

IFFO RS SAMPLE FACTORY ASSESSMENT REPORT

For Issue 1, Rev 6 of the IFFO RS Standard

CONFIDENTIAL MATERIAL

(For authorised use only)

**IFFO Responsible Supply Standard
(IFFO RS)****Company Details****Site-Code :** IFFO RS code for the Applicant**Company Name :** Applicant name**Site Name :** Applicant details**Site Address :****Country :****Postcode :****Telephone :****Fax :****Company Representative Name :** Applicant Main contact**Email :****Site Representative Name :** Applicant Site Contact**Email****Audit/Auditor Details****Auditor Names :****IFIS/FEMAS(or equivalent)
Cert No and Expiry Date:****Audit Date :****Previous Audit Date :****Key Personnel**

Name/Job Title	Present at Audit (x)			
	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Need to list by name and title				
If senior management do not attend opening and closing meetings, questions should be asked about the commitment of the applicant to the standard				
Definitely need Production Manager to explain the applicant's systems				

Audit Duration Details**On-site audit duration X man hours** need this information to understand how long the assessment took for future audit planning .

Note the on site assessment will take longer if the auditor has to go to the fishing landing point to enable them to verify if some of the points raised in the fishery approval assessment will need to be validated during the on site assessment.

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Raw Material Scope

Fishery (Auditor Note: Please list all the approved fisheries that the applicant is sourcing from)

MSC Certified Fishery		IFFO Approved Fishery	Common Name	Latin Name	Fishery Region	Supplier
Yes/No	MSC Fishery Code	Yes/No				
			<i>See Guidance below. If in doubt, verify this info on the IFFO RS website http://www.iffo.net/whole-fish-raw-material.</i>			

Fishery By Product: (Auditor Note: Please list all the approved by-product fisheries that the applicant is sourcing from)

MSC Certified Fishery		IFFO Approved Fishery	Common Name	Latin Name	Fishery Region	Supplier
Yes/No	MSC Fishery Code	Yes/No				
			<i>See Guidance below. If in doubt, verify this info on the IFFO RS website http://www.iffo.net/product-raw-material.</i>			

Aquaculture By-product: (Auditor Note: Please list all the approved Aquaculture By-products that the applicant is sourcing .)

			Common Name	Latin Name	Supplier
			<i>See Guidance below. If in doubt, verify this info on the IFFO RS website http://www.iffo.net/product-raw-material.</i>		

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	<p align="center">Conforms</p> <p align="center">Y, N or NA</p>	<p align="center">Details</p>
<p>The Applicant is only permitted to have IFFO RS approved raw material in their scope if the applicant has been granted approval to do so by IFFO RS Ltd.</p> <p><i>During the audit, the applicant must provide evidence of approval to source the IFFO RS approved raw materials detailed in their scope. This can be done through showing evidence of approval emails received from IFFO RS Ltd for each species within the scope.</i></p>		
<p>The Applicant is only permitted to have MSC certified raw material in their scope if they have a process in place to confirm the certified status of products upon receipt.</p> <p><i>Documentation received with MSC certified products needs to clearly identify the product as certified. This could include delivery notes, invoices, bills of lading, or electronic information from the supplier. The product shall be identifiable as certified on the line item of the related invoice, unless all products on the invoice are MSC certified.</i></p>		<p>Please request a list of MSC CoC certified suppliers and cross check with on MSC website that they valid. Please submit with final report http://cert.msc.org/supplierdirectory/VController?Path=be2ac378-2a36-484c-8016-383699e2e466</p>

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Summary

A full summary review of the applicant's site assessment will be required that highlights , but is not limited, to the following;

- details of the type and number of non-conformances that were raised;
- comment on the applicant's site overall Quality Management System and procedures and their commitment to the IFFO RS standard
- details/description of legislation which may be relevant to the assessment.
- Overall capabilities in traceability of fishmeal/fish oil, highlighting any weaknesses in the system (if applicable).

Company / Site Profile

A full profile of the applicant and the site assessed is required to ensure that all parts of the applicant's organisation are documented. This information should include but will not be limited to the following;

- Ownership of the company, e.g. Privately owned, plc, part of a larger group, **if so how many sites are there and how many of these have applied to the IFFO RS standard.**
- Background e.g. history, age of company, turnover, production volume (annual tonnage of IFFO compliant material);
- Age of site, size of site;
- Number of employees and shift patterns;
- Summary of product types and customer types, customer locations. E.g. countries supplied
- Changes since the last visit (where applicable);
- Other relevant third party certificates held.

