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# CONTROL MANUAL

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IFFO GLOBAL STANDARD FOR RESPONSIBLE  
SUPPLY OF MARINE INGREDIENTS

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## 1. INTRODUCTION

This is the Quality Management System (QMS) Control Manual for the IFFO RS programme. It supports the assessment of Fisheries and certification of processing facilities against the 'IFFO RS standard' in conjunction with the 'IFFO RS Fishery and Factory Assessment Guidance', and is further supported by a collection of standard control documents, templates, and specific information relating to the IFFO RS Improver Programme and Fishery Approval Peer Review Process.

This manual outlines the policies and procedures which prescribe and guide the Auditing/Evaluation/Certification/Accreditation Process, and demonstrates that there are no Policies/Procedures whereby IFFO RS actively participates in any part of the assessment or Decision-Making Process.

The IFFO RS Certification Programme is owned and managed by IFFO RS Ltd. The structure of the operating, certification and control procedures are described herein.

The IFFO RS Certification Programme and Standards Management take into account and aim to follow the general best practice criteria and guidance as outlined by:

- 1982 United Nations Convention on the Law of the Sea.
- 1995 FAO Code of Conduct for Responsible Fisheries (FAO CCRF).
- FAO Guidelines for the Eco-labelling of Fish and Fishery Products.
- Implementation of the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing. Technical Guidelines for Responsible Fisheries No. 9.
- FAO Good Aquaculture Feed Manufacturing Practice. Technical Guidelines for Responsible Fisheries. No. 5, Suppl. 1.
- FAO Technical Guidelines on Aquaculture Certification.
- EC Regulation 1005/2008 establishing a Community System to prevent, deter and eliminate Illegal, Unreported and Unregulated (IUU) fishing.
- ISO 14024:1999. Environmental labels and declarations - Type 1 environmental labelling - Principles and Procedures.
- IFSA International Feed Ingredient Standard and Rules of Certification.
- FEMAS Feed Materials Assurance Scheme Sector notes: Fishmeal and Crude Fish Oil July 2007.
- European Feed Manufacturers Guide (EFMC) January 2007.
- ISO/IEC Guide 59 CODE of good practice for standardisation, MSC Principles and Criteria for Sustainable Fisheries Standard.

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The principal objectives of the IFFO RS Certification Programme are:

- To demonstrate to Stakeholders the commitment by IFFO RS organisations to responsible and sustainable practices in the areas of feed safety, raw material procurement and delivery.
- Assurance is demonstrated by a Certificate of Approval, or a Certified Logo or a Certified Statement of Conformity stating that products have been sourced and processed by IFFO RS participants who comply with the IFFO RS standard, procedures and practices.
- The IFFO RS certification provides the means by which IFFO RS participants may attain independent assurance that they have policies and procedures in place which conform to internationally recognised raw material sourcing and processing Best Practice.
- The IFFO RS programme promotes and encourages the principles of responsible fisheries management through the assessment of Raw Material Source Fisheries against a standard derived from the FAO Code of Conduct for Responsible Fisheries and other internationally recognised Sustainable Fishery Guidelines.

The key document for the IFFO RS certification programme is the current version of IFFO RS standard.

Marine Ingredient Factory certification requires an annual audit of the Factory and annual surveillance of the Raw Materials including the Source Fisheries, to assess their compliance to the IFFO RS standard for responsible Raw Materials.

This manual will be accessible on request and available to members of IFFO RS, the IFFO RS Governing Board, Committees of the RS Scheme, Certification Bodies, Accreditation Boards, Marine Ingredients Processor Clients, and to all other interested parties. The content of this manual will be subject to annual review as part of the Programme’s Internal Quality System Review.

IFFO RS makes information and documentation freely and publicly available about the Programme’s governance structure, programme ownership, standards and standard-setting procedures, and the composition, operating procedures and responsibilities of its governance bodies. This is on the IFFO RS website <https://www.iffors.com/>.

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## **2. IFFO RS POLICY STATEMENTS**

### **2.1 General IFFO RS Policy Statement**

The IFFO RS Programme policy is founded on a commitment by IFFO RS and its participants to provide and support a responsible sourcing standard, assessment and certification framework for marine ingredients producers such as Fishmeal and Fish Oil, to demonstrate to industry Stakeholders the extent to which sustainable sourcing and processing policies and procedures have been implemented.

All activities of the IFFO RS programme will be carried out in a systematic manner in accordance with defined and documented Policies and Procedures, will meet applicable legislative requirements, will be visible and auditable, and will ensure that the needs of Applicant, Staff, Certification Bodies (CBs), Accreditation Bodies (ABs) and all other related Stakeholders are met.

### **2.2 Key Performance Indicators for IFFO RS**

IFFO RS is committed to providing and facilitating a cost effective and practical assessment and certification process through which all sizes of Marine Ingredient Producers can demonstrate their commitment to responsible sourcing practices, and will implement the Quality Management System (QMS) described in this document in order to achieve the following objectives:

- To work in partnership with CBs and Applicants to provide for their needs and enhance their expectations to enable them to meet the requirements of the IFFO RS programme;
- To maintain a participatory work ethic, to properly apply the innate excellence of Staff, and to provide a culture in which they excel;
- To maintain a commitment for continuous improvement and to apply this commitment in order to improve assessment, certification processes and training-related services;
- To facilitate and maintain ISO 17065 accreditation for the IFFO RS Programme;
- To provide open, effective communication with customers, interested parties and committees;
- To provide open, effective communication with all Stakeholders directly and indirectly involved in the IFFO RS programme on any changes/revisions to the standard and certification process in an effective manner.
- To provide systematic validation and control of quality processes.

The IFFO RS programme is not a mandatory scheme and there is no requirement for Marine Ingredient Producers to be certified in order to access any markets.

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**2.3 Programme Review**

The IFFO RS programme including the Standard and Certification Process is subject to an Annual Review Process and full revisions of the IFFO RS standard every 5 years in accordance with ISEAL to ensure it remains relevant, accurate and optimised. The review outcomes include a list of findings, cause analysis, and preventive and corrective actions with deadlines and responsibilities, as applicable. The preventative and corrective actions can result in the revision of operating procedures or the Standard itself.

The management review is fully documented, is carried out with the involvement of directly affected Stakeholders and other interested parties, and addresses any issues of concern raised by such. There are opportunities for Stakeholders to engage via comments submitted directly to IFFO RS or CBs, or during open public comment periods.

This review is discussed at all IFFO RS Governance Board meetings to determine if any actions relating to the standard content or certification requirements are required in any subsequent issues and versions of the IFFO RS standard.

**2.4 Management and Control**

The IFFO RS Programme has established and will maintain an independent effective Certification Assessment System based on ISO 17065 to ensure that CBs operate in a consistent and controlled manner and so that applicants and certified plants manage their businesses and market their products in full conformity with the criteria defined in the Programme standards.

**2.4.1** In support of its polices, the IFFO RS Programme has established and will maintain a System of Documentation and Control Procedures coupled with regular reviews to ensure that it facilitates an efficient and cost effective certification service to the industry it serves. (In Appendix)

**2.4.2** This Manual also serves as a management Quality Management System (QMS) Control Manual and a Training Manual. It is essential that all IFFO RS Personnel and other relevant parties are made aware of relevant procedures and controls and to adhere to the systems defined to ensure their effective operation.

**2.4.3** All changes to the IFFO RS standard and/or Certification Process will be published on the IFFO RS website describing when these changes will take place and who to contact to gain further information on the transition period. It will be the approved CBs responsibility to inform all Certified Applicants of any changes/amendments to the IFFO RS programme.

**2.5.** IFFO RS Secretariat will keep all records relating to the development of all versions and issues of the IFFO RS standards and the compliance with this QMS for a minimum period of 5 years.

**2.5.1** These development records will be available to interested Stakeholders via written request to the IFFO RS Secretariat detailing reasons why records have been requested.

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IFFO RS Management, the IFFO RS Secretariat, and the IFFO RS Governance Board are fully committed to the above policies and performance targets.

Signed: \_\_\_\_\_  
IFFO RS Director

Date: \_\_\_\_\_

Signed: \_\_\_\_\_  
IFFO RS Governance Board Chairperson

Date: \_\_\_\_\_

Signed: \_\_\_\_\_  
IFFO RS Secretariat

Date: \_\_\_\_\_

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### **3. ROGRAMME STATUS, STRUCTURE AND FINANCES**

#### **3.1 History**

**3.1.1** The continuing development of the global fishmeal and fish oil markets after 2000 created a growing need for the industry to demonstrate its commitment to the responsible sourcing of raw materials and the safe production of ingredients for aquaculture, agriculture and directly in the production of consumer products such as nutraceutical fish oil. There was also growing concern over the sustainability of global fisheries, including fisheries that supply fishmeal and fish oil to aquaculture. In some regions, there were concerns of the origins of ‘trash fish’ and also of the legality of catches used in the supply of raw materials for fishmeal and fish oil. The fight against Illegal, Unreported and Unregulated (IUU) fishery material was also becoming a global issue.

**3.1.2** In 2007, the IFFO RS Board decided to address the value chain’s need for reassurance on the origin and purity of the raw materials going into marine ingredients. In order to better demonstrate to all Stakeholders the commitment of IFFO RS’s participants to responsible practices in the areas of raw material procurement, feed/food safety and traceability, a Multi-Stakeholder Technical Advisory Committee (TAC) was convened to develop a Global Standard for the Responsible Supply (IFFO RS RS) of Fishmeal and Fish Oil.

**3.1.3** The TAC agreed that the Standard should be a business-to-business Standard that took fishmeal and fish oil factories as its unit of certification. It was also agreed that the new Standard should be managed according to ISO 65, which required the appointment of an independent Certification Body which could undertake all auditing and award certificates to compliant factories.

**3.1.4** The IFFO RS programme was split between two key components:

- The Raw Material Fishery and By-Product Fishery Assessment Approval Process.
- The Fishmeal Plant Certification Process.

**3.1.5** The initial IFFO RS standard was finalised in September 2009 and the programme opened for applications in October 2009. The first factory was certified in February 2010.

**3.1.6** A key requirement for the IFFO RS standard is that a factory must be able to demonstrate full traceability of IFFO RS compliant product throughout the production process right from an approved raw material up to the factory gate. However, from this dispatch point the supply chain for IFFO RS certified fishmeal and fish oil can be complex with many links that can result in a long and sometimes complicated distribution chain. This increases the risk of the certified fishmeal and fish oil being mixed with non-certified material. To ensure that the IFFO RS fishmeal and fish oil identity is protected and to provide users of fishmeal and fish oil with a recognised Standard which they can use to demonstrate that the ingredients they are sourcing come from

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responsibly managed factories, the IFFO RS Governing Board in 2010 released a Chain of Custody standard (IFFO RS CoC). The IFFO RS CoC standard was opened to applications in October 2010 and the first company was awarded certification in April 2011. This QMS manual does not cover the CoC assessment and certification process at this time.

**3.1.7** In 2012 the IFFO RS standard achieved, through its independent Certification Body, the International Organisation for Standardisation ISO Guide 65:1996 (EN45011) accreditation. This accreditation standard has now been superseded by ISO 17065 in 2015.

**3.1.8** In November of 2014 the IFFO RS Governance Board ratified a proposal to revise and enhance the IFFO RS standard to review and enhance the standard to meet with the expectations of the Marine Ingredient manufacturing sector and the global supply chain by the development of the new Version 2.0 of the IFFO RS standard with the following enhanced strategic objectives

Enhanced Key Objectives for Version 2:

- To continue to meet the objectives set in the development of Version 1 of the IFFO RS Standard
- To enhance the IFFO RS Approval Criteria for whole fish used as a raw material for IFFO RS compliant production to promote more responsible fisheries management
- To promote more efficient marine ingredients production practices to reduce the environmental impact of the fishmeal and fish oil manufacturing process
- To promote and create improved social and welfare benefits for all workers employed within the marine ingredients manufacturing sector
- To develop this version of the standard to be in compliance with the ISEAL Code of Practice for Setting Social and Environmental Standard v5.0

Version 2 Key Development Activities:

- To re-develop the IFFO RS Approval Criteria for raw material fisheries to incorporate key elements of the FAO Code of Conduct for Responsible Fisheries 1995 and the 2014 Asia-Pacific Fishery Commission (APFIC) publication “Regional guidelines for the management of tropical trawl fisheries in Asia” to enhance the robustness of the current single fishery approval methodology
- To develop an additional set of IFFO RS Approval Criteria for raw material fisheries defined as mixed fisheries to determine how they can be reviewed and assessed for used as raw materials for fishmeal and fish oil production
- To re-develop IFFO RS factory conformance criteria to assess Good Manufacturing practice to ensure safe practices are exhibited and to reduce the environmental risk of the production processes
- To develop a new set of IFFO RS factory conformance criteria to take into account ILO convention to assess the social and welfare rights of employees within the marine ingredient producing factories.

**3.1.9** A Technical Advisory Committee (TAC) represented by the different parts of the value chain including marine ingredient producers, feed processors, fisheries and aquaculture

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standard holders, retailers, fisheries experts and NGOs was selected to revise and produce the new version of the standard. The IFFO RS Standard Version 2.0 underwent a comprehensive standard development process following ISEAL codes for standard development.

**3.1.10** Drafts for the fishery criteria together with the fishery assessment methodology only (excluding mixed trawl fishery elements) were prepared and placed in Public Consultation for 30 days in order to seek stakeholder input and to offer those directly and indirectly affected by the proposed new version the opportunity to provide feedback. Parallel to the 1st Public Consultation, the factory audit criteria were being developed and once completed and trialled the 1st full draft of Version 2.0 was agreed and finalised for approval to be placed for a further 60-day public consultation period.

**3.1.11** In January of 2017 the full draft of the IFFO RS Version 2.0 standard was put forward to the IFFO RS Governance Board for agreement and approval for launch which was on the 18th July 2017.

