conduct Assessments, IFFO RS. will provide the CB with a copy of this Approval Requirements Document and other relevant documents.

CB Applicants shall meet all requirements of this document including, but not limited to, the competency

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and training requirements of CB Staff and Individual Auditor related to the specific categories covered under the IFFO RS Responsible Supply standard.

Only CBs that are registered and formally recognized by IFFO RS are authorised to conduct assessments against the IFFO RS Responsible Supply standard.

Recognition of a CB by IFFO RS. will only take place if the CB Accreditation Body is recognised by IFFO RS. To this extent the Accreditation Body must be a member of the International Accreditation Forum (refer to www.IAF.NU).

IFFO RS - Responsible Supply Standard (Requirements for Certification) current version.

ISO/IEC 17065:2012 IFFO RS Scope Extension:

To achieve an extension to their current ISO/IEC 17065:2012 Scope of Accreditation, a CB shall demonstrate it is able to carry out evaluations against the IFFO RS Responsible standard. Therefore a CB shall be allowed to carry out a specified number of evaluations, at least 5 but no more than 10, prior to achieving Full Accreditation Extension for the IFFO RS Responsible Supply standard.

CBs in Application for extension to their Accreditation, shall identify their certification activity by the issuing of IFFO RS Responsible Supply standard Certificates by using the terminology '**Accreditation in Application**' to all those applicants they certify.

The applying CB shall be able to provide documentation that confirms that they have a current and active application in progress;

- a) An active application to the Accreditation Board for an Extension to Scope against ISO/IEC 17065:2012 accreditation to include the IFFO RS Responsible Supply standard.

The timeline to receive full accreditation shall be within that specified by IFFO currently;

- b) Accreditation Scope Extension must be expected within 12-18 months of the date of application to their Accreditation Body.

1.2 Named CB Representative

The CB will have a Named Representative responsible for dealing with all aspects of IFFO RS Responsible Supply standard Accreditation and be knowledgeable of the entire IFFO RS Responsible Supply Programme. This person shall be named and their position in the CB recorded on the Registration Form. In the event that this Named Representative leaves the employment of the CB or moves to a different role, IFFO shall be informed accordingly and provided with the name and details of a replacement, within a period of 5 working days.

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2.0 Quality Management System

2.1 General Requirements

As part of the Approval Process the CB shall provide evidence to IFFO RS to show that it has a fully documented and implemented Quality Management System, under the responsibility of a designated individual within a defined Management Structure. The Quality Management System shall be in accordance with accreditation requirements and as such subject to regular System Reviews conducted to ensure continuous improvement in the quality of services provided by the CB.

2.1.1 The CB’s Quality Management System shall be documented in a Quality Manual and associated Quality Procedures that are made available to all Staff to implement, maintain and be continually improved.

2.1.2 The CB shall have an appropriate Quality Manual, which shall include a Quality Policy Statement that outlines the management commitment to ensuring its certification quality objectives.

2.1.3 As part of the Quality Manual, the CB shall identify and document ownership, have a clear organisational structure and unambiguously define key procedural documents, job functions, responsibilities and reporting relationships of all Staff engaged in delivering their certification services.

2.1.4 The CB shall clearly identify the Staff Member(s) accountable for the maintenance of their Quality System.

2.1.5 The CB shall have a list of everyone employed within the organisation and maintain personnel records for all Staff and Auditors, which covers their qualifications, training, experience, affiliations, professional status, and any relevant consultancy to identify any possible conflict of interest or risks to impartiality.

2.1.6 A description of how the CB will manage the Certification Process, including the Technical Review and/or Control of Certification Decision Processes such as the Certification Committee Structure, its Membership Criteria and the Terms of Reference and Operating Procedures.

2.1.7 Details of the CB’s Management Review Processes, including Policy and Review Procedures, including frequency and documented results. Reviews shall be conducted, at a minimum, every 12 months.

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2.1.8 The CB's Document Control Procedures shall specify:

- a) Approval documents for adequacy prior to issue.
- b) Review and update as necessary and re-approve documents.
- c) That changes and the current revision status of documents are identified.
- d) That relevant versions of applicable documents are available at points of use.
- e) That documents remain legible and readily identifiable.
- f) Those documents of external origin determined by the organisation to be necessary for the planning and operation of the CBs Quality Management System are identified and their distribution controlled.
- g) The prevention of the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

2.1.9 A documented Recruitment Procedure that covers Selection, Initial Training, Ongoing Training and Performance Assessment for all relevant Staff and Auditors.