The main reason why this information is required is to ascertain where this site is situated in the applicant organisation and in relation to the supplying raw fisheries, to ensure that full traceability of the fishmeal and fish oil can be determined back to the raw material source. This will also verify the information that was submitted on the applicant's application form.

In addition copies of all other third party certifications that are held on this site shall be noted and a copy taken. The fact that a site has these additional certification will provide additional confidence in the measurement of a site's compliance to its own systems and other established standards.

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Clause No & Requirement	Conformance Rating	Guidance Details
SECTION 1 – RESPONSIBLE SOURCING PRACTICES		
1.2 Responsible Sourcing Policy		
<p>1.2.1 The Applicant must implement a documented Policy that commits them to the responsible sourcing of fishery material in accordance with this Standard.</p> <p>Where an applicant can demonstrate that they are sourcing from a fishery with valid MSC Certification the material will be automatically approved</p>	FULL COMPLIANCE	<p>The applicant site has a written commitment to the IFFO RS standard and has a document that states that they will only source from approved IFFO RS approved fisheries and by product fisheries for products bearing the IFFO RS statement or logo. This document will need to be approved by the site's CEO or an equivalent senior manager.</p> <p>If the Raw material is sourced from MSC certified fisheries these are automatically approved fisheries and the applicant will have a documented policy stating this fact.</p>
1.4 Reporting and Recording of Whole Fish Raw Materials		
Each delivery of whole fish material must meet the following criteria in order for it to be eligible for use as approved raw material.		
<p>1.4.1 Whole fish Fishery material must be traceable to a fishery (ies) assessed as compliant to the requirements of relevant clauses of the IFFO Standard to be eligible for identification of IFFO compliant.</p>	FULL COMPLIANCE	<p>The applicant must be able to demonstrate that they have procedures and documented evidence to prove that all the whole fish material that will be used for the production of IFFO RS material can be traced back to the fisheries they were sourced from. These fisheries must either be IFFO RS approved or MSC certified.</p> <p>The auditor should note that IFFO RS fishery assessments approve specific species. It is recognised that all fisheries produce some level of bycatch; therefore the whole fish material used by the applicant is unlikely to consist entirely of approved species. If each individual non-approved species represents less than 5% (by weight) of a landing, the landing can be treated as entirely IFFO RS. However, if any single non-approved species regularly makes up more than 5% of landings, that species should be subjected to a full IFFO RS fishery assessment before such landings can be considered approved for the requirements of this criterion unless the fishery management plan for the species specifically recognises that a higher percentage level of by catch is permitted and has been accounted for.</p> <p>The Auditor shall give a brief summary of the traceability system: from catch, Landing, transfer to the plant, intake, production, dispatch.</p>
<p>1.4.2 All whole fish fishery landings discharged to the Applicant must be recorded and where applicable, must be reported to the official control body according to the legal requirements within the jurisdiction.</p>	FULL COMPLIANCE	<p>The applicant has a record of each landing made to it for all the whole fish used in the plant that is destined for use as raw material for complaint IFFO RS Fish meal and oil. If the fishery regulations states that each landing must be overseen by the national control body which has jurisdiction over the fishery, these records should be available as well for all consignments used in the Factory. In most cases the fish meal plant will have to record the landing by weight and species and report this back to the regulatory authorities if an inspector is not present at the time of landing.</p> <p>The Auditor shall review and verify that these records are accurate and up to date. For reference the auditor should review the whole fish approval report to establish what requirements are necessary for the landing of this whole fish material. The most up to date approval reports can be located on www.iffonet.net/whole-fish-raw-material.</p>