### **3.2 Programme Governance Structure**

**3.2.1** The IFFO RS Programme has operating resources and dedicated staff with clearly defined responsibilities and functions. The Management Bodies involved in running the IFFO RS Programme effectively are defined and summarised below and exemplified in an organisational chart. In assigning membership of each body, it is ensured that individuals have adequate capacity, knowledge and experience to fulfil responsibilities. Further details on the personnel assignment process are provided in the Appendix 1.

**3.2.2 IFFO RS Board of Directors** – The IFFO RS Board acts as the owner of the IFFO RS programme and ensures that it complies with all UK company law. The duty of the Board of Directors includes the financial viability of the company. This includes the setting of all registration fees which shall be done in consultation with the IFFO RS Governing Board.

**3.2.3 IFFO RS Governing Board** – The IFFO RS Governing Board are responsible for the development, revision and interpretation of all IFFO RS scheme standards, scheme requirements for CBs, rules covering claims and logo use, procedures for resolving complaints and appeals, and all other procedures related to the implementation of the IFFO RS programme. The Board do not have a decision-making role in the approval, suspension or cancellation of certifications, which are the responsibility of the CB.

**3.2.4 IFFO RS Technical Advisory Committee** - The IFFO RS Technical Advisory Committee is an objective-based group, representative of marine ingredient manufacturer, fishery science, management and environment. Representation is sought from both fishery specific and marine ingredient management and key stakeholder interests.

The Terms of Reference of the Technical Advisory Committee are as follows:

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The function of the Committee is to manage technical matters relating to the development of the new versions of the IFFO RS Certification Criteria including the technical relevance and appropriateness of the programme for use as a third party, accredited certification programme. The main function is to develop and keep the Technical Certification Specifications for the IFFO RS programme to confirm their relevance to current practice and market requirements for approval by the IFFO RS Governance Board. To provide input and advice on documents

prepared on the technical interpretation of the IFFO RS Certification Criteria and supporting technical guidance documentation used in the assessment of marine ingredient manufacturers as new versions of the IFFO RS programme are developed and evolved.

**3.2.5 QMS Review Committee** – Representatives from Director, Head of Operations and Staff will constitute the QMS Review Committee. This committee will conduct an annual QMS review to ensure the continuing suitability, adequacy, and effectiveness of the organisation. At this review, a number of Quality Management System components are reassessed to ensure that they remain current and applicable. These include the Mission Statement and Quality Policy, Values and Beliefs, annual quality objectives, and the need for any changes to the QMS.

**3.2.6 IFFO RS Director** – Director is responsible for Strategic Planning and Quality Improvement Process Planning, the development of the Quality Policy, Vision, and Mission and provision of the necessary resources for accomplishing goals and objectives. Additionally, Senior Management is responsible for conducting Quality System reviews on an annual basis.

**3.2.7 IFFO RS Head of Operations** – Head of Standards is responsible for the execution of the Strategic Plan, budgeting, and implementation of the Quality Management System and policies throughout the organisation. This explicitly includes responsibility for implementation of the Quality Policy and ensuring adherence to Mission throughout the organisation units for which this person is responsible.

**3.2.8 Approved Certification Bodies** – These are independent CBs that are engaged in assessing and certifying IFFO RS Applicants. A CB is initially approved by IFFO RS on the basis that it is accredited to ISO 17065. The contracts for actual certification are between the Applicant and the CB. Insurance coverage (field and volume) for liability is included in the CB requirements documents.

**3.2.9 Accreditation Bodies** – These are Accredited Bodies that are Members of the International Accreditation Forum and must be signatory Members of the IAF Multilateral Recognition Agreement (MLA). They are engaged in assessing and accrediting Certification Bodies. The contracts for accreditation are between the Certification Body and the Accreditation Body.

**3.2.10 IFFO RS Applicants** – Organisations, usually marine ingredient producer companies, applying for IFFO RS assessment and certification against the IFFO RS standard. The IFFO RS Applicant on registration engages with IFFO RS Ltd and afterwards engages directly with

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approved Certification Bodies.

**3.2.11 Source Fishery Contacts** – Although the fishery/fisheries from which raw materials used by the IFFO RS Applicants are sourced do not themselves directly apply for certification, they do undergo an Assessment Process. Fishery contacts have no concrete responsibilities with regards to the Assessment Process, but communication and cooperation between the CB, Applicant and Fishery permits a more streamlined Assessment Process. It is important to recognise however,

that approval of a raw material against the IFFO RS standard does not qualify the originating fishery to make any specific claims. Approval of raw material is simply a pre-requisite for Applicants wishing to be certified against the Standard, and fisheries do not form part of the Unit of Certification.

**3.3 Finances**

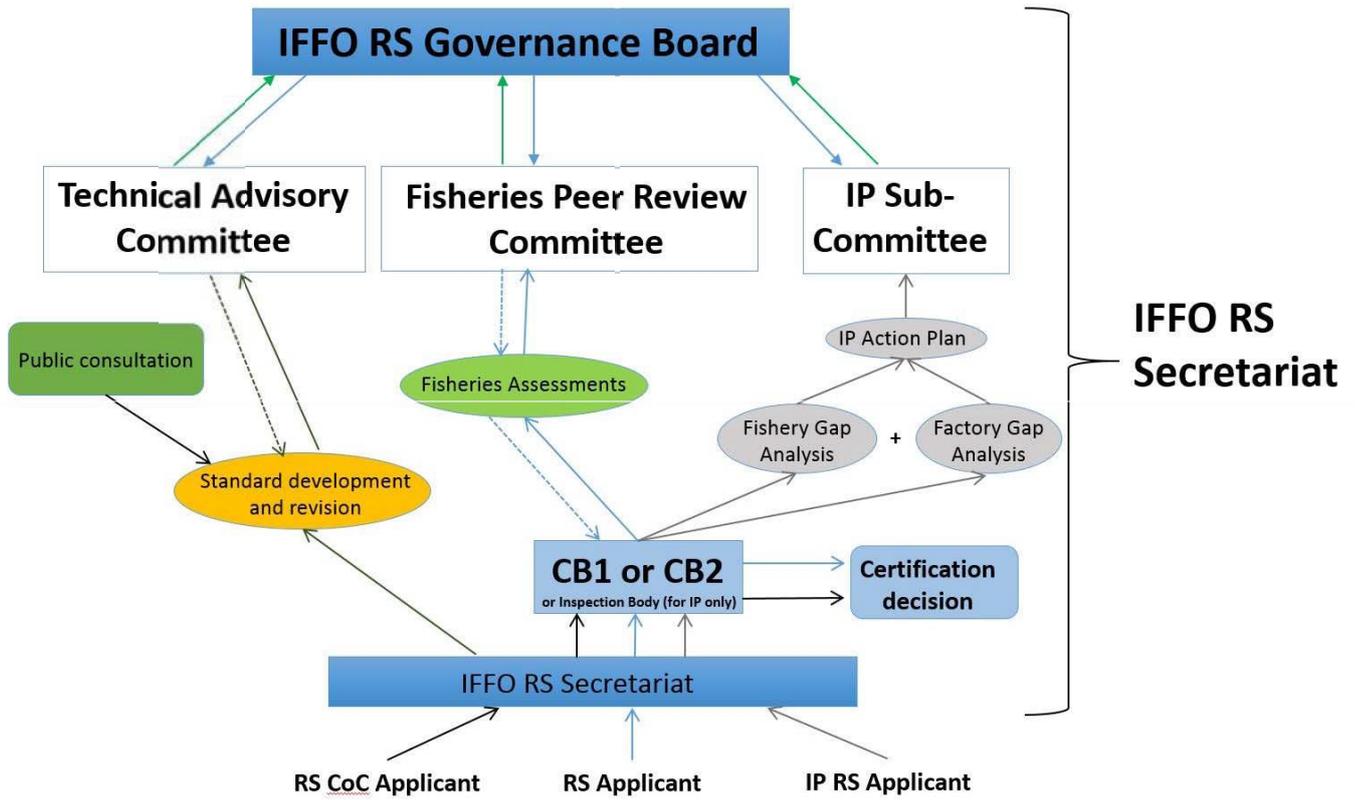
**3.3.1** IFFO RS Ltd is an international not-for-profit organisation; it is separate from the CBs that conduct the IFFO RS Assessment and Certification Process.

**3.3.2** Certification Bodies are separate legal entities from IFFO RS Ltd and IFFO RS Applicants and derive their funding from the audit fees, assessment of fisheries and other supply chain organisations.

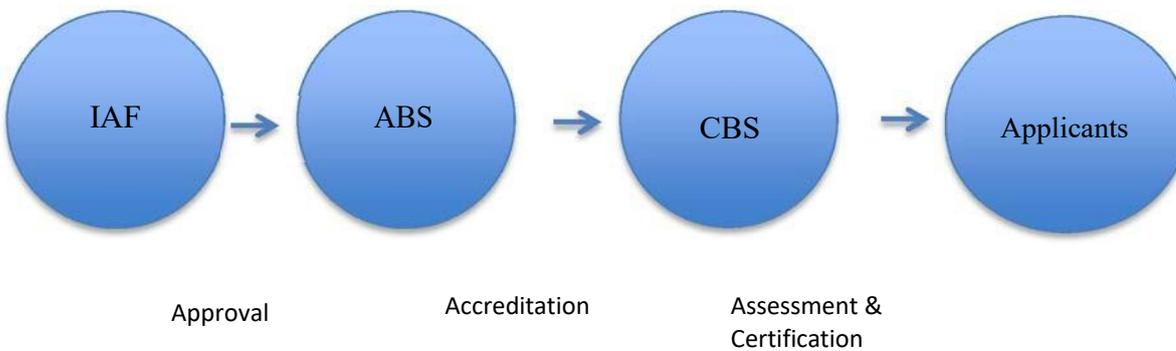
**3.3.3** Accreditation Bodies are separate legal entities from all other IFFO RS parties and derive their finances from the assessment and accreditation of Certification Bodies.

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4. IFFO RS GOVERNANCE ORGANISATIONAL STRUCTURE



CERTIFICATION PROCESS



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**5. IFFO RS ‘STANDARDS’ ADMINISTRATIVE STRUCTURE**

Under the Structure of the IFFO RS Programme, the IFFO RS Governing Board drafts the strategy and targets for Standards Development. This is approved by the IFFO RS Ltd Board of Directors. The administrative structure for the ‘IFFO RS Standards management’ is as follows:

**5.1 IFFO RS QMS Review Committee**

**5.1.1** The IFFO RS Quality Management System (QMS) Review Committee is responsible for drafting, managing and reviewing the IFFO RS Controls and Procedures. The team is led by the IFFO RS Director. The Executive Director reports to the IFFO RS Board of Directors. The QMS Review Committee who are responsible for implementing the policies, procedures and controls, and for coordinating and facilitating the needs of the IFFO RS Governing Board are responsible for the IFFO RS standards.

**5.1.2** The IFFO RS QMS Review Committee is composed of the following personnel:

- IFFO RS Director
- IFFO RS Head of Operations
- IFFO RS Contracted Experts
- IFFO RS Programme Administrators

**5.2 The IFFO RS Governing Board (GB)**

**5.2.1** The IFFO RS Board of Directors appoints the initial Members of the GB and the GB Chairperson.

**5.2.2** The GB shall appoint new Members to fill empty seats on the GB.

**5.2.3** Membership of the GB shall consist of a maximum of sixteen (16), including observers, and shall consist of:

- Up to three (3) representatives from the fishmeal/fish oil industry.
- Up to three (3) representatives from NGOs.
- Up to nine (9) representatives from the supply chain for fishmeal and fish oil products.
- The IFFO Technical Director or nominated representative.
- Observers, which may be the IFFO RS Director General, and one representative of accredited CBs.

**5.2.4** IFFO RS acts as the Secretariat for the GB but is not a voting Member. IFFO RS will maintain the records of the GB and development activity.

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**5.2.5** It is the principle role of the GB to provide oversight of the process by which revision/updates of the IFFO RS standard are conducted as necessary based on expertise, external comments, new legislations and guidance and to keep the IFFO RS standard relevant and in line with internationally recognised Best Practice in fisheries and processing management.

**5.2.6** The GB is similarly responsible for overseeing the development, revision and interpretation of all scheme requirements for CBs, all rules covering claims and logo use by CBs and Certificate Holders, all procedures for resolving complaints and appeals, and all procedures to be followed in the management and operation of the Scheme.

**5.2.7** The GB is also responsible for the approval of contracts needed for the operation of the Scheme, and the negotiation and approval of all agreements for cooperation or mutual recognition with other Certification Schemes.

**5.2.8** It is also vital that the IFFO RS standard is maintained in an auditable and practical format. Once the Standard has been subject to an Open Comment Period and has been approved by the GB, the Standard is approved by the IFFO RS Board of Directors and passed along to relevant Accreditation Boards for review and comment.

**5.2.9** Any proposed revisions to the IFFO RS standard are passed from the GB to the IFFO RS Board of Directors for formal approval and recognition.

**5.2.10** The constitution of the GB, its Terms of Reference, Rules of Procedures and a list of members together with their professional affiliations are given in *Appendix 2*.

**5.2.11** The GB can also oversee the disputes on the granting or withdrawing certification and for the performance of IFFO RS certification activities.

**5.2.12** The GB may periodically be called upon to participate in Stakeholder engagement forums.

**5.2.13** The GB categorically does not have a decision-making role in the approval, suspension, cancellation or in setting conditions of certificates, which are the responsibility of the CBs.

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## **6. ASSESSMENT AND CERTIFICATION ACTIVITIES**

### **6.1 The IFFO RS Secretariat acts on behalf of the IFFO RS Governing Board**

**6.1.1** The IFFO RS Secretariat is responsible for setting the outline IFFO RS Procedures and Controls, which Certification Bodies must follow.

**6.1.2** The IFFO RS Executive Director is responsible for the initial and continuing approval of Certification Bodies seeking to operate within the IFFO RS Programme. Certification Bodies are expected to meet levels of service to their clients.