2.1.10 A list of all Approved Subcontractors and a detailed Procedure for their Appointment, Assessment and their Ongoing Management shall be documented.

2.1.11 Procedures for actions taken in response to any Non-conformity raised in a Certification Audit are required, to evaluate the effectiveness of agreed objective evidence presented, or corrective or preventative actions taken by the Applicant.

2.1.12 Procedures in relation to the use of the IFFO RS standard Certificate, Rules for Granting, Suspending or Withdrawing the certificate, and the actions taken by the CB should a suspension or withdrawal need to take place.

2.1.13 Policies and Procedures in response to Appeals, Complaints and Disputes shall be documented.

2.1.14 Documented Procedures for Conducting and Documenting all Internal Assessments and any resulting corrective actions that may arise.

3.0 Contractual Arrangements

3.1 CB Contract Arrangements with IFFO RS Board

3.1.1 On approval, the CB will be required to enter into a Contractual Arrangement with IFFO RS Board. The contract will provide the basis by which the CB can undertake Assessments against the IFFO RS standard for potential Applicants, but does not constitute a Guarantee of Certification Business. The contract will identify the Terms and Responsibilities of each party with respect to conducting third party Accredited Audits and the Certification of Applicants to the IFFO RS standard.

3.2 CB Contracts Arrangements with Applicants for Certification

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3.2.1 The CB shall ensure that a Contractual Agreement with the Applicant is in place for the authorisation and provision of any Assessment activity and Certification reporting.

3.2.2 The Contractual Arrangement shall include the notification to the Applicant of the requirements of the CB to provide the Applicant’s Information associated with the Assessment and Certification Status to IFFO RS Board.

3.2.3 The CB shall have procedures in place to ensure that the resources to undertake any IFFO RS Assessment and Certification activity will be in place on entering into a contract to provide these services with a Potential Applicant or Existing Certificate Holder of the IFFO RS Programme.

3.3 CB Contractual Arrangements with Own Staff and Subcontracted Auditors

3.3.1 The CB shall have in place agreements with all Staff involved in the Certification Process which obligates them, at a minimum, to the requirements listed below. The CB shall further have agreements in place with all its Auditors, including its Subcontracted Auditors.

The CB shall carry out Assessments:

- With all due skill and care.
- In accordance with the relevant standard.
- In accordance with any conditions attached to their Accreditation and only in respect of the IFFO RS standard categories for which they are registered.
- Using only Auditors who are trained and meet the competencies of the IFFO RS standard for undertaking such Assessments.
- In accordance with International Best Practice in Third Party Assessment and Auditing, which includes Auditor Code of Conduct for Impartial and Ethical Behaviour.

3.4 Provision of Certification Information to IFFO RS Board

The CB shall inform the IFFO RS Head of Operations of all Certification Decisions and to which Applicant, within a period of 3 working days.

4.0 CB Registration with Accreditation Body

Any CB wishing to carry out Assessments against the IFFO RS standard shall be accredited to ISO/IEC 17065:2012 Conformity Assessment – Requirements for bodies certifying products, processes and services by a recognised Accreditation Body that is a member of IAF (International Accreditation Forum) and a signatory to the IAF Multilateral Recognition Arrangement (MLA.).

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Should Accreditation to the Scope of the IFFO RS standard not be granted within the timeline specified in section 1, the CB's Approval with IFFO RS Board may be invalidated and Re-registration will not be an option until further evidence of the commitment to achieve Accreditation Status is provided to IFFO RS Board by the CB.

4.1 Accreditation Status

The CB shall make the IFFO RS Head of Operations immediately aware, within 24 hours, of any Change of Accreditation their Status or Changes to Ownership, Management Structure or staff involved in the IFFO RS Responsible Supply standard Certification Process.

4.2 Extensions to Scope for Registered CBs

Where a Registered CB wishes to extend their scope to include another IFFO RS standard, the request for Scope Extension will need to be submitted to the Head of Operations at IFFO RS. The process for extending the scope of the CB Assessment is the same as for the Initial Registration.