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<p>1.4.3 Whole fish Fishery material must not be from IUU fishing activity nor sourced from vessels officially listed as engaging in illegal, unreported and unregulated (IUU) fishing activity.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant has a procedure in place to review and check that all fish is landed from vessels that have been officially licenced/permited to take a quota/catch from the fishery. This will entail the requirement to prove that each vessel has an official licence/permit to fish in the fishery. The applicant will also need to ensure that each of these licences/permits are up to date and relevant for the fishery in question.</p> <p>Countries and boats or fleets of boats supplying raw material destined for IFFO RS fishmeal and fish oil must not be listed on or associated to any "black list" internationally recognized by the appropriate Regional Fishery Management Organisation (RFMO).</p> <p>The Auditor should check that this procedure is robust and being complied with for all whole fish utilised in the factory.</p>
<p>1.4.4 The details of each consignment of whole fish from a vessel must be recorded. This must include:</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will be able to provide all the information asked in the following six(6) sub criteria for each consignment of fish used in this plant that will be used as a raw material for the IFFO RS compliant fish meal and oil</p>
<p>(i) Name of vessel, registration number, call sign, legal owner, name and address,</p>	<p>FULL COMPLIANCE</p>	<p>Confirmed that all this information is clearly identified on all records that related back to the whole fish that is utilised within this factory</p>
<p>(ii) Proof of authorisation to engage in the specific fishing activity,</p>	<p>FULL COMPLIANCE</p>	<p>Confirmed that all this information is clearly identified on all records that related back to the whole fish that is utilised within this factory</p>
<p>(iii) Date and time of discharge to facility,</p>	<p>FULL COMPLIANCE</p>	<p>Confirmed that all this information is clearly identified on all records that related back to the whole fish that is utilised within this factory</p>
<p>(iv) Species and quantity discharged,</p>	<p>FULL COMPLIANCE</p>	<p>Confirmed that all this information is clearly identified on all records that related back to the whole fish that is utilised within this factory</p>
<p>(v) Location or place(s) and dates of fishing activity where catch originated,</p>	<p>FULL COMPLIANCE</p>	<p>Confirmed that all this information is clearly identified on all records that related back to the whole fish that is utilised within this factory</p>
<p>(vi) Fishing method used,</p>	<p>FULL COMPLIANCE</p>	<p>Confirmed that all this information is clearly identified on all records that related back to the whole fish that is utilised within this factory</p>
<p>1.4.5 A sample of the Whole fish consignment must be assessed to check its conformity with its fishery management rules and statutory requirements.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor confirmed compliance by reviewing a sample of a whole fish consignment (suggest one in the last 3 months) and conducted an assessment to verify that all the legal requirements, policies, procedures and records are fully in compliance with those reviewed in the other clauses covered in section 1 of the IFFO RS standard.</p>

SECTION 2 – RESPONSIBLE TRACEABILITY PRACTICES

2.1 Traceability of fishmeal to fishery

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<p>2.1.1 Applicants must have a system in place to ensure that the production of compliant fishmeal and fish oil can be traced back to compliant fishery material.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will be able to describe their traceability system and how they can identify complaint raw material as it processed through their production operation to the final product of Fish Meal and Fish Oil. For most applicants, the use of specific batch codes that can follow the raw material through the process would be a way of maintaining the traceability. The applicant should also be able to complete a full traceability review to show which boats the raw material were derived from or in the case of by products which primary processor it was derived from and through the production processes to the final product.</p>
<p>2.1.2 Applicants must implement procedures that demonstrate the avoidance of raw materials that are sourced from Illegal, Unreported and Unregulated (IUU) fishing activity.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a policy backed up by procedures that will determine that they are aware of potential IUU fish and what actions they will take to ensure that this will not occur for any of the raw material that they source. This will entail reviewing a recorded list of illegal fishing vessels, consulting with the regulatory authorities, etc. before the applicant will accept a vessel to supply its operation. In the case of by product material the applicant will need to gain a written commitment from the supplying processor that they have polices in place to avoid the use of IUU fish.</p> <p>The applicant will also be able to demonstrate that all its employees are aware of this policy and the enforcement procedures to ensure that the possibility of any unofficial landing coming into the plant is kept to the absolute minimum.</p>
<p>2.1.3 Fishmeal and fish oil that meets the requirements of this Standard (“IFFO Assured”) must be kept separate and identifiable in order to be eligible for identification as compliant with the IFFO Global Standard for Responsible Supply.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have procedure/system to ensure that non IFFO approved raw material is kept separate and is readily identifiable from the approved IFFO RS raw material. This system will also need to cover when the finished fish meal and fish oil is stored to prevent the mixing of approved and non-approved IFFO RS material.</p> <p>This requirement will need to be backed up by training the operators to ensure that only approved IFFO RS raw material and finished product can be labelled as such.</p>
<p>2.1.4 Applicants must implement a system adequate to ensure positive batch identification.</p>	<p>FULL COMPLIANCE</p>	<p>An applicant will have a system in place to positively identify all batches/production runs/lots etc. of IFFO RS compliant material throughout all stages in the production cycle, to allow it to be easily identified and traced throughout the applicant’s process.</p>
<p>2.1.5 Where the identity of eligible material is lost, (e.g. through mixing with ineligible material) or there is a potential loss in identity through loss in traceability, the subsequent batch must no longer be identified as compliant with the IFFO Global Standard for Responsible Supply.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a procedure in their management system on how to deal with the case where a loss of traceability or eligibility of IFFO certified material has occurred. This will usually entail the requirement to have an effective quarantine system in place for any product that was found to be outside the scope of this standard or is suspected to be due to a loss of identification and traceability.</p> <p>If this loss of traceability does occur the applicant will have a process and procedure in place to ensure that all this product is NOT labelled IFFO RS compliant</p>