**6.1.3** The IFFO RS Secretariat is responsible for liaison with Certification Bodies on any operational queries.

**6.1.4** The IFFO RS Secretariat is responsible for coordinating the Annual Review of the IFFO RS programme and the publishing the proposed 'IFFO RS Programme of Work'.

**6.1.5** The IFFO RS Secretariat requires Certification Bodies to maintain a written fee structure that is available on request and is adequate to support accurate and truthful assessments commensurate with the scale, size and complexity of the application, including the number and nature of fishery and by-product assessments to be conducted, and the number and nature of site audits.

**6.1.6** The IFFO RS Secretariat ensures that the validity of a certification cycle does not exceed 3 years.

**6.1.7** The IFFO RS Secretariat requires that Certification Bodies carry out periodic surveillance and monitoring annually to verify that certified operations continue to comply with the Certification Requirements.

**6.1.8** The IFFO RS Secretariat ensures that CBs apply a consistent methodology to assess compliance with the Standard by both fisheries and processors, including the use of the report templates provided.

**6.1.9** The IFFO RS Secretariat ensures that accredited CBs have consistent documented procedure(s) that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification. This procedure must include recognition that a certification is only valid while the fishery/fisheries and/or by-products from which the certified material is sourced remain approved against the IFFO RS standard.

**6.1.10** The IFFO RS Secretariat requires CBs to use consistent formats for audit reports and reporting.

**6.1.11** The IFFO RS Secretariat requires that CBs have in place consistent procedures for Stakeholders to provide input during the Certification Process.

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**6.1.12** The IFFO RS Secretariat requires that the CB permits Stakeholder input during the Fishery Assessment Process. This is done by an external and consultative Fisheries Peer Review Committee.

**6.1.13** The IFFO RS Secretariat requires that CBs use a consistent procedure during the Plant Audit Process for determining Non-Compliances, verifying corrective actions arising from Non-Compliances and allowing for Appeals of Non-Compliances.

**6.1.14** The IFFO RS Secretariat maintains and ensures a list of certified marine ingredient producing factories is made publicly available via the IFFO RS website.

**6.1.15** The IFFO RS Secretariat requires CBs to produce and send Fishery Assessment Reports, By-product Assessment Reports, once approval has been granted, to IFFO RS to be uploaded to the website.

**6.1.16** The IFFO RS Secretariat notifies ABs, CBs and certified marine ingredient producing factories of any change in management procedures, which affects programme Rules and Procedures for Accreditation or Certification.

**6.1.17** Where there is approval of a fishery raw material or by-product raw material with conditions attached, IFFO RS Secretariat will exhibit these for additional Stakeholder review on the IFFO RS website and requires that:

- The status of those conditions is examined during all future Surveillance and Full Assessment Procedures;
- The status of these conditions is factored into decisions over whether fishery and by-product raw materials retain approval in all future surveillance and full assessment procedures.

**6.1.18** Where there is certification of an entity with Non-Compliances, IFFO RS Secretariat requires that:

- A timeline for closing out corrective actions must be defined;
- Non-Conformities raised in the onsite assessment are not allowed;
- A system to verify that corrective actions have been closed out is in place.

**6.1.19** The IFFO RS Secretariat requires CB Fishery Assessors (whole fish and by-product), and Site Auditors to have successfully completed training in the IFFO RS programme.

**6.1.20** The IFFO RS Secretariat requires that Certification Bodies include the following in their Competence Assessment of Assessors and Auditors:

- An assessment of knowledge and skills relating to either fisheries management or fishmeal and fish oil processing, as appropriate;

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- An assessment of the personal attributes of the assessor/auditor, to ensure they conduct themselves in a professional manner;
- A period of supervised training to cover the assessment fishery and/or specific audit techniques and specific category knowledge;
- A documented sign off of the satisfactory completion of the training programme by the appointed competent supervisor.

**6.1.21** The IFFO RS Secretariat requires that CBs have a continuing professional development programme in place that provides Assessors and Auditors with current Best Practice for Fishery and Fishmeal and Fish Oil Processing Management.

**6.1.22** The IFFO RS Secretariat requires CBs to have documented procedures for auditing methods and frequency of audits that meet the following requirements:

- Certificate validity does not exceed 3 years;
- Surveillance assessments and audits are conducted annually.

**6.1.23** The IFFO RS Secretariat requires that CB Assessment and Audit Reports are based on the provided assessment and audit templates, and include (as relevant):

- The date of the inspection/audit or period of the desktop assessment;
- The name(s) of the person(s) responsible for the assessment/audit and report;
- For site audits, the names and addresses of the sites inspected/audited;
- For site audits, the scope of the inspection/audit;
- For site audits, the non-conformities identified;
- For fishery and by-product assessments, the name of the species, the states prosecuting the fishery, the gear(s) used, and the location of the fishery activities;
- For fishery and by-product assessments, the details of any medium or low compliance ratings identified.

**6.1.27** The IFFO RS Secretariat requires the CB to file Fishery Reports at their office and to make these reports available to interested Stakeholders upon request.

**6.2 Certification Bodies (CBs)**

**6.2.1** Certification Bodies are approved after Formal Application to the IFFO RS GB. The Programme is open to new CBs. The roles of the CB are as follows:

- Conduct a desktop/remote assessment of the fishery/fisheries from which raw material is sourced against the IFFO RS standard.

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- Determine the Fishery/Fisheries Approval Status based on performance during the desktop assessment, with the approval of fisheries against the Standard a mandatory prerequisite for Site Certification.
- Conduct a site audit/audits of the Applicant processing facilities against the IFFO RS Standard.
- Identify any significant failure on the part of the Applicant to meet the requirements of the IFFO RS standard, and to decide on the issue or denial of Certificate of Approval based on compliance with the IFFO RS standard.
- Conduct annual Surveillance Assessment of Fisheries, and Surveillance Audits of Processing Facilities, and to decide on the maintenance, suspension or withdrawal of Certificates of Approval based on the outcomes of these.

**6.2.2** Certification Bodies shall be accepted by the IFFO RS GB on the basis of experience: in the categories of Practical (Working) Knowledge: Standards Knowledge; Auditing Knowledge; ISO 17065 accreditation.

**6.3 Assessors**

IFFO RS Secretariat has defined the qualifications and competence criteria required by Auditors and audit teams employed by CBs. IFFO RS makes this information available on request. Only IFFO RS approved Fishery Assessors and Factory Auditors selected, appointed and controlled by approved Certification Bodies may carry out fishery assessments and auditing activities.

**6.3.1** All Fishery Assessors are required to follow the Fishery Assessment Process described in the IFFO RS standard, IFFO RS Fishery Assessment Guidance, IFFO RS Fishery Assessment template and/or IFFO RS By-product Assessment template, and all other IFFO RS documentation, including this QMS Control Manual.

**6.3.2** All Marine Ingredient Plant Auditors are required to follow the Plant Auditing Process described in the IFFO RS standard, IFFO RS Factory Audit template, and all other IFFO RS documentation, including this QMS Control Manual.

**6.3.3** The service provided by each CB employed is subject to an agreement, which sets out the arrangements for the provision of the service and it includes requirements for the information and data arising from the provision of the service to be retained in confidence. The IFFO RS Secretariat maintains a copy of the agreement with each CB in up-dated form and these are available for examination, on request, by authorised persons.

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**6.4 The Certification System**

**6.4.1** To qualify for approval to conduct IFFO RS assessments, each Certification Body must be accredited to ISO 17065 or be in application for accreditation to ISO 17065 and agree to conform to IFFO RS Rules and Regulations.

**6.4.2** The CB must be capable of complying with IFFO RS Programme Regulations, which clearly set out:

- The procedure for progressing applications to certification decision;
- The Assessment Procedure and frequency of assessments;
- The Certification Procedures;
- The Rules Governing Certification.

**6.4.3** Both the Procedures and Programme Standards will be subject to Documentation and Amendment Control and will be issued, as appropriate, to Applicants, Clients, and relevant Certification Bodies and to members of Committees.

**6.5 Certification Programme**

**6.5.1** The technical specifications, which applicants to the IFFO RS Programme must meet to achieve certification, and must maintain to retain certification, are presented in the IFFO RS standard. The IFFO RS Standard is a controlled document, and is available publically on the IFFO RS website.

**6.5.2** Application to the IFFO RS Programme is open to all Marine Ingredient Producer Organisations around the world. Those Applicants that do not to meet the requirements for IFFO RS certification at any stage of the process will be eligible to apply to the IFFO RS Improver Programme (See Appendix 3 – IFFO RS Improvers Programme Acceptance Mechanism).

**6.6 Operating Procedures**

**6.6.1 CB Pre-assessment Check on Applicant**

The purpose of a pre-assessment check is to determine by telephone discussion, correspondence or meeting whether the Applicant has the capability and resources to operate in conformity with the criteria defined in IFFO RS standard. The pre-assessment check also represents a high-level and informal initial discussion and examination of the status of the fishery/fisheries from which raw materials are sourced. The pre-assessment check aims to detect any clear indications that the fishery and/or processing plant operates in such a way as to definitively preclude the possibility of certification against the IFFO RS standard.

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The Programme provides for this opening discussion or correspondence during which the assessment procedure is explained, any queries about the criteria defined in the Standard are dealt with and arrangements made for the appropriate staff to be available during assessment.

Where the pre-assessment check is carried out, in cases where there is no obvious reason why the Applicant and associated fishery/fisheries should not be able to comply with the criteria defined in the Standards, the CB may proceed to carry out a full assessment as detailed below.

**6.6.2 CB Assessments (Overview)**

- (a) The IFFO RS assessment and audit process provides for:
  - A desktop assessment of the fishery/fisheries from which raw materials and/or by-product materials are sourced against the relevant sections of the IFFO RS Standard. The approval of raw materials against the IFFO RS standard is a mandatory prerequisite for the conducting of site audits. Fishmeal and fish oil products which do not originate from an approved fishery or by-product cannot be certified to the IFFO RS standard.
  - A site audit of the fishmeal and fish oil processing facilities which represent the Unit of Certification.
  - Interested parties should refer to the full procedure detailed in the Appendices for Fishery Assessments and Fishmeal Plant Audits.
- (b) The CB will identify any observed Non-Compliance with the criteria defined in the relevant section of the IFFO RS standard and record them on the appropriate fishery or by product assessment/ factory audit report template.
- (c) On completion of the assessment/audit, the CB will present their findings, discuss any Non-Compliance and indicate, when relevant, the conditions under which the fishery/by product fishery has been approved, or the nature of factory Non-Conformities and timescales for submission of a corrective evidence to close them off. The time scale for factories to close of Non-Compliance to the IFFO RS standard is set at 28 days from the date of issue.
- (d) The CB will complete a report for every fishery/by-product assessment and factory audit conducted, using the appropriate report template: IFFO RS Fishery Assessment template, IFFO RS By-product Assessment template, or IFFO RS Factory Audit template. For fishery assessments this report will undergo an IFFO RS Peer review prior to the final determination by the CB. For fishery by-product assessments, 10% of the total number of by-product reports and any additional report that the CB feels necessary will undergo an IFFO RS Peer review prior to the final determination by the CB. The peer review process is documented in the Appendix 4.
- (e) The CB Programme Administrator will submit any final report for consideration by the appropriate CB Certification Committee.

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If the application is approved by the CB Certification Committee:

- The Applicant will be informed in writing;
- The Applicant's details and certified products will be entered in the relevant CB Register of Clients and a CB Certificate of Approval will be issued;
- Fishery and by-product assessment reports and certified plant details will be made publically available on the IFFO RS website.

(f) If CB approval is withheld from the raw material and/or by-product material:

- The Applicant will be informed in writing of the reason(s) for the withholding of approval. As fishery management will generally be outside the control of the Applicant, a corrective action programme is not appropriate. Fisheries which are not approved against the IFFO RS Standard will be eligible for entry into the IFFO RS Improver Programme.

(g) If CB approval is withheld at the factory audit stage:

- The reasons will be communicated to the Applicant in writing, which will identify areas of Non-Compliance and requesting a Corrective Action(s) Programme. Corrective action(s) will be verified before the application can be given further consideration;
- The CB assessment report and all the relevant correspondences will be filed for future reference.

(h) Should the Applicant wish to appeal against the withholding of a Certificate of Approval the appeal will be heard in the manner described in Appeals section of this Manual.

### **6.6.3 Certificate of Approval**

(a) A CB Certificate of Approval granted to a Client is valid from the date of issue subject to satisfactory performance. Satisfactory performance shall be determined during annual surveillance assessments of approved fisheries and by-product materials, and certified processing plants. Subject to continuing satisfactory performance during these surveillance audits, the certification will last three years, at which time full re-assessments of fisheries, by-products and processing facilities will be conducted.

(b) The CB Certificate will state as a minimum:

- The Certificate number applicable to the production establishment;
- The name of the key organization and any associated organizations;
- The names of the approved whole fish and by-product species, the geographical extent of the approved stocks,
- Certification Standard details;
- The date of issue of the Certificate.

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**6.6.4 Continuing Assessments (Surveillance)**

(a) It is a condition of granting a Certificate of Approval that continuing assessments shall be carried out to ensure that the criteria defined in the IFFO RS Standard are being met and maintained. Surveillance assessments will be conducted annually on approved fisheries and by-products, and surveillance audits will be conducted annually on certified processing plants.

(b) During the course of a surveillance audit the CB will check that corrective actions have been taken on all Non-Compliance reports raised during previous factory audits and, if not, they will submit new Non-Compliance reports. The CB will also identify any other observed Non-Compliance and record them on a report form. The CB will sign the form and obtain the signature of the Applicant or their representative. If the Client has requested an extension of scope of certification, e.g. the addition of a new source of raw material, the CB will include an assessment of the new scope within a surveillance visit.

(c) On completion of site audit, the CB will discuss their findings with the Client or their representative and agree upon each of the Non-Compliances.

(d) The Assessor /Team will complete a report on the assessment. A copy of the report will be forwarded to the CB Manager and Client.