4.3 Scope of Expertise

CBs shall demonstrate to their Accreditation Body that their Staff and Contractors have the knowledge and expertise to work within the specified fields of knowledge relevant to the industry sector being assessed. Each Auditor undertaking Certification Assessments must have the appropriate qualifications, training, experience and skills to perform an Evaluation against the IFFO RS standard. CBs shall demonstrate appropriate training for each Auditor and Subcontracted Auditor has been undertaken to understand the IFFO RS standard. **The importance of demonstrable competency under the Scope of Evaluation cannot be over emphasised for all Staff and Auditors.**

4.4 Auditor Registration and Training

4.4.1 The CB will hold a detailed and complete Skills Matrix or Files for each Auditor undertaking IFFO RS standard Assessments.

4.4.2 The CB shall maintain up-to-date records demonstrating how each Auditor complies with the requirements for qualifications, training requirements and experience required under the IFFO RS standard.

4.5.3 These records shall be made available to IFFO RS Board and supplied on request.

4.6 Specific Auditor Qualification Requirements

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4.6.1 All Auditors shall be able to report in the 'Working Language'. Auditors shall also be able to communicate effectively with the language spoken at the site of the Applicant for Assessment. (The use of independent interpreters accompanying the Auditor will be acceptable to overcome any language barriers).

4.6.2 Formal education to a minimum of a high school diploma.

4.6.3 Formal Auditor Training in Assessment Techniques that would be relevant in the Fishmeal Supply Chain.

4.6.4 Shall have at least 3 years auditing experience in similar type Assessment Programmes.

4.6.5 Auditors shall have successfully completed an IFFO RS Recognised Training Course for the IFFO RS standard Assessment Techniques which includes:

- General knowledge of the entire IFFO RS Programme.
- Knowledge of relevant legislative requirements or regulations.
- Knowledge and understanding of specific processes to the sectors in the Supply Chain being assessed.

4.6.6 A CB Training Programme for each New Auditor to the Programme shall incorporate, at a minimum:

- An assessment of knowledge and skills for each field of evaluation.
- A document signed off to prove the satisfactory completion of the Training Programme by an IFFO RS appointed supervisor.

4.7 CB Auditor Practical Evaluations

Each Newly Trained Auditor will need to successfully complete one (1) IFFO RS Responsible Supply standard which is witnessed by an experienced and Registered Auditor. In addition, the Auditor will need to prove they have had experience of 3 Assessments or 6 Assessment days at a number of different organisations against similar type standards, before they can be formally registered as an Approved Auditor for the IFFO RS standard.

4.8 Maintain Assessment Experiences

The CB shall have in place an annual review programme to maintain an auditor competence to the IFFO RS standard.

4.9 Continued Training and Competency Monitoring

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The Auditor shall be kept up-to-date with Supply Chain Sector Best Practice, and have access to and be able to apply relevant Laws and Regulations.

An Auditor shall undergo additional Training by the CB whenever new versions of the IFFO RS standard, Check Lists, Policies, Guidance Documents, etc., are issued. The CB shall maintain written records of all relevant training undertaken.

Training and Monitoring shall also include calibration across Auditors to the IFFO RS standard which will include Assessment Report Reviews and Comparisons etc.

Training and Examinations are to be provided to each Auditor wishing to maintain their Active Status approximately every 2 years.

4.10 Auditor Attributes and Competencies

The CB shall have a system in place to ensure that an Auditor conducts themselves in a professional manner. The following provide examples of required behaviour:

- Ethical, i.e. fair, truthful, sincere, honest and discreet.
- Open minded, i.e. willing to consider alternative ideas or points of view.
- Diplomatic, i.e. tactful in dealing with people.
- Observant, i.e. actually aware of physical surroundings and activities.
- Perceptive, i.e. instinctive, aware of and able to understand situations.
- Versatile, i.e. adjust readily to different situations.
- Tenacious, i.e. persistent, focused on achieving objectives.
- Decisive, i.e. timely conclusions based on logical reasoning.
- Self-reliant, i.e. acts independently whilst interacting effectively with others.
- Integrity – aware of need for confidentiality and observing professional code of conduct.