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<p>2.1.6 Applicants must test the efficacy of their batch control and traceability systems through a thorough documented internal audit conducted no less than once per annum for both fishmeal and fish oil.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have to demonstrate that they completed a full traceability test and MASS BALANCE check on the IFFO RS compliant fish meal and fish oil at least once per year to prove it is still effect and robust and this should be identifiable for each approved raw material. This system test shall cover the entire production process from the source of the raw material to the point where the fish meal and oil is sold to their customer and this shall also include any third party or central distribution depot used by the applicant.</p> <p>All internal audits and test must be conducted by competent individuals that have suitable training to conduct this type of test and check.</p> <p>If they highlight any areas that could pose a potential loss of traceability issue then a plan will be required and implemented which states all the actions required and with suitable time lines to rectify them.</p> <p>If it is a serious breach that could result in mislabelling of IFFO RS compliant fish meal or oil this should be rectified immediately or if this is not possible they should have a process to ensure that the subsequent Fish meal and fish oil must not be labelled as IFFO RS compliant.</p>
<p>2.1.7 This must include:</p>		
<p>2.1.7.1 Traceability of fishery material supply– Supplier Traceability.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor shall take a sample of fishmeal and one of oil and shall test the applicant’s traceability system to ensure that it can be traced back to either the source fishery or if a by-product to the source processor.</p> <p>The applicant will be only complaint if this can be done effectively and by using the systems and procedures in place within the plant</p>
<p>2.1.7.2 Traceability of raw fishery material to finished product as it moves through processing and all storage stages (including external and third party storage) - Process Traceability.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor should test the process traceability of both fish meal and fish oil throughout the entire manufacturing process, including the third party storage depots and/or central distribution depots, to ensure that all the applicant’s systems are effective.</p> <p>The auditor should describe the process and highlight which production date they used to test the traceability systems. Care should be taken to ensure that all external storage facilities are included, if applicable, in this assessment.</p>
<p>2.1.7.3 Traceability of certified compliant fishmeal and fish oil to immediate customers-Customer Traceability.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor should test the traceability of both fish meal and fish oil throughout the packing and onward selling process to ensure that all the applicant’s systems are effective.</p> <p>The auditor should describe this process and highlight which production date they used to test the applicant’s traceability systems. Care should be taken to ensure that all external storage facilities are included, if applicable, in this check.</p>