(e) The Assessment report will be reviewed, following which:

- The Applicant will be notified in writing of the outcome of the review with the reference being made to any matters requiring corrective action;
- The CB assessment report together with all relevant correspondence will be filed for future reference.

(f) The procedure for the review of assessment reports are detailed in the Fishery Assessment, By-product Assessment, and Plant Audit Appendices.

**6.6.5 Marks of Conformity (IFFO RS LOGO)**

Clients and associated organisations listed on a valid IFFO RS Certificate of Approval may be authorised to use a Logo or Mark of Conformity approved by IFFO RS following the signing of the relevant ‘Certified Logo Agreement’ documentation.

The Logo is a Certified Mark of Conformity and its use is regulated through Logo licensing management agreement or through certification to the IFFO RS Chain of Custody within the supply chain. Below is a copy of the IFFO RS Logo.

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The IFFO RS Logo may be used only in the form approved by IFFO RS Governance Board and only in relation to products, which are subject to the Certificate of Approval issued to the Client and organisations concerned. The Marks must be used only:

- in association with the business names shown on the Certificate of Approval or the brand mark of the business;
- or in association with a purchaser’s name or brand mark always provided that the name of the Client/ associated organizations can be identified from the indications on the product packaging and/or from the purchaser’s records.

Incorrect use of the approved IFFO RS Logo or misleading references to certificates held/found in advertisement, catalogues, etc., shall require immediate withdrawal of the offending material.

Where no such corrective action is implemented IFFO RS Ltd. may initiate appropriate legal action.

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**6.7 Rules Governing Certification**

**6.7.1** These Rules apply to all CB's.

**6.7.2** For the purpose of these Rules, the definitions of the terms used are set out in the Manual.

**6.7.3** The CB is the sole authority by which Certificates of Approval may be granted or withdrawn. The CB operates under the general administration and development of the Certification System, the approved Certification Programme included within the System and under these Rules.

**6.7.4** Applicants who satisfy the CB that they are capable of compliance with the requirements of the IFFO RS Standard and who give such undertakings as may be required shall: i) subject to complying with these rules as amended from time to time and such undertakings; ii) be entitled to a Certificate of Approval, which shall nevertheless remain the property of the CB.

**6.7.5** Certificates are valid for three years from the date of issue, subject to the terms of these Rules as amended from time to time.

**6.7.6** Clients (i.e. Applicants and Certified Organisations) shall:

- At all times comply with these rules, as periodically amended.
- Comply with the requirements of the IFFO RS Programme. Failure to comply with any of the specified requirements of the IFFO RS Standard will be the cause of withdrawal of the Certificate of Approval.
- Give representatives of CB's access during normal working hours to production establishments in which production or storage of products, subject to the Certificate of Approval, is being carried out for the purpose of examination of products, and/or the application of rules of production, the production environment, the production processes, product handling and storage, transportation of the product, staff training, the control of product, records and details of internal audits, or establishing that the procedures following the withdrawal of the Certificate of Approval as described herein have been carried out as necessary.
- Give representatives of CB's access during normal working hours to establishments whose management systems, which are subject to the Certificate of Approval, for the purpose of examination of the said management system procedures to establish they are in conformity with the Programme Standard.
- Nominate a management representative and one or more deputies authorised to act in the main nominee's absence (and replacement nominees as may be necessary) that shall be responsible for all matters in connection with the requirements of the Certificate of Approval.

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- Correct any deficiencies identified during continuing assessments.
- Use a Logo/Mark of Conformity or issue a Statement of Conformity only in relation to products which are subject to the Certificate of Approval, produced by the participating company on the Certificate, and strictly in accordance with the conditions for its use.
- Discontinue any use of a Logo/ Mark of Conformity which is outside the scope of the conditions for its use, or which is unacceptable to the CB and any form of statement with reference to the authority of the Producer to claim compliance with a Certification Programme, and which in the opinion of the Programme might be misleading.
- Upon withdrawal of the Certificate of Approval (however determined) forthwith discontinue use of any Logo/Mark of Conformity for which a licence has been issued and all advertising matter that contains any reference thereto. In addition, any other documents in the possession of the Producer which bear reference to the Certificate of Approval shall if the CB requires, be so treated.
- Not to conduct operations in a manner that may affect the confidence of buyers and consumers in the reliability of IFFO RS Programme or bring themselves or the IFFO RS Programme into disrepute.

**6.7.7** Having regard for IFFO RS administrative costs, Clients and Applicants shall pay as part of formal contract agreements:

- the relevant annual registration fee for participation within the IFFO RS programme to IFFO RS Ltd
- the relevant audit fee for certification to the CB;
- the cost of any additional assessment deemed to be necessary by the CB;
- the cost of any additional sampling or testing deemed to be necessary by the CB; and
- any additional costs incurred by the CB due to non-compliance with these Rules.

**6.7.8** The Approved CBs shall:

- Undertake periodic site audits at the establishments of Clients for the purpose of verifying that the obligations defined by the Certificate of Approval are being observed.
- Undertake annual desktop fishery audits for the purpose of verifying that the approval awarded as a result of the full fishery or by-product assessment remains appropriate.
- Notify Clients of any changes to the IFFO RS Standard and give them such time as, in the opinion of the Standards Committees, is reasonable to allow adjustment of their processes and relevant procedures to meet the revised requirements.

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- Not disclose any information concerning a Client obtained during the course of its assessment and certification activities other than that which is in the public domain. Unless otherwise required to do so by the law, or requested/permitted to do so by the Client.
- Notify Clients of any complaints the CB received relating to products or management systems that apply to the Certificate of Approval.

**6.7.9** If a Client is temporarily unable to comply with the requirements of these Rules, as amended from time to time, the CB Certification Committee may require the Client to discontinue any claim of compliance with the relevant Certification Programme and use of any associated Logo/Mark of Conformity, with immediate effect until it is satisfied that compliance is again achieved. The CB must immediately inform the IFFO RS Secretariat

**6.7.10** If a Client fails to comply with these Rules, as amended from time to time, the CB on behalf of the IFFO RS may:

- withdraw the Certificate of Approval or reduce its scope;
- refuse to grant a Certificate of Approval or extend its scope.

Such decisions, and the grounds for them, shall be communicated to the Client in writing.

**6.7.11** The CB may consider withdrawing or refusing to grant a Certificate of Approval if a Client’s business is likely to be disbanded.

**6.7.12** If a Client, or Applicant or external party, wishes to complain against any decision of a CB under these Rules, they shall, within 14 days of being officially informed of the decision, give notice to the relevant Certification Body and the IFFO RS Head of Operations (in writing) of their wish to appeal against the decision and give the grounds for doing so.

**6.7.13** The Certification Body will instigate its own Complaints Review Process and inform the Complainant. If the Complainant is still not satisfied with the outcome they have the right to raise the issue with the Programme Appeals Committee.

**6.7.14** The IFFO RS Head of Operations will refer the matter to the IFFO RS Director who on behalf of IFFO RS GB shall appoint an Appeals Panel to hear the appeal. The Panel shall comprise of three members, none of who shall have any commercial interest in the subject of appeal. A meeting (teleconference) of the Panel shall be held within 30 days of the receipt of the notice of appeal. The IFFO RS Secretariat will assist with the facilitation of information.

**6.7.15** The Appellant, the Certification Body and their associated Accreditation Board will be informed in writing of the Appeals Panel decision. The Certification Body will be required to review its certification decision if the Appeals Panel finds in favor of the Appellant and submit its findings to its accreditation board and to IFFO RS GB.

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**6.7.16** These rules may, from time to time, be altered by IFFO RS Secretariat on behalf of the IFFO RS GB. No alterations shall affect the right of Clients to claim compliance with the IFFO RS Programme, use an associated Logo/Mark of Conformity, or issue a Statement of Conformity unless the IFFO RS Director has given them notice in writing of such alterations. A date by which the altered rules come into force shall be issued by the IFFO RS Secretariat following approval by the IFFO RS GB and shall not be less than six months from the date of notification of the alteration.

**6.7.17** Each CB shall keep a register of Certified Clients and it shall be available upon request. IFFO RS Secretariat will maintain a published master list.

### **6.8 Certification Administrative Procedures (Overview)**

Further details for the operation of each of the procedures listed in this section are contained in the relevant IFFO RS Procedures, provided as appendices to this manual.

### **6.9 Issue and Maintenance of a Certificate of Approval**

**6.9.1** A designated CB Technical staff member must scrutinize all reports arising from initial or continuing fishery assessments and site audits.

**6.9.2** The reports, or a summary produced by the CB Assessors, are considered by the relevant CB Certification Committees.

**6.9.3** Each Applicant/Client will be notified in writing of the results of the CB Committee's findings including any non-compliance, which will require to be addressed prior to issue or to ensure maintenance of a Certificate of Approval.

**6.9.4** Appeals against a decision to withhold the issue or to withdraw a Certificate of Approval will be heard in the manner described.

### **6.10 Withdrawal of a Certificate of Approval**

**6.10.1** In cases where the Client concerned has, within the period of time defined:

(a) Provided satisfactory evidence that the required corrective action has been implemented no further action will be taken.

*or*

(b) Failed to implement the required corrective action the Certificate of Approval will be withdrawn. The Client will be notified in writing and required to return or destroy the Certificate.

**6.10.2** Appeals against a decision to withdraw a Certificate of Approval will be heard in the manner described.

### **6.11 Complaints about Certified Products or Programme Operation**

#### **6.11.1 Complaints about the general Integrity of Compliant IFFO RS Products**

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The responsibility for complying with the requirements of a Certification Programme as defined in the IFFO RS Standard, and for complying with statutory requirements, rests absolutely with Clients. Therefore, any complaint about a product, or possible infringements of the law, shall be dealt with by the Client. Complaints of this nature coming directly to the CB or IFFO RS Secretariat will be referred to the CB concerned for appropriate action to be taken. Clients are required to maintain a record of all such complaints and the subsequent action taken, and to make these records available for examination when continuing assessment visits are carried out.

### **6.11.2 Complaints about misuse of the IFFO RS Logo**

Written complaints concerning the misuse of the IFFO RS Seal will be managed by the IFFO RS Secretariat on behalf of the IFFO RS GB. Details of the complaint and products will be recorded including the product, the species, the associated organization, the region. The IFFO RS Secretariat will complete a trace back to the relevant organisation and certification body and direct the certification body to conduct an investigation and report on the extent of the issue. A breach in the terms of the Use of the IFFO RS Logo may lead to a product recall.

### **6.11.3 Complaints about Certification Programme Operation**

Written complaints concerning the operation of the IFFO RS Programme will be dealt by the IFFO RS Director, who will be responsible for acknowledgement and investigation of the complaint. The Director will also be responsible for seeking and managing resolution of the complaint.

Any Complaint will be flagged to the IFFO RS Director and the IFFO RS GB will be kept informed of any corrective actions until the complaint has been resolved

A complaints register will be maintained and will be made available for internal and third party system audits.

## **6.12 Maintenance of Records**

**6.12.1** Records shall be maintained by the CBs as defined within their documented Quality Systems to demonstrate compliance with the system and appropriate regulatory requirements. The records include reports arising from assessments.

**6.12.2** The CB records shall be readily accessible and safely stored for a period of five years unless otherwise specified.

**6.12.3** The information contained in the CB records, other than that which is in the public domain, will be held in confidence unless otherwise required by the law, or requested/permitted to do so by the Client.

## **6.13 Control of Documentation**

### **6.13.1 Issue and Control of Documents**

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The following documents are maintained and issued on a controlled basis:

- (a) The QMS Control Manual and all associated documents and templates for the IFFO RS Programme.
- (b) The IFFO RS Standard.

**6.13.2 Amendment Control**

Amendments to previously issued controlled documents will be reviewed and approved by the authorized signatory for that document before issue. In the IFFO RS this will be the IFFO RS Director

**6.13.3 Master Lists of Clients and Certified Products**

IFFO RS will maintain a master list of certified clients and this will be available on their website. CBs will maintain a list of their own clients and ensure that IFFO RS is informed of changes to the client list, including certification, suspension and revocation decisions.

**6.14 Internal Review**

**6.14.1** The operation of the IFFO RS Programme’s activities and performance will be subject to annual and planned formal review to ensure continued compliance with the procedures defined within this Manual.

**6.14.2** An internal review programme will be maintained ensuring all aspects of the documented systems are reviewed at least annually. The review will assess the implementation and adequacy of the systems defined in the IFFO RS QMS Control Manual and the IFFO RS Standard.

**6.14.3** A suitably qualified person, this will be an external consultant, will conduct the review and record any non-compliances with documented procedures, recommend corrective actions, and where appropriate make recommendations for systems improvements. Follow-up reviews will be conducted where necessary to verify corrective actions.

**6.14.4** On-going review of CB assessment performance will be conducted by the IFFO RS Secretariat and is achieved by a combination of monitoring of assessment reports, continuous contact with assessment staff, and witness of assessments conducted by individual assessors and assessments of head office to ensure compliance with assessment procedures and consistency of interpretation of Programme requirements to meet an agreed set of Key Performance Indicators (see appendix 5).

**6.15 Management Review**

**6.15.1** The IFFO RS Director or contracted consultant will make a report on the findings of the internal review at least annually to the IFFO RS GB.

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## **7. ACCREDITATION MANAGEMENT**

### **7.1 Accreditation Bodies**

**7.1.1** Accreditation Bodies (ABs) are chosen by the Certification Bodies (CBs) and must be members of the International Accreditation Forum that should be signatory members of the IAF Multilateral Recognition Agreement (MLA)

**7.1.2** IFFO RS Secretariat on behalf of the IFFO RS GB will endeavour to have contact with AB's that offer accreditation to their Programme. The arrangement requires the ABs to be compliant with the requirements of ISO/IEC 17011:2004.

**7.1.3** IFFO RS programme does not restrict choice of ABs and ensures that accreditation services are available to CBs irrespective of their country of residence, size and of the existing number of already ABs, within the scope of the Programme.