4.11 Conflict of Interest, Confidentiality and Code of Conduct

The CB and the Auditors they employ must avoid any conflict of interest, or breach of confidentiality or ethics. The CB is bound by a Contractual Agreement with the IFFO RS Board to abide by these requirements. CBs shall also have Signed Agreements in place with all Auditors registered to assess against the IFFO RS standard. This Agreement shall include, at a minimum, the following types of topics:

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- Prohibitions against conflict of interest.
- The requirement to divulge to the CB any potential conflict of interest (such as prior consulting, prior employment, and the like) before undertaking an Assessment, or that may arise during the Assessment.
- A policy for the CB to investigate notifications of, or incidences of, potential conflict of interest and to exclude the Auditor for a specific period where appropriate.
- Prohibitions against consulting for, or soliciting - consultancy or other types of work with an IFFO RS standard Applicant prior to, or during an Assessment, and during the Certification Process.
- Prohibitions against conduct or remarks that may, in the view of IFFO RS board, disparage the Programme, Programme Management or Owner and related Staff, Certified Facilities, or associated Organisations e.g. CBs or Accreditation Bodies.
- Prohibitions against using or sharing confidential information from the Applicants assessed.
- The CB shall include in the Auditor Agreements, as a minimum the above points, including specific Codes of Ethics/Conduct Obligations as outlined herein. Copies of these Agreements shall be provided to IFFO RS Board upon request.
- Any potential breaches of these requirements that come to the attention of IFFO RS Board by the CB or its Auditors will be brought to the CB to formally discuss. Conversely, the CB is required to also notify the IFFO RS Board of such matters that may come to their attention.

4.12 Subcontracted Auditor

Where the CB’s Approved Auditors are Independent Subcontractors to the CB, all of the requirements detailed throughout this document relating to Auditors and CB responsibilities concerning oversight, training, and competency of auditor, etc., shall apply.

The CB shall not, at any time, use any Subcontract Auditors that have not been approved through the CB Auditor Approval Process.

4.13 CB Staff Specific Qualification Requirements

At least one member of the CB’s Staff involved in the IFFO RS standard Certification Process shall attend an Approved Auditor Training Course.

Information on the relevant qualifications, training and experience of each Member of Staff involved in the IFFO RS standard Certification Process shall be maintained by the CB. Records of training and experience shall be kept up-to-date. These records shall include, as a minimum:

1. Name and address.
2. Organisation affiliation and position held.

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3. Educational qualifications.
4. Experience and training related to Seafood Responsible Supply, Assessment processes, assessment of Assessment reports and corrective action evidence, and the relevant IFFO RS standard.
5. Records, including dates, related to training and education.

Staff utilised by the CB to conduct Auditor Training, Calibration and Competency Reviews shall also demonstrate proper experience, training and competencies as described above.

Records of CB Personnel training, experience and competency shall be provided to IFFO RS upon request.

The Certification Review/Decision-making Group/Team/Committee shall be adequately staffed to ensure timely reviews and decision-making.

5.0 Communication

IFFO RS welcomes communications with CBs and information exchange. IFFO RS will, from time-to-time, seek CB input into the IFFO RS standard, related documents, and on the Assessment Process.

IFFO RS Board recognises the importance of Accreditation during the development of the entire IFFO RS Programme and Certification Process. It has consulted with (IAF) National Accreditation Bodies and experienced CBs to ensure the all requirements of Product/Process Certification are met. IFFO RS Board will continue to liaise with all approved CBs and Accreditation Bodies where appropriate in the further development of the Programme.

The CB must agree and communicate to IFFO RS the following:

- Any and all offices that offer to make Certification Decisions, and/or issue Certification to IFFO RS standard shall be duly registered with IFFO RS and with their Accreditation Board.
- Each auditor is qualified to perform the assessment services he/she performs on behalf of the CB in accordance with the criteria set out herein and other related IFFO RS standard documents and has complied with all training and competency requirements.
- It maintains an accurate record of the qualifications of each Auditor and the training undertaken by such Auditor.
- All factual information supplied to IFFO RS and/or the Accreditation Body by the CB is, or was when given, true, accurate and not misleading.
- The CB has the power and all necessary consents, licenses and registrations to conduct their business and to enter into and perform the contract.

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- The CB has read, understood and shall comply with their obligations and requirements as laid out in this document and other IFFO RS standard documents.

6.0 Use of the IFFO RS Certification Logo

The IFFO RS logo is the property of IFFO RS Board and its authorisation and rules for use are controlled via an agreement between IFFO RS Board and certified applicants and registered CBs.

AMENDMENT LOG

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