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<p>2.1.7.4 The outcome of internal traceability audits must be documented including, evidence of performance through compliance reports, non-conformances, corrective and verification actions.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have an in Internal audit regime and will specifically look at reviewing their own traceability systems to ensure that they are effective and creditable. The applicant will record all the results from these audits and will document including descriptions of any non-conformances, corrective actions and the date they were corrected and signed off.</p> <p>The auditor will get the last traceability audit and will check that no outstanding actions are waiting close off. The auditor will also check that if non-compliances were noted in the last internal audit that the corrective actions implemented, were robust enough to close out the issue to ensure that it will not occur again in future.</p>
<p>2.1.8 Applicants must inform the Certification Body in the event of a recall of certified material.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a procedure in their management system on the product recall requirements for IFFO RS certified fish meal and fish oil. In this procedure there will be a list of contacts that should be inform and one of these will need to be the certification body that award them their IFFO RS certificate. A time frame for informing the certification body shall be stated within this procedure</p>
<p>2.2 Record Keeping</p>		
<p>2.2.1 Applicants must ensure that all records required by this standard are kept for a minimum of three years.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a procedure that requires all records to be kept for three years in their management system. The records can either be in a hard or soft format. The auditor should take a sample of records to confirm that this procedure is being adhered to.</p>
<p>2.2.2 Records must be accurate, legible and unadulterated.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor as part of the assessment will review a selection of records, to ensure that they have been completed correctly in accordance with the applicant's policies and procedures.</p>
<p>SECTION 3 – RESPONSIBLE MANUFACTURING PRACTICES</p>		
<p>3.1 Certification to IFIS</p>		
<p>3.1.1 Applicants must demonstrate Responsible Manufacturing Practices by achieving certification to the International Feed Safety Alliance (IFSA) Feed Ingredient Standard (IFIS).</p>	<p>FULL COMPLIANCE</p>	<p>The applicant must have as a pre-requisite to being certified to the IFFO RS standard an equivalent IFIS certification or a standard that has been benchmarked as being equivalence to this standard. Details of which standards are acceptable are published in the IFFO RS standard document. The most common IFIS standards used by applicants are GMP+ and FEMAS. The only standard that has been benchmarked as equivalence is the Chilean PAC standard.</p> <p>The auditor shall review the last IFIS or PAC audit to ensure that the applicant still has a valid certificate and they should make a note of the certificate number and expiry date.</p>

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<p>3.1.2 IFIS Certification (or equivalent) must be administered by an ISO Guide 65 accredited Certification Body and the IFSA programme included in the scope by a member of the IAF Multilateral Agreement (MLA).</p>	<p>FULL COMPLIANCE</p>	<p>The auditor will make a check on the applicant's certification body that issued the IFIS standard certificate to ensure that they are fully accredited by an accreditation body within the International Accreditation Form (IAF) and if the auditor is not sure then this must be checked with the IAF before this clause can be complied with.</p>
<p>3.1.3 Current and valid certificates must be available for each site registered on the IFFO RS Application Form.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor shall check that for all sites assessed, that a full and valid certificate to an approved standard is in place. The auditor will make a note of the certificate number and the certificate validation dates.</p>
<p>3.1.4 The outcome of external inspection and surveillance audits to the IFIS Standard must be made available including; reports of the performance, outcome, non conformances and corrective actions associated with assessments conducted by the appointed Certification Body.</p>	<p>FULL COMPLIANCE</p>	<p>The auditor will check that all the clauses for the IFIS standards have been correctly approved, by assessing the applicant's last IFIS report to ensure that the certification body for this standard has completed a full audit.</p> <p>The auditor will check that all the NCs raised to the IFIS standard have been closed off and accepted by the IFIS certification body. As part of the factory assessment the auditor will review where the IFIS assessment identified a NC to confirm that the corrective actions agreed by the applicant to close this off were still being adhered to.</p>

SECTION 4 – FISH BY – PRODUCTS

4.1 Raw Fishery Materials from Fish Processing

Raw material originating from fish processing operations may only be used to produce fishmeal or fish oil if it meets the following criteria:

<p>4.1.1 The fish by-product must come from fish that is intended for Human consumption. The applicant must have a document policy stating this.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will need to provide assurance that all the by-product trimmings utilised in the plant and are destined to make compliant IFFO RS material have come directly from factories where the fish has been used for direct HUMAN consumption. The applicant must have a policy statement committing them to the requirements of this clause. The applicant must also have a signed commitment from the fish processors that they will only send fish trimmings to the applicant from processing operations that were destined for Human consumption.</p> <p>The applicant can utilise whole fish that was destined for human consumption as long as they can prove that it was not captured directly for fish meal production and that the only reason it is in the fish meal plant is that it was rejected on quality grounds by the human consumption factory. The proof will need to be in the form of written evidence that the human consumption factory rejected the consignment of whole fish on the ground of poor quality.</p> <p>The applicant will have a policy that it will not utilise fish by products from fish species that are critically endangered or endangered as classified by the IUCN red list. This commitment must be agreed to by the supplying processors in the form of a signed agreement not to send this classification of fish by product, in the waste material sent to the applicant. The majority up to 90% by volume of all by product fisheries utilise will be tested by the standard's certification body to ensure that they are not classified as critically endangered or endangered, before they will be approved for use a IFFO RS by product. The remainder are very small volumes of fish species and the applicant will rely on the processor's commitment not to place trimmings from endangered species into the applicant's factory.</p> <p>The applicant will have a robust traceability system in place to provide proof that all fish by products can be traced back to the supplying fish processing plants.</p>
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<p>4.1.2 The fish by-product must meet and be handled according to the requirements of the IFIS or equivalent certification programme, which include: no contamination with Land Animal Protein (LAP), chemical, biological or physical agents</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a policy to check that up to 3 previous loads are recorded on the delivery note for all the by-products. This is to ensure that the transportation trailer used to deliver the fish by products has not been used to transport products that may contaminate the fish e.g. Land Animal based Proteins (LAP), Glass, chemicals etc. This requirement will not be necessary if the applicant can provide evidence that the bulker trailer is dedicated for fish by products transportation only.</p> <p>The factory if it utilises a skip or boxes to transport the fish by- products, should ensure that they are equipped with covers, and are maintained in a clean condition to prevent contamination and must ensure that they are only used to move fish based goods. If not the skips and boxes should be thoroughly cleaned prior to use. Documented evidence that this process has been conducted effectively shall be available for assessment.</p> <p>The applicant will in this policy state that only Category 3 waste material will be used in this factory for the production of IFFO RS fish meal and fish oil.</p>
<p>4.1.3 The fish by-product must not knowingly be from illegal, unreported and unregulated fishing activity.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant on application to the IFFO RS standard will provide a list of the species that make up at least 90% of the trimmings that it uses and these will undergo a by-product assessment by the standard's certification body to ensure that there is not a risk of IUU fish being used. The applicant shall have written confirmation from its supplying processors that they will not place fish in the waste that they know is from IUU fisheries.</p> <p>The other 10% of by-products will not normally be assessed as their volumes will be low by species , but the applicant should be informed from the processors what they are, so as to ensure that they not from IUU fisheries or are landed by black listed fishing boats.</p>
<p>4.1.4 The Applicant must be able to trace the origin of material back to the supplying fish processor or handler and by species or mix of species included in the receiving batches.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a robust and credible traceability system in place to trace each consignment of by product material back to the individual processor or group of processors. This will be in the form of documented evidence supplied from the delivery note or from accompanying documentation.</p>

Records of the above must be maintained.

4.2 Raw Fishery Material from Aquaculture

Raw material originating from aquaculture production may only be used to produce fishmeal or fish oil if it meets the following criteria:

<p>4.2.1 They must show no clinical signs of disease on the day of receipt (EU Reg 1774/2002).</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a policy on what type of waste material can be sourced from aquaculture and they must have a policy in place to not accept diseased fish waste.</p> <p>The applicant must also train their staff to understand what to look for if diseased fish come to the factory</p>
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<p>4.2.2 They must not come from a farm which is subject to a prohibition for animal health reasons and must not have been in contact with animals from such a farm.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a policy on what type of waste material can be sourced from aquaculture and they must have a policy in place not to accepted prohibition fish waste. However, fish that is from surrounding farms that has been slaughtered as a precautionary action can be used as a raw material for IFFO RS fish meal and fish oil production, as long as there is documented proof that this material is not infected e.g. by Veterinary certificate or declaration that it can be used in fish meal and fish oil production</p>
<p>4.2.3 They must be kept segregated and clearly labelled as fishmeal and fish oil of the species that they originate from including circumstances where they are mixed with other raw materials both before and post processing (EU Reg 811/2003)</p>	<p>FULL COMPLIANCE</p>	<p>The applicant will have a policy and procedure to keep the different types of by product separate, so that farmed salmon trimmings and other aquaculture by-products etc. cannot be made into fish meal or oil that can be used in the production of fish diets for the same species. The applicant will need to have the capability of keeping this aquaculture derived fish meal and oil separate from the fish meal and oil made from wild capture species.</p> <p>This can be done by time so the salmon or other aquaculture waste is done first followed by a cross over period and all this resultant fish meal and oil while it can be IFFO RS, cannot be used as fish feed and as such will need to be labelled appropriately.</p> <p>Alternatively the factory can have dedicated lines to handle aquaculture derived waste and wild capture derived waste material. The applicant will need a clear traceability system for both types and this will need to be tested by the auditor to prove that it is in compliant with this requirement.</p>
<p>Section 5- Social Accountability</p>		
<p>5.1 The applicant must have a documented policy that commits them to ensuring that their fishmeal and fish oil products are manufactured in compliance to all applicable employment, welfare and safety legislation.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant shall have an employee welfare and safety policy that covers all the following points:</p> <ul style="list-style-type: none"> • No child labour to be used • No forced labour to be used • Safe and hygienic working conditions • Freedom of association, the right to collective bargaining and conflict resolution • No discrimination to sexual orientation, race, gender or disability • No harsh or inhumane treatment • Working hours to be in compliance to national legislation and each employee will have a term and conditions of employment • Receive the national minimum wage <p>The auditor shall check that the policy contains ALL relevant areas of responsible social management as listed above and that these employee rights have been clearly communicated to all its staff.</p>