**7.1.4** IFFO RS programme specifies the requirements for CBs that the AB is required to verify.

**7.1.5** Subsequent to any changes in the accreditation requirements, the Programme owner IFFO RS ensures CBs are given a defined time period to conform to the changes.

**7.1.6** IFFO RS programme requires (through the engagement of IAF AB's) that the AB employs personnel that have the necessary education, training, technical knowledge, and experience for performing accreditation functions in fisheries and factory operations. This includes knowledge of the standard and its intent.

**7.1.7** IFFO RS programme requires (through the engagement of IAF AB's) that external audits be carried out on the AB to assess performance via their peer review and evaluation process.

**7.1.8** IFFO RS programme requires (through the engagement of IAF AB's) that the AB makes information available on request about its organizational structure and the financial and other kinds of support it receives from public or private entities.

**7.1.9** IFFO RS programme (through the engagement of IAF AB's) ensures that the accreditation process includes an office audit of the certification body.

**7.1.10** IFFO RS programme ensures (through the engagement of IAF AB's) that the accreditation process includes a review of the performance of CBs and auditors in the field.

**7.1.11** IFFO RS programme requires (through the engagement of IAF AB's) that CBs operating in the Programme be accredited to ISO/IEC 17065:2012 for the scope of the respective standard of the Programme.

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**8. LIST OF APPENDICES**

**A – Assessment Procedures**

- A1 – IFFO RS application process flow chart
- A2 – Guidelines for CBs managing applications for certification to IFFO RS
- A3 – Conducting of IFFO RS Fishery/By-product assessments by approved Certification Bodies (CBs) or Inspection Bodies (IBs)
- A4 – Conducting of IFFO RS Factory/Site audits by approved CBs
- A5 – The issuing and the withdrawal of certificates to the IFFO RS certification programme
- A6 – Appeals and complaints procedure for the IFFO RS standard
- A7 – IFFO RS Chain of Custody requirements for the use of subcontractor Fishmeal and Fish Oil manufacturers
- A8 – Procedures for the Protection of Confidential and Proprietary Data

**B – Personnel**

- B1 – IFFO RS key roles
- B2 – Appointment of IFFO RS Fishery and By-product Assessors
- B3 – Appointment of IFFO RS Factory Auditors
- B4 – Training procedure for all approved assessors that monitor compliance of CBs and IFFO RS approved auditors to the IFFO RS programme
- B5 – Appointment of internal assessors that will monitor the compliance of the approved auditors to the IFFO RS programme

**C – Control Manual Management and Review**

- C1 – IFFO RS document control procedure
- C2 – IFFO RS standard development consultation process
- C3 – Procedure for the submission of comments regarding IFFO RS Fisheries, Factories, Standard and Process
- C4 – IFFO RS Logo Management

**D – Certification Bodies**

- D1 – Certification Body approval requirements for IFFO RS audits and certification
- D2 – Procedural approval criteria for Certification Body Applicants wishing to apply for approval to audit and certify against the IFFO RS standard
- D3 – Clients transferring their certification to a new Certification Body

**E – Terms of Reference**

- E1 – IFFO RS Governing Board Terms of Reference
- E2 – IFFO RS standard development process Terms of Reference
- E3 – IFFO RS Technical Advisory Committee Terms of Reference
- E4 – IFFO RS Fisheries Peer Review Committee Terms of Reference
- E5 – IFFO RS Improvers Programme Sub-committee Terms of Reference

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### F – Agreements

- F1 – Contractual agreement between IFFO RS board and an approved certification body
- F2 – Memorandum of Understanding between IFFO and an Accreditation Body
- F3 – IFFO RS Certificate Holder Logo Use Agreement

### Templates

- APP1 – IFFO RS Application form
- APP2 – IFFO R CoC Application form
- APP3 – IFFO RS Improvers Programme Application form
- APP4 – IFFO RS Scope Extension Application form
- CB1 – IFFO RS CB Approval Report
- CB2 – IFFO RS Auditor Training Application form
- CB3 – IFFO RS Consistency Review Report
- FAC1 – IFFO RS Factory Assessment Report (IFFO RS Standard V1.6 – to be removed after transition to IFFO RS V2.0 ends)
- FAC2 – IFFO RS Factory Assessment Report V2.0
- FISH 1 – IFFO RS Fishery Assessment Report (*IFFO RS Standard V1.6 – to be removed after transition to IFFO RS V2.0 ends*)
- FISH 2 – IFFO RS By-product Assessment Report (*IFFO RS Standard V1.6 – to be removed after transition to IFFO RS V2.0 ends*)
- FISH3 – IFFO RS Fishery Assessment Template Report V2.0

### Improvers Programme

- IP1 – IFFO RS Improvers Programme Acceptance Mechanism

### Peer Review Committee

- PR1 – IFFO RS Governance Board raw materials Peer Review Committee

### Interpretation Documents

- ID1 – Public Interpretation Guidelines for the IFFO RS Factory Assessment V1.6 (*to be removed after transition period to IFFO RS V2.0 ends*)
- ID2 – Fishery Assessment detailed interpretation document (*to be removed after transition period to IFFO RS V2.0 ends*)
- ID3 – By-product Fishery Assessment detailed interpretation document (*to be removed after transition period to IFFO RS V2.0 ends*)
- ID4 – Public Interpretation Guidelines for the IFFO RS Factory Audit
- ID5 – Fishery Assessment Interpretation Guidance Document V2.0

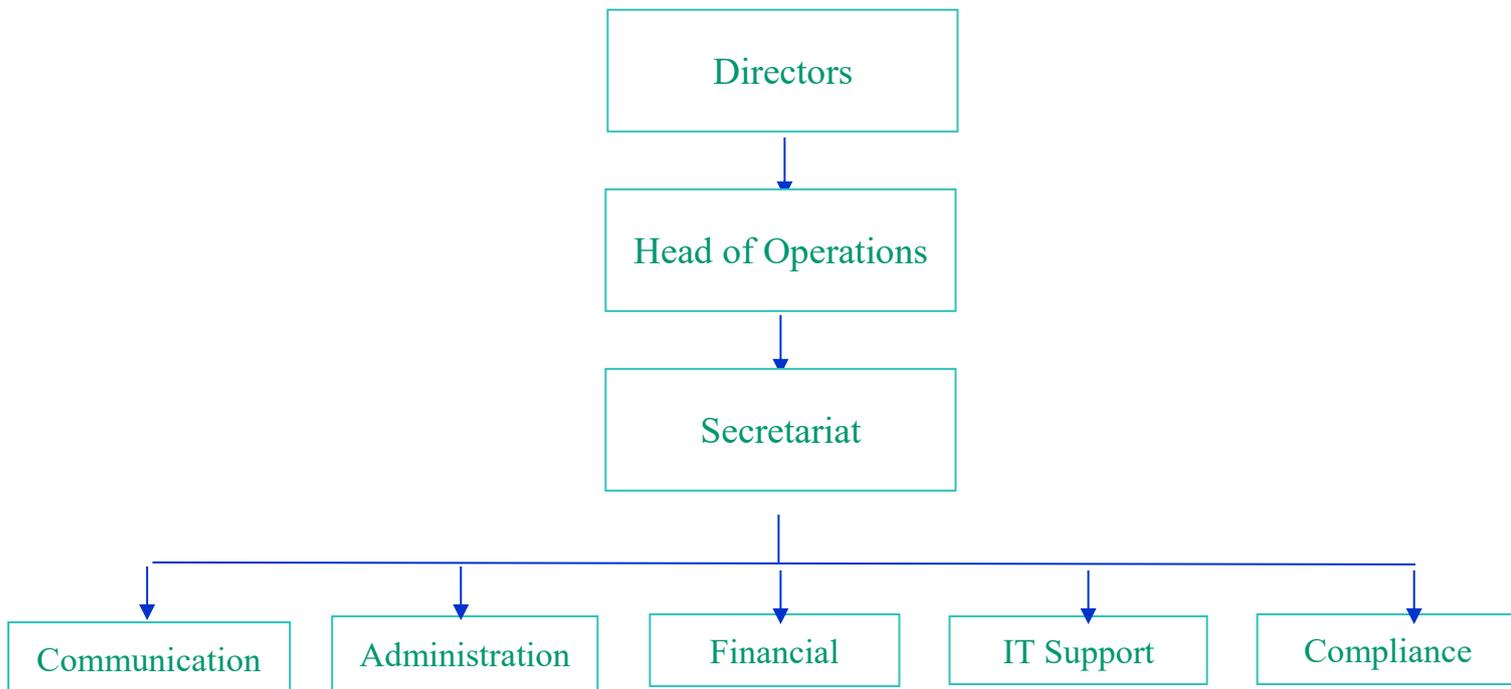
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## Appendix 1

### Secretariat Organisational Structure - IFFO RS Limited



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## Appendix 2

### IFFO RS Governing Board members and Terms of Reference

Directors	Representation	Country
Andrew Jackson (AJ)	RS Board chairperson	UK
Neil Auchterlonie	IFFO Representative	UK
Humberto Speziani (HS)	Fishmeal producer	Peru
Frank Trearty (FT)	Fishmeal Producer	Ireland
Daniel Lee (DL)	Standard Holder	UK
Eduardo Goycoolea	IFFO Board Representative	Chile
Estelle Brennan	Fish Processor	UK / Southeast Asia
Michael Lutz (ML)	Trader	Germany
David Parker (DPa)	Fish Processor	UK
Niels Alsted (NA)	Feed producer	Denmark
Ally Dingwall (AD)	Retailer	UK
Duncan Leadbitter (DLb)	Fisheries expert	Australia
Piers Hart (PH)	ENGO	UK
Ernesto Godelman	ENGO	Argentina
Michiel Fransen	Standard Holder	Netherlands

#### Purpose

This document describes the roles and responsibilities of the IFFO RS Governance Board.

#### 1. Scope

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- 1.1. The IFFO RS Governing Board (GB) has responsibility for the IFFO RS and IFFO RS COC certification schemes (Scheme). This includes:
  - 1.1.1. Oversight of the development, revision and interpretation of all Scheme standards.
  - 1.1.2. Oversight of the development, revision and interpretation of all Scheme requirements for Certification Bodies (CBs).
  - 1.1.3. Oversight of the development, revision and interpretation of all rules covering claims and logo use by CBs and certificate holders, including applicants.
  - 1.1.4. Oversee the decision-making processes used in the development of all new versions of the standard that are used by a Technical Advisory Committee in line with their agree terms of reference (ToR).
  - 1.1.5. Development, revision and interpretation of all procedures for resolving Complaints and Appeals with respect to the contents and scope of all the scheme’s standards.
  - 1.1.6. Development, revision and interpretation of all procedures to be followed in the management and operation of all the scheme’s standards.
  - 1.1.7. Approve entering into contracts needed for the operation of the Scheme. (i.e. logo agreements, contracts with CBs, etc...)
  - 1.1.8. Negotiation and approval of all agreements for cooperation or mutual recognition with other certification schemes.
  - 1.1.9 The GB does not have a decision making role in the approval, suspension and/or cancellation of certificates or in setting conditions of certification; which are the responsibility of the CBs.

**2. Meetings**

- 2.1. The GB meets at least twice a year; extraordinary meetings may be held if required, and where agreed by the chair.
- 2.2. Dates and locations for meetings shall be announced by the chair no less than 60 days in advance of the meeting.
- 2.3. A proposed agenda shall be circulated by the chair to all members no less

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than 30 days in advance of the meeting.

- 2.4. Meetings shall be held in person or by teleconference.
- 2.5. Decisions of the GB shall be taken in person, by teleconference, by electronic communication or by fax.
- 2.6. Decisions shall be taken based on the will of a majority of members of the GB. In the event of a tie the chairman shall be entitled to a casting vote.
- 2.7. For a resolution to be passed, at least one (1) member of the GB representing the NGO's is required to be in favor.
- 2.8. Members and Observers of the GB shall submit a written declaration of Conflicts of Interest Declaration Form. (see Annex 1 in E1)
- 2.9. All agreed actions resulting from GB meetings shall be recorded in writing by the IFFO RS secretariat and circulated to the GB members for approval.

**3. Membership**

- 3.1. The GB shall have up to sixteen (16) members in total.
  - 3.1.1. Membership shall include as a maximum:
    - 3.1.1.1. Three (3) representatives from Marine Ingredient Producers to be Nominated by IFFO (No two (2) Representatives shall be from the same country)
    - 3.1.1.2. Three (3) representatives from environmental Non-Governmental Organisations.
    - 3.1.1.3. Nine (9) representatives from the supply chain for Marine Ingredient products.
      - 3.1.1.3.1. These can include: Traders, Fish Feed Producers, fish Farmers, Fish Processors, Retailers, Consumer Groups and related Standards.
    - 3.1.1.4. The IFFO Technical Director.
      - 3.1.1.4.1. The IFFO Technical Director shall be a full member of the GB.

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- 3.1.1.4.2. Term limits, if relevant, shall not apply to the IFFO Technical Director or IFFO nominated representative.
- 3.1.1.4.3. The IFFO Technical Director shall not serve as an officer of the GB.
- 3.1.1.5 The Chair of the Board who shall be appointed by the GB
  - 3.1.1.5.1 The Chair of the Board shall be appointed for a period of three (3) years, he/she may be dismissed with three (3) months’ notice from the GB by resolution of the GB.
- 3.1.2 Observers may include:
  - 3.1.2.1. The IFFO Director General
  - 3.1.2.2 One (1) representative of each IFFO RS approved accredited CBs.
- 3.2. The GB shall appoint new members to fill empty seats on the GB.
  - 3.2.1. The initial Appointment of Members of the GB shall be made by the IFFO RS Secretariat following approval from the existing Board Members of the GB.
- 3.3. In selecting new members of the GB, the GB and IFFO RS secretariat shall seek to safeguard the impartiality of the Governing Board.
  - 3.3.1. The GB shall include a representative balance of interests so that no single interest predominates.
- 3.4. Members will be appointed for up to three terms of three years.
- 3.5. With the exception of the IFFO Technical Director or IFFO nominated representative, Members of the GB will be neither agents nor employees of IFFO.
- 3.6. The process of appointing Members of the GB shall include consideration of potential, real and perceived conflicts of interest.
- 3.7. Members of the GB may resign at any time by giving notice in writing to the Chair.

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3.8. If a member of the GB has more than two (2) consecutive unexcused absences from duly constituted meeting or is found to have acted in conflict of interest by the GB, he or she may be dismissed from the GB by resolution of the GB.

**4. Quorum**

4.1. Quorum shall be eight (8) Members and must always include at least one (1) NGO member.

**5. Duties and Responsibilities of Members of the Governing Board**

5.1. All GB members have a duty towards the Scheme and are appointed as individuals. In their role on the GB, members shall act in the interests of the Scheme and shall not directly represent their employer or any other organisation.

5.2. To advise the GB when any changes occur in their circumstances such as employment, membership of Associations or Nominating Bodies that may affect their eligibility to serve as a GB member.

5.3. To notify the GB of any reasons affecting his/her ability to serve on the GB.

5.4. To appoint the Chair of the Board.

5.5. To make themselves aware of their individual roles and the roles of the GB to ensure impartiality for the Scheme.

5.6. To give final approval on all new versions of the scheme’s standards that are developed by the Technical Advisory Committee prior to applicants being certified to them.

**6. Observers to the Governing Board**

6.1. Observers shall have voice and no vote at meetings of the GB.

6.2. Observers shall be invited to meetings at the discretion of the Chair of the Board

**7. Duties and responsibilities of the Chair of the Governing Board additional to his/her duties as an ordinary member**

7.1. To act in the interests of the scheme and shall not directly represent their

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Employer or any other Organisation.

- 7.2. To ensure impartiality of the Scheme.
- 7.3. To advise the GB when any changes occur in their circumstances such as Employment, Membership of Associations or Nominating Bodies that may affect their eligibility to serve as Chair of the GB.
- 7.4. To notify the GB of any reason affecting his/her ability to serve as Chair of the GB.
- 7.5. To manage the process for changes to the GB membership.
- 7.6. Together with the Secretariat, to schedule, arrange and chair meetings of the GB.
- 7.7. To propose the agenda for all GB meetings.
- 7.8. To receive and distribute information regarding membership and composition of the GB.
- 7.9. To ensure that the GB composition complies with stated policy, these Terms of Reference and the need for impartiality and independence.
- 7.10. To oversee the Complaints and Appeals procedures related to the Scheme’s Standard development and content.
- 7.11. To appoint Complaints and Appeals Panel members when required.
- 7.12. To rule on Conflicts of Interest when a Member or Observer disagrees with the opinion of the GB.
- 7.13. The Chair of the GB does not vote on normal resolutions. In the case of a tied vote the Chairman shall be entitled to a casting vote.

**8. Responsibilities of the Governing Board**

- 8.1. To determine strategy and measurable impacts for the Scheme’s Standards.
- 8.2. To formulate policies relating to the operation and monitoring of the Scheme’s Standards.
- 8.3. To have an overview of the implementation of those policies.
- 8.4. To set up ad-hoc committees as required and delegate activities to them.

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- 8.5. To review reports from Secretariat and ad-hoc committees.
- 8.6. To ensure all Members understand and fulfil their Fiduciary Duties and responsibilities as Board Members.
- 8.7. To select and appoint a suitable, impartial Chair.
- 8.7.1 To set reasonable rate of compensation for the Chair of the Board
- 8.8. To review the structure of the GB against changing needs and make changes as necessary.
- 8.9. To approve the issue of all IFFO RS Standards, Certification Requirements, Quality Manual and Operating Procedures.
- 8.10. To review an Annual Budget for the operations of the Scheme.
- 8.10.1. The IFFO RS Secretariat shall work to ensure sustainable financing of the Scheme, and shall advise the GB on financial matters which, in its view, compromise its ability to run the Scheme impartially.
- 8.11. The IFFO RS Secretariat shall submit an annual report to the GB on the operations of the Scheme.

**9. Compensation**

- 9.1. The Chair of the Board shall receive reasonable remuneration from IFFO RS as agreed by the Members of the GB
- 9.2. With prior agreement, IFFO RS shall pay reasonable expenses to the members of the GB.

**10. Relationship with IFFO RS Secretariat**

- 10.1. IFFO RS shall not call into question the GB’s decisions on areas listed in the scope (Section 2).
- 10.2. In cases where IFFO RS and the GB disagree over whether or not a decision is included in the scope of the GB’s authority the two parties shall enter into a process to resolve the disagreement. This process shall include the following elements:
  - 10.2.1. An independent Arbitrator shall be appointed that is agreed by both parties.
  - 10.2.2. The Arbitrator shall have the qualifications and experience to rule on the issue in question.

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- 10.2.3. The parties will agree to accept the decision of the Arbitrator.
- 10.2.4. IFFO RS and the GB shall present their positions to the Arbitrator.
- 10.2.5. The Arbitrator may consult outside experts if he or she feels it is necessary to gather sufficient information to take a decision.
- 10.2.6. The Arbitrator shall issue a decision that may, but is not required to be one of the positions presented.
- 10.2.7. The decision of the Arbitrator shall be bound by these ToR and by established WTO, ISO, ISEAL and other recognised International Norms.

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## Appendix 3

### IFFO RS Improvers Programme Acceptance Mechanism

#### Background

The IFFO RS Governance Board is aware that despite the success of the IFFO RS Standard among the IFFO membership, the potential benefits of the IFFO RS programme are constrained by the large number of factories outside this trade organisation that are currently unable to meet the standard. This may either be because of manufacturing issues within the factory or because of problems with the sourcing of appropriate raw material from associated fisheries. Typical fishery issues include a lack of management control or scientific data to provide evidence that a fishery used for the production of fishmeal and fish oil is being managed in a responsible manner to comply with the key requirements of the FAO Code of Conduct for Responsible Fisheries. This FAO code is the base approval requirement for all fisheries that wish to be used as a raw material for use in the IFFO RS Programme.

Many of these fishmeal factories are located in areas where aquaculture is growing strongly, particularly in Asia. This means local fish feed companies and fish farming companies that wish to use only IFFO RS compliant marine feed ingredients would have no option but to import such products, hence adding cost and also missing out on the opportunity to help drive positive change in the sustainability of local and regional supply chains.

The IFFO RS Governance Board did consider an alternative “light” IFFO RS Standard for these particular factories but rejected the idea of diluting the IFFO RS Standard or creating two separate standards. The agreed alternative was to develop an organised improver programme, allied to IFFO RS, in order to encourage factories that at present would struggle to meet the IFFO RS Standard either because of a lack of fisheries management or factory infrastructure and operational issues, to encourage the implementation of improvements that would allow the fishmeal manufacturer to eventually comply with the IFFO RS Standard. The agreed route is to support this sector of the fishmeal industry through this structured IFFO RS Improvers Programme and to ensure that all applicants have a defined journey with agreed time frames and milestones to eventually meet the requirements of the IFFO RS Standard.

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**Benefits of the IFFO RS Improver Programme (IFFO RS IP)**

**Applicant**

- Recognition that they are committed to the responsible sourcing of fish raw material
- Enhance the efficiency of their manufacturing site by adopting internationally recognised Good Manufacturing Practices
- Improve the long term viability of their operation by ensuring that the raw materials are sourced from responsibly managed fisheries
- The ability to share in best practice and develop more effective ways of producing fishmeal and fish oil
- Maintain a market presence and an acceptance in the international community

**Fishmeal Industry**

- Enhance the participation of a larger proportion of the industry into an internationally recognised standard designed to enhance fishery research and fishmeal manufacturing practice
- Enhance reputation management of the fishmeal industry and the feed manufacturing industry
- Improve the worldwide industry viability for fishmeal and fish oil products
- Underline the commitment of the IFFO RS Standard to enhance the responsible sourcing of marine raw materials for use in the fishmeal and fish oil manufacturing industry

*Fishmeal and fish oil manufacturing factories wishing to be formally accepted onto the IFFO RS Improvers' Programme (IFFO RS IP) will need to comply with the following Acceptance Mechanism*

**Principles of the IFFO RS IP Acceptance Mechanism**

All fishmeal factories wishing to join the IFFO RS IP must be able to demonstrate compliance with this Acceptance Mechanism through verification by an independent assessment conducted by an approved Certification Body or Inspection Body.

The Certification Body or Inspection Body must be approved by the IFFO RS Governance Board to ensure that it has the correct credentials to undertake assessments and to give assurance that all the required elements of this IFFO RS IP have been conducted in an appropriate and professional manner.

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The chosen Certification Body or Inspection Body will formulate a contract between the fishmeal applicant and the Certification Body or Inspection Body detailing the requirements and commitments needed for acceptance onto the IFFO RS IP.

The objective of the IFFO RS IP Acceptance Mechanism is to provide assurance to the IFFO RS Governance Board that any claim the applicant fishmeal manufacturer makes in regards to the IFFO RS IP concerning both their fishmeal and fish oil production and on the sourcing of their raw material can be fully supported. The outcome will be that the applicant fishmeal manufacturer will have a clear improvement plan in place that will be completed in a designated period of time, which will lead to their factory being certified to the IFFO RS Standard with an approved raw material that is considered to be responsibly sourced.

**Definitions (In order of appearance in the Acceptance Mechanism)**

**Applicant:** A company or group of companies that manufacture fishmeal and fish oil that has formally applied to be recognised as meeting the criteria for inclusion in to the IFFO RS IP through the formal Application Letter.

**Potential Applicant:** A company or group of companies that manufacture fishmeal and fish oil that are considering applying to be recognised as meeting the criteria for inclusion into the IFFO RS IP.

**Recognised Applicant:** An Applicant company or group of companies that manufactures fishmeal and fish oil that have been formally accepted by the IFFO RS Governance Board, as meeting the criteria for inclusion into the IFFO RS IP, and are listed on the IFFO RS website as such.

**Fishery:** can refer to the sum of all fishing activities on a given resource, for example a SINGLE FISHERY would be a hake fishery or shrimp fishery. Within a Fishery is a Fish stock or fish resource means the living resources in the community or population from which catches are taken in a fishery. Use of the term fish stock usually implies that the particular population is more or less isolated from other stocks of the same species and hence self-sustaining. In a particular MIXED FISHERY, the fish stock may be one or several species of fish captured by the same fishing method

**Application Letter:** This is an application letter that formally commits the potential applicant to be assessed to determine if they meet the requirements needed to be accepted onto the IFFO RS IP.

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**Certification Body and Inspection Body:** These organisations are independent, legal entities from both the applicant and the IFFO RS Standard and are employed to provide assurance auditing services that will analysis both components of the IFFO RS IP to establish compliance with the IFFO RS IP Acceptance Criteria.

**Assessment Plan:** The IFFO RS IP has two components, the factory operation and the raw material fishery. An Assessment Plan for the applicant will be devised by the certification body or inspection body which covers both these components. This plan shall ensure that applicant’s factory operation and raw material fisheries undergo initial gap analysis assessments against the IFFO RS Standard to highlight the gaps and challenges that will need to be addressed.

**Improver Fishery:** A fishery that has been independently assessed by a Certification Body or Inspection Body, to the IFFO RS Fishery Assessment criteria and has an action plan in place on how to meet the required standards.

**Improver Factory:** A factory that has been independently assessed by a Certification Body or Inspection Body, to the IFFO RS Factory Standard criteria and has an action plan in place on how to comply with/ achieve the required standard.

**Action Plan:** This is an improvement plan that will be agreed with the Applicant following the completion of the applicant’s Assessment Plan and will detail the key milestones that have to be achieved, in both the factory and the supplying fisheries, if the applicant is to be eventually certified to the IFFO RS Standard.

**Fishery Action Plan:** This will be an improvement plan that focuses solely on the applicant’s raw material fisheries

**Factory Action Plan:** This will be an improvement plan that focuses solely on the applicant’s manufacturing operations

**Acceptance Committee:** This is an independent committee composed of IFFO RS board members and key stakeholder experts who will determine if an applicant can be accepted for inclusion into the IFFO RS IP.

**Acceptance Letter:** This will formally recognise the applicant as being a member of the IFFO RS IP and will formalise the key measurable mile stones and time lines that will need to be achieved by the applicant to eventually obtain full IFFO RS certification and to maintain the applicant’s acceptance status.

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**Approved Claim:** A claim made by a Recognised Applicant that has been approved for use and licensed by the IFFO RS Governance Board.

**Action Plan Trackers:** These documents will be maintained by the applicant and the IFFO RS Secretariat to show how the Recognised Applicant is progressing to the approved Action Plans for both the factory and fishery. These trackers will be publically available on the IFFO RS Website.

**Outline of the IFFO RS IP Acceptance Mechanism Requirements**

The IFFO RS IP Acceptance Mechanism is managed by the IFFO RS secretariat. A Potential Applicant can enter the IFFO RS IP by the following two entry points:

1. An applicant that has failed to meet the requirements of the IFFO RS Standard following a certification assessment by an approved IFFO RS Certification Body  
or
2. An applicant that is unsure and thinks it may fail to meet the requirements of the IFFO RS Standard

The IFFO RS Acceptance Mechanism has a number of distinct stages which are described below. For Potential Applicants that follow entry point 1 they should join the following Acceptance Mechanism at Stage 5.

**Stage 1. Information Request and Self-Assessment**

Information may be requested by a Potential Applicant within the fishmeal manufacturing sector. A Potential Applicant could be a:

- Single manufacturer
- A group of manufacturers in national fishmeal association
- A secondary processor/distributor/feed manufacturer that will use their fishmeal manufacturer as a designated sub -contractor

Potential Applicants may request and obtain information from the IFFO RS Secretariat about the IFFO RS IP Acceptance Mechanism, the IFFO RS IP acceptance criteria, IFFO RS IP registration fees and potential timeframes to gain acceptance.