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<p>5.2 The applicant must conduct a document annual self-assessment against all applicable social laws. All non-compliance must be documented, with action plans to address and monitor the non-compliance.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant can provide evidence that its social accountability commitment policy is reviewed every year to take into account any changes in national legislation or international codes of best practice.</p> <p>The applicant shall also have a staff communication process in place to ensure that all staff including new and sub-contracted staff are fully aware of their rights in connection with this social accountability policy.</p> <p>The applicant shall also incorporate a system for staff to be able to communicate to the senior management, in confidence, any issues that an employee may have with the applicant’s compliance to this policy.</p> <p>The applicant will have an open and transparent process to share with all staff changes that it wishes to incorporate following complaints, grievances, or noncompliance’s raised during the annual review.</p> <p>The auditor shall have clear documented evidence to ensure that these requirements are fully complied with by the applicant</p>
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Section 6- Environmental Accountability

<p>6.1 The applicant to the IFFO RS standard must have a documented policy that commits them to ensuring that their fishmeal and fish oil products are manufactured in compliance to all applicable environmental regulations.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant must have an environmental policy that covers all the following points:</p> <ul style="list-style-type: none"> • The discharge of chemical, biological and physical effluent is in compliance with national regulations • The discharge of odours and air emissions is in compliance with national regulations <p>The auditor shall check that the applicant’s current policy is in compliance with their national regulations.</p>
<p>6.2 The applicant must provide evidence that they comply with all applicable regulations for effluent and emission discharges.</p>	<p>FULL COMPLIANCE</p>	<p>The applicant can provided documented records that they have consulted with and have complied with all national regulations that related to:</p> <ul style="list-style-type: none"> • The discharge of chemical, biological and physical effluent • The discharge of odours and air emissions <p>The auditor will review the latest requirements and check that the applicant is in full compliance. The auditor shall note: limits to be shown, making sure they are measured periodically.</p>
<p>6.3 Areas for improvements that have been identified must be accompanied by an action plan that is approved by the national regulatory authorities</p>	<p>FULL COMPLIANCE</p>	<p>Areas of non-compliance that have been identified must be accompanied by an action plan that is approved by the national regulatory authorities The applicant has a full and approved action plan to show compliance with the national regulations.</p> <p>The auditor shall make a note of the national regulatory authorities for future reference.</p>

Section 7- Legislative Compliance

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7.1 The applicant must maintain compliance with all applicable social and environmental legislation for the past 12 months.	FULL COMPLIANCE	The applicant must provide evidence that they have not been prosecuted in the past 12 months for any ethical, environmental or legal legislation. The applicant can provide evidence to the auditor that there is no impending prosecution in place for its operation with regard to ethical, environmental and legal legislation.
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Fishery Conditions			
	Fishery Name	Conditions met? Y, N or NA	Details
<p>The applicant must provide evidence to demonstrate that they meet any fishery conditions which have been set for the approved fisheries they are sourcing from.</p> <p>Please check conditions by following the below link: http://www.iffo.net/whole-fish-raw-material</p> <p>Please check section 4 of report - GUIDANCE FOR ONSITE ASSESSMENT</p>			