Applicants are strongly advised to carry out a self-assessment against the IFFO RS IP Acceptance Criteria, in order to ascertain their readiness for an external assessment by an approved Certification Body or Inspection Body.

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**Stage 2. Completion of Application Letter**

If the Potential Applicant wishes to progress to application they will be requested to formally provide information on the following areas to the IFFO RS Secretariat in the form of a written letter or email;

- on the fishery or fisheries supplying raw material including location and management controls
- of any good manufacturing certification or standards they have obtained in the factory.

A group of organisations may apply, as long as they have a contractual agreement between all members of the group with a central controlling company or organisation. When the formal Application Letter and associated IFFO RS IP registration fees are received by the IFFO RS Secretariat and accepted, the Potential Applicant will become known as a Formal Applicant.

IFFO RS Secretariat will liaise with the IFFO RS IP approved Certification Bodies and Inspection Bodies to ascertain the most appropriate organisation to conduct the initial assessments on behalf of the Formal Applicant.

At this stage the IFFO RS Secretariat will advise the Formal Applicant which approved Certification Body and Inspection Body may be available to conduct the initial assessments. The acceptance mechanism for the IFFO RS IP does not insist that the initial assessments for both components of the IFFO RS IP are conducted by the same Certification Body or Inspection Body. The final decision on which Certification Body or Inspection Body is contracted will lie with the Formal Applicant.

**Stage 3. Certification Body or Inspection Body prepares an Assessment Plan**

For each Formal Applicant the Certification Body or Inspection Body contracted will create a bespoke Assessment Plan to validate the IFFO RS IP Acceptance Criteria as detailed in their application letter for both the fishery raw material and for the factory standards.

The Formal Applicant will be required to ensure that any relevant fisheries listed and involved in their raw material sourcing that wish to be considered for acceptance into the IFFO RS IP shall be accurately described with as much detail as possible.

If a Formal Applicant is sourcing raw fish material from a mixed fishery, all fish species that are used, within their production of fish meal and fish oil, shall need to be

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considered for inclusion as part of their application for acceptance into the IFFO RS IP. Where species are not known their identification will form part of the Improvers Programme action plan and objectives. If the Formal Applicant does not meet this key principle and the applicant does not wish all these known species to be assessed, then the IFFO RS Governance Board will instruct the Certification Body or Inspection Body to withdraw the applicant’s formal application to the IFFO RS IP.

The Certification Body or Inspection Body will provide the Formal Applicant with an Assessment Plan and associated assessment costs based on the information provided in their application letter.

When the Formal Applicant agrees to the Assessment Plan for both components of the IFFO RS IP, and forwards or agrees to pay the relevant payments for associated assessments costs. The application will then move forward for IFFO RS IP Initial Assessments stage.

### **Stage 4. The Initial Assessment**

The assessment of the applicant will be in two phases

- Raw Material Fishery Assessment to the IFFO RS Fishery Approval Criteria
- Factory Audit to the IFFO RS Factory Standard

Each phase may be conducted by the same or different Certification Bodies or Inspection Bodies depending on what is decided by the Formal Applicant at stage 2. The Assessments are against the IFFO RS Standard and will be in line with the agreed Assessment Plan described in stage 3.

It is the applicant’s responsibility to ensure that the information supplied in the application letter is factual and as accurate as possible so that their agreed Assessment Plan remains relevant.

The Certification Body or Inspection Body Assessors shall always conduct these initial assessments in an independent, professional and courteous manner.

The key components of the IFFO RS IP Acceptance criteria include the requirements for:

#### **Fishery**

- Gap Analysis completed
- Stakeholder led Fishery Action Plan
- Fishery Action Plan Tracker

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**Factory**

- Gap Analysis Completed
- Factory Action Plan with measurable outcomes and fixed milestones

**Stage 5. The Fishery Assessment and Factory Audit Report**

The Certification Body or Inspection Body will compile two reports, one for each component of the application, detailing how the Formal Applicant does or does not meet the IFFO RS Standard.

These reports will identify any non-conformances against the IFFO RS Standard. Formal Applicants will be required, as defined in approved action plans, to agree a programme for how they will improve their operations and correct any areas of non-conformances, in order to progress their acceptance application.

The Certification Body or Inspection Body will in addition stipulate in these reports the measurable outcomes and milestones that the Formal Applicant will need to attain to gain acceptance within the IFFO RS IP.

**Stage 6. The Acceptance Decision**

The applicant’s assessment reports and the corrective action plans will be submitted to the IFFO RS IP Acceptance Committee for an Acceptance Decision on whether to allow the applicant into the IFFO RS IP.

The Acceptance Committee shall be composed of persons with equal competence to the Certification Body or Inspection Body Assessors and shall have expertise on the IFFO RS Programme.

**Stage 7. Acceptance**

Where acceptance is the outcome, an Acceptance Letter will be issued detailing an agreed time frame with key measurable improvement points that the now Recognised Applicant shall adhere to, if their acceptance status is to be maintained.

This letter will be sent to the Recognised Applicant within 30 days after the evaluation date. In the event that this cannot be achieved, the IFFO RS IP Acceptance Committee shall formally write to the Recognised Applicant stating a prospective date of issue and the reasons for the delay.

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Where acceptance is not the outcome, the reasons for this decision will be communicated to the Formal Applicant for them to respond and, if possible, provide further evidence to support their application. If no further evidence can be provided the Formal Applicant will be asked to withdraw their application and asked to reapply at a later stage when more information or progress can be provided.

**Stage 8. Maintaining Acceptance**

Ongoing acceptance is only maintained where there is substantive and demonstrable evidence that the Recognised Applicant remains in compliance with the acceptance criteria of the IFFO RS IP and the agreed action plans for both components of the IFFO RS Programme.

This will be verified by annual assessment by an independent Certification Body or Inspection body. Any non-conformity raised must be verified as corrected, with objective evidence obtained within the timescales defined within the acceptance letter.

If the Recognised Applicant does not meet the requirements of the acceptance letter their acceptance status will be suspended pending a full investigation by the IFFO RS IP Acceptance Committee, to establish the facts on why these non-compliances to the approved actions plans have occurred. If no mitigating evidence can be disclosed by the Recognised Applicant the applicant’s acceptance status will be formally withdrawn by the IFFO RS IP Acceptance Committee and the Recognised Applicant will be delisted.

**Stage 9. Access to Approved Statement**

Recognised Applicants can apply to the IFFO RS Governance Board for use of approved statements on their accepted status in the IFFO RS IP.

**Appeals**

The Applicant has the right to appeal the acceptance decision of the IFFO RS IP Acceptance Committee. Appeals shall be made in writing to the IFFO RS Secretariat within fourteen days of the acceptance decision.

A full response will be given in 30 days by an IFFO RS Secretariat representative that shall be independent of the Certification Body or Inspection body assessors, the IFFO RS IP Acceptance Committee and the Applicant.

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**IFFO RS IP Acceptance Criteria**

**1.1 The Fishery Acceptance Criteria**

1.1.1A full gap analysis study will be conducted on the fishery raw material to identify the gaps and challenges to the IFFO RS fishery approval criteria in the following key areas:

- Legal and administrative basis
- Fisheries management should be concerned with all the known fisheries
- Management actions should be scientifically based
- Research in support of fisheries conservation and management should exist
- Best scientific evidence available should be taken into account when designing conservation and management measures
- The precautionary approach is applied in the formulation of management plans or arrangements
- Permitted catches should be based on scientific advice
- Where excess fishing capacity exists, mechanisms should be established to reduce this
- Management measures should ensure that fishing gear and fishing practices do not have a significant impact on non-target species and the physical environment
- A framework for sanctions of violation of laws and regulations should exist
- A Monitoring, Control and Surveillance system should be in place
- A management plan that sets out the objectives for the fishery and the means by which these will be achieved should be in place. These objectives need to cover social, economic and natural resource aspects.

1.1.2The Applicant shall instigate the formation of a stakeholder committee. This stakeholder committee should have representatives where possible from, but not limited to, the following:

- The Applicant
- Local fishing industry
- Government Fisheries (both administrative and scientific)
- eNGO
- FAO
- Funding Agencies

1.1.3The stakeholder committee shall produce a Fisheries Improvement Programme with a duration of up to 8 years, the target for most programmes will be 5 years for

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the assessed fishery, in the form of an approved Fishery Action Plan that will, once successfully completed, result in the fishery being eligible for applying for full approval status to the IFFO RS Standard.

The fishery action plan shall include, but not be limited to, the following:

- Identification of issues resulting from the gap and challenges analysis
- Identification of the key stakeholders that will be required to improve the fishery
- Prioritisation of issues
- Agreement on a set of priority actions to resolve the issue
- Agreement on milestones for when improvements will be completed
- Agreement on a mechanism to complete, monitor and record improvements on a Fishery Action Plan tracker

1.1.4A Fishery Action Plan Tracker shall be placed on the IFFO RS website and the applicant will notify the IFFO RS Secretariat every time a crucial milestone has been attained, so that the tracker is kept up to date. As a minimum requirement the applicant shall ensure that their tracker is updated every six months.

1.1.5 The Fishery Action Plan Tracker shall be independently evaluated every year to ensure that each mile stone is reached on schedule

1.1.6A fishery that is already in the process of improving via a FIP (Fishery Improvement Plan) to meet a certification to MSC, will be automatically accepted as a Fishery Action Plan for IFFO RS IP.

**2. The Factory Acceptance Criteria**

2.1 An initial factory audit (Gap Analysis audit) shall be completed to identify the deficiencies within the applicant’s Good Manufacturing Practices to the IFFO RS Standard.

2.2 Improvement Phase – The applicant shall formulate a Factory Action Plan which has clear targets, and set milestones that will lead to the required standards needed for attaining IFFO RS Factory Certification.

2.2.1 The Factory Action Plan shall set a time limit with a maximum of 6 years from initial audit to potential IFFO RS certification.

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2.2.2 The applicant shall implement the Factory Action Plan and progress shall be independently verified by an appointed Certification Body or Inspection Body on an annual basis.

**3. Certification of Applicant to IFFO RS Standard**

- 3.1 Within 6 months of completion of the IFFO RS IP Action Plans the Recognised Applicant shall apply for full IFFO RS certification.
- 3.2 The Fishery Action Plan on completion will be converted into an IFFO RS Fishery Assessment Report for full approval by the IFFO RS Fishery Peer Review Committee.
- 3.3 The certification of the applicant will be conducted by an IFFO RS approved Certification Body and will be in compliance with the ISO 17065 accreditation requirements for the IFFO RS Programme.

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## Appendix 4

### IFFO RS Governance Board Raw Materials (Fisheries) Peer Review Committee (FPRC)

#### Introduction

The IFFO RS Certification Programme is a third party, independent and accredited certification programme owned 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 two Standards applicable for marine ingredient producers and for the chain of custody of certified material through the supply chain. A pivotal component of this standard is that all the raw material shall be approved to the key requirements of the FAO Code of Conduct for Responsible Fisheries as stated in the current version of the IFFO RS standard before any applicant can be certified to the programme.

This document describes the IFFO RS approval mechanism that shall need to be complied with by the approved Certification Bodies that undertake the fishery and by product fishery assessments on behalf of the IFFO RS applicants and clients.

#### Fishery Approval Mechanism

The decision for approval of the raw material for use in the IFFO RS certification programme is done by the approved certification bodies in consultation with the Fisheries Peer Review Committee and has a number of distinctive steps and these are described in this document.

#### Stage 1 Application

On application to the IFFO RS Standard the applicant in their application form shall highlight the fisheries and by products that shall need to be assessed by the Certification Body in order to gain approval as a compliant raw material. This information is to be sent initially to the IFFO RS Secretariat and they shall discuss with the applicant which certification body shall be best suited to conduct this work.

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**Stage 2 Raw Material Assessor Appointment**

The certification body that has been contracted shall assign an assessor or a team of assessors to conduct this work and shall ensure that they are in compliance with the IFFO RS control document.

APPOINTMENT OF IFFO RS FISHERY AND BY-PRODUCT FISHERY ASSESSORS (Appendix B2- Issue 2.1)

**Stage 3 Raw Material Assessment**

The certification body shall ensure that the raw material assessment is conducted to be in compliance with the following IFFO RS control documents depending on the nature of the raw material.

**Whole Fishery**

FISHERY ASSESSMENT DETAILED INTERPRETATION DOCUMENT (Appendix ID2Version2)

FISHERY ASSESSMENT INTERPRETATION GUIDANCE DOCUMENT V2.0

**By product Fishery**

BY-PRODUCT FISHERY ASSESSMENT INTERPRETATION DOCUMENT (Appendix IDVersion2)

FISHERY ASSESSMENT INTERPRETATION GUIDANCE DOCUMENT V2.0

CONDUCTING IFFO RS FISHERY/BY-PRODUCT FISH ASSESSMENTS BY APPROVED CERTIFICATION BODIES (CBs) (Appendix A3 – Issue1.5)

If the raw material assessment from the certification body does not comply with these control documents stated in this document the subsequent assessment shall not be in compliance with the IFFO RS standard and the IFFO RS secretariat shall instruct the certification body to redo the affected raw material assessment at a cost to be borne by themselves.

**Step 4 Client Draft**

On completion of the raw material assessment it shall be submitted initially to the applicant/client so that any gaps in information, or if further clarification is required

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before a section can be rated can be conducted. The certification body should also highlight any areas that shall need to be confirmed by the approved IFFO RS auditor when they conduct the on site assessment of the applicant.

**Note-** *the on-site audit of the applicant can be conducted prior to the raw material being approved as this mechanism shall allow more evidence to be collected on the Raw Material, which could assist in the raw material approval process. However, the CB shall inform the applicant that they cannot be officially certified to the IFFO RS standard without the raw material being approved through this documented mechanism first.*

**Step 5 Raw Material Rating**

All sections of the raw material assessment shall be rated, guidance on what rating shall be applied are stated in the IFFO RS control documents

**Whole Fishery**

FISHERY ASSESSMENT INTERPRETATION DOCUMENT (Appendix ID2Version2)

FISHERY ASSESSMENT INTERPRETATION GUIDANCE DOCUMENT V2.0

**By product Fishery**

BY-PRODUCT FISHERY ASSESSMENT INTERPRETATION DOCUMENT (Appendix ID3Version2)

FISHERY ASSESSMENT INTERPRETATION GUIDANCE DOCUMENT V2.0

If an anomaly arises from the assessment the certification body should highlight this in the assessment report to be discussed with the IFFO RS Fisheries Peer Review Committee.