Non-Conformance Summary

LIST OF NON-CONFORMANCES

Critical Non Conformances

No.	Clause Reference	Detail of CRITICAL Non-Conformity
	Insert IFFO RS clause number	The auditor shall record the detail of the non-conformity and shall not word this statement in a fashion that may result in a recommendation to the applicant, as this will be deemed as consultation and is in breach of the IFFO RS standards accreditation status

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	Name / Signed	Date
Client Representative:	The applicant shall sign this box as proof that they agree with the non-conformity and its rating given by the auditor. If the applicant does not agree the non-conformity will stand and the applicant has the right of appeal back to the certification. (refer to the complaints and appeals procedure policy	This shall be the date of the assessment to the IFFO RS standard
Auditor:	The auditor shall sign this form after the client has signed and agreed at the closing meeting of the assessment. If the applicant does not sign and wishes to appeal the auditor shall still sign this record of non-conformance	This shall be the date of the assessment to the IFFO RS standard

Guidance Note

For all Critical Non-compliances the auditor shall inform the CB immediately and the certification of the applicant will not processed until the critical non-compliances have been closed off. This will require the applicant to undergo another onsite assessment to confirm that each critical non-compliance has been closed off and that the applicant now has a robust system in place to ensure that this type of non-compliance does not occur in future.

For all Critical Non-compliances raised at an existing IFFO RS member the auditor shall inform the CB with immediate effect and the CB shall suspend the member from the programme and inform IFFO in accordance with the Conducting of Assessments Procedure.

Major Non Conformances

No.	Clause Reference	Detail of MAJOR Non-Conformity
	Insert IFFO RS clause number	The auditor shall record the detail of the non-conformity and shall not word this statement in a fashion that may result in a recommendation to the applicant, as this will be deemed as consultation and is in breach of the IFFO RS standards accreditation status

	Name / Signed	Date
Client Representative:	The applicant shall sign this box as proof that they agree with the non-conformity and its rating given by the auditor. If the applicant does not agree the non-conformity will stand and the applicant has the right of appeal back to the certification. (refer to the complaints and appeals procedure policy	This shall be the date of the assessment to the IFFO RS standard
Auditor:	The auditor shall sign this form after the client has signed and agreed at the closing meeting of the assessment. If the	This shall be the date of the

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	applicant does not sign and wishes to appeal the auditor shall still sign this record of non-conformance	assessment to the IFFO RS standard
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Guidance Note

For all Major Non-compliances the auditor shall inform the CB within 24 hours and the certification of the applicant will not be processed until the major non-compliances have been closed off. This may require the applicant to undergo another onsite assessment to confirm that each major non-compliance has been closed off, if the applicant cannot provide evidence to prove that a now more robust system is in place to ensure that this type of non-compliance does not occur in future.

For all Major Non-compliances raised at an existing IFFO RS member the auditor shall inform the CB within 24 hours and the CB shall not recertify the member to the programme until all the major non-compliance has been closed off in accordance with the Conducting of Assessments Procedure.

Minor Non Conformances

No.	Clause Reference	Detail of MINOR Non-Conformity
	Insert IFFO RS clause number	The auditor shall record the detail of the non-conformity and shall not word this statement in a fashion that may result in a recommendation to the applicant, as this will be deemed as consultation and is in breach of the IFFO RS standards accreditation status

	Name / Signed	Date
Client Representative	The applicant shall sign this box as proof that they agree with the non-conformity and its rating given by the auditor. If the applicant does not agree the non-conformity will stand and the applicant has the right of appeal back to the	This shall be the date of the assessment to the IFFO RS standard

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	certification. (refer to the complaints and appeals procedure policy	
Auditor	The auditor shall sign this form after the client has signed and agreed at the closing meeting of the assessment. If the applicant does not sign and wishes to appeal the auditor shall still sign this record of non-conformance	This shall be the date of the assessment to the IFFO RS standard

Guidance Note

For all Minor Non-compliances the auditor shall inform the CB within 24 hours and the certification of the applicant will not processed until the minor non-compliances have been closed off. This will entail the applicant submitting the necessary document evidence to prove that each minor non-compliance has now been closed off.

For all Minor Non-compliances raised at an existing IFFO RS member the auditor shall inform the CB within 24 hours and the CB shall not recertified the member to the programme until each minor non-compliance has been closed off in accordance with the Conducting of Assessments Procedure.

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