The certification body in this raw material report shall at this stage recommend if the raw material can be;

- approved for use in the IFFO RS Standard
- or if it can be approved with conditions attached
- or if it should be deferred approval until more information is gathered
- or finally it should be rejected

**Step 6 Peer Review Committee Set Up**

The raw material assessment will be sent to the IFFO RS Secretariat who will inform the

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chairperson of the Peer Review Committee to instigate a review of the raw material assessment report with the other approved members on this committee. The requirements of members on this committee shall be documented in a dedicated **terms of reference document**.

**Note-** *The chair of this committee can and may invite into this peer review of the raw material assessment report the services of independent and experienced fishery scientists to establish if the science discussed in the report can be validated. However these scientist appointments shall also be in compliance with the IFFO RS control document.*

APPOINTMENT OF IFFO RS FISHERY AND BY-PRODUCT FISHERY ASSESSORS (Appendix B2 – Issue2.1)

**Step 7 Peer Review Assessments**

Each member of this committee shall be asked by the chair person to read the report and assess its compliance to the IFFO RS control documents

**Whole Fishery**

FISHERY ASSESSMENT DETAILED INTERPRETATION DOCUMENT (Appendix ID2Version2)

FISHERY ASSESSMENT INTERPRETATION GUIDANCE DOCUMENT V2.0

**By-product Fishery**

BY-PRODUCT FISH FISHERY ASSESSMENT INTERPRETATION DOCUMENT (Appendix ID3Version2)

FISHERY ASSESSMENT INTERPRETATION GUIDANCE DOCUMENT V2.0

A period of up to 2 weeks to undertake this assessment should be allowed for each whole fishery and a period of up to 1 day for a by-product fishery assessment.

**Note-** *The time highlighted shall not all be used to review the raw material reports but shall give an indication to the applicant how long the peer review phase of this approval mechanism shall be.*

At the end of the peer review stage a review of the raw material assessment shall be documented which shall either recommend agreement with the certification body raw material report or shall seek further clarification prior to a decision being given.

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If further information is required a formal meeting to discuss the report shall be held between the Peer review committee and a representative from the certification body that conducted the raw material assessments to discuss and agree the areas that had required further clarity and to agree if enough evidence had been produced to ensure that the raw material was in compliance with the IFFO RS standard.

If a final decision cannot be made on a raw material assessment within a period of 12 months from the initial assessment, this initial assessment will be deemed invalid and the raw material will need to be fully assessed again if it is to gain its approved status.

**Step 8 Final Decision**

Upon agreement with the Peer Review Committee the Certification body shall submit the decision to the applicant. The decision shall either be one of the following;

- approved as compliant for use in the IFFO RS Standard
- or it can be approved with conditions attached as agreed with the peer review committee
- or finally it should be rejected as not enough evidence provided to ensure compliance can be established.

The approval period for either a whole fish fishery or a by-product fishery shall have a duration of three years with an annual surveillance assessment. On expiry of the approval period the applicant shall have to resubmit the raw material for a full re-assessment.

If it is a decision to reject the raw material at this stage, the applicant shall be asked if they wish to apply for acceptance into the IFFO RS Improver Programme. To gain acceptance in this improver programme the applicant shall need to follow the dedicated acceptance mechanism that is in operation for this programme.

**IFFO RS IMPROVERS PROGRAMME ACCEPTANCE MECHANISM DOCUMENT (IP1- May 2016)**

If the decision is to accept the raw material the applicant shall be informed and the on-site audit can now commence or if already completed the audit report can, with this raw material report, be submitted to the certification body’s certification committee to certify the applicant to the IFFO RS standard.

If the decision is to accept the raw material with conditions the applicant shall be informed and asked to sign a commitment that they agree with these conditions and shall have the duration of the approval period, 3 years, to rectify these points if the raw material is to be reapproved. The applicant will need to provide evidence to the CB, on

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an annual basis, that work to conform to these conditions have been completed as requirement for the continued approval of the raw material. The CB will provide information in the form of a tracker to show this continued improvement to meet the approved condition will be submitted to the IFFO RS secretariat on an annual basis to make publically available on the IFFO RS website.

**Step 9 Annual Surveillance**

Once a raw material has been approved the fishery or by product fishery shall be subject to an annual surveillance check to ensure that all the key requirements needed for IFFO RS approval are still being adhered to.

The mechanism to assure that the raw material maintains its approval is as follows;

- I. The certification body that conducted the original assessment shall conduct a sample review of the fishery to ensure that the key requirements are still being adhered to and if conditions of approval are imposed that evidence of continuous improvement can be provided.
- II. A report is composed with the recommendation from the certification body or inspection on if it is to maintain its approval status
- III. The report is submitted to the Peer Review Committee for a review to either agree or to challenge this certification body recommendation
- IV. If all parties agree the raw material shall maintain its approved status

If a raw material annual surveillance highlights issues that it is in contravention with the requirements of IFFO RS approval the applicant shall be informed and a formal investigation to establish the cause shall be conducted. At this point the raw material approval status may be suspended and any marine ingredient made from it at this time shall also not be allowed to use the IFFO RS logo until the investigation has been completed.

The investigation can have two outcomes

- I. Further evidence on the raw material shall be required which could mean that a full re-assessment is required
- II. Further evidence is submitted that assures the certification body and the peer review committee that the raw material is still in compliance with the IFFO RS Standard

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**Stage 10 Approval Status Ends**

After a period of 3 years the applicant’s raw material approval status shall expire and it shall need a full re-assessment to ensure that it still fully complies with the IFFO RS Standard.

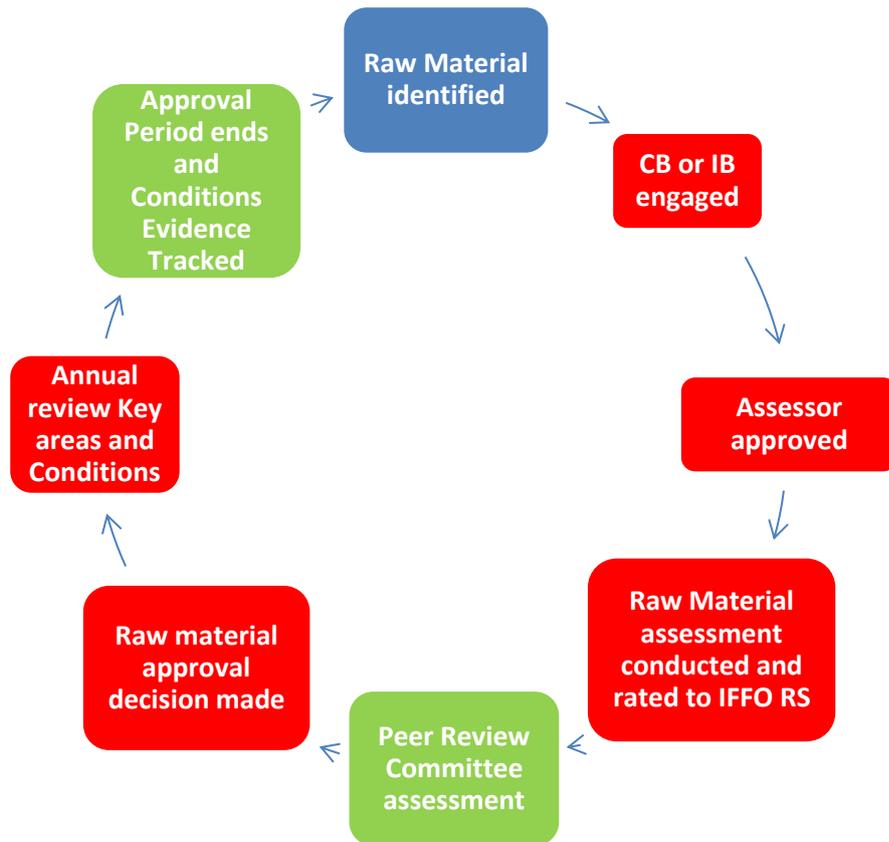
In addition, if any conditions were attached to the raw material the applicant shall need to provide evidence in the form of a tracker to highlight that these areas have been fully acted upon before the raw material can be accepted into a plan to re-assess it for approval into the IFFO RS programme.

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## Raw Material Approval Cycle



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## Appendix 5

### Certification Body Key Performance Indicators (KPIs)

**1. Report to applicant on time – all communication to the applicant with regards to the subjects below must be copied to IFFO RS secretariat/Head of Standards**

- ✓ New applications – applicants to be contacted within 5 working days
- ✓ Fishery Assessments (information request/ results) – *to produce a review of information document to report to the applicant*
  - Doc A3 Guidelines for CB conducting IFFO RS Fishery/By-product Fishery assessments
  - Doc B2 Appointment of IFFO RS Fishery and by-product fishery assessors
- ✓ Factory audit results and certification
  - Doc A2 Guidelines for CB managing applications to IFFO RS Standard
  - Doc A5 Issuing and withdrawal of IFFO RS certificates
  - Doc D3 Clients transferring their certification to a new CB
- ✓ Applicant/stakeholder feedback – complaints
  - Doc A6 Appeals and complaints procedure for IFFO RS standard

**2. Report to secretariat on time**

- ✓ Accreditation status
  - Doc D1 CB approval requirements for IFFO RS audits and certification
- ✓ Fishery Assessments results – *all final reports post committee decisions will be sent to IFFO RS secretariat for standard consistency monitoring purposes*
  - Doc A2 Guidelines for CB managing applications to IFFO RS Standard
  - Doc B2 Appointment of IFFO RS Fishery and by-product fishery assessors
  - Produce a yearly fisheries assessment schedule.
- ✓ Factory audit results and certification – *all final reports post committee decisions will be sent to IFFO RS secretariat for standard consistency monitoring purposes. The certificate should be sent electronically within 1 working day of issuing*
  - Doc 2A Guidelines for CB managing applications to IFFO RS Standard
  - Doc A4 Conducting IFFO RS Factory audits by approved CBs
  - Doc A5 Issuing and withdrawal of IFFO RS certificates
  - Doc D3 Clients transferring their certification to a new CB
- ✓ Applicant/stakeholder feedback – complaints
  - Doc A6 Appeals and complaints procedure for IFFO RS standard

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- ✓ Changes to the IFFO RS operating requirements
    - Doc B3 Appointment of IFFO RS Factory auditors
  - ✓ Monthly issue of status tracker to IFFO RS Secretariat to include
    - Current status of clients in assessment
    - Certified clients in last month
    - Highlight any issues – client auditor or certification
    - Tracker to include days in progress running total from audit conducted date.
- 3. Approval continuous and maintain accreditation to the IFFO RS Standard**
- Doc D2 Approval criteria for CBs to audit and certify against the IFFO RS standard
- 4. CB assessor/ auditor comply with IFFO RS standard requirements**
- Doc A3 Conducting IFFO RS Factory audits by approved CBs
- ✓ Auditor fully witness by the CB
  - Doc D1 CB approval requirements for IFFO RS audits and certification
  - Doc B3 Appointment of IFFO RS Factory auditors
  - Doc B2 Appointment of IFFO RS Fishery and by-product fishery assessors
- 5. Audit and assessments are consistent with the most up to date IFFO RS standard**
- ✓ Compliance with the non-conformity criteria in the interpretation guides
  - Doc ID2 - Whole fish fishery assessment interpretation document
  - Doc ID3 - By-product fishery assessment interpretation document
  - Doc ID1 Detailed Interpretation guidelines for the assessment of factories

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***IFFO RS Limited***

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**IFFO RS Director**

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**IFFO RS Governance Board Chairperson**

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**IFFO RS Secretariat**

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**AMENDMENT LOG**

DATE	ISSUE	AMENDMENT	AUTHORISED BY
13/04/2016	1.1	Addition of content to 6.2.2 CB Assessments (Overview), point b) <i>“For fishery assessments this report will undergo an IFFO RS Peer review prior to the final determination by the CB. For fishery by-product assessments, 10% of the total number of by-product reports and any”</i>	Francisco Aldon
13/04/2016	1.1	Change of appendix title C3 <i>“IFFO RS Fisheries, Factories, Standard and Process”</i> in 8. List of Appendices.	Francisco Aldon
13/04/2016	1.1	Change of appendix C4 title to read <i>“Logo”</i> instead of ‘Seal’	Francisco Aldon
13/04/2016	1.1	In Appendix 5, 1. Report to applicant on time, second bullet point changed to refer to <i>“Document A3 Guidelines for CB conducting IFFO RS Fishery/By-product Assessments”</i>	Francisco Aldon
05/05/2016	1.1	Addition of relevant appendix codes in Section 8 – <i>List of Appendices</i> pages 32 - 33; Addition of E4 and E5 in <i>Terms of Reference</i> , addition of F2 and F3 to <i>Agreements</i> , Addition of <i>Templates</i> including APP1, APP2, APP3, APP4, CB1, CB2, CB3, FAC1, FISH1, FISH2, Addition of <i>Improvers Programme</i> including IP1, addition of <i>Peer Review Committee</i> including PRI, and finally addition of <i>Interpretation documents</i> including ID1, ID2, ID3	Francisco Aldon
05/05/2016	1.1	Edits to the control manual codes in Appendix 4 of the Main Control Manual, pages 54 to 58, in order to refer to the relevant, up-to-date documents.	Francisco Aldon
05/05/2016	1.1	Addition of signatures page – page 63	Francisco Aldon
22/07/2016	1.1	Addition of appendix A8 to page 32, list of Appendices	Francisco Aldon
04/09/2017	1.2	Update of IFFO RS website address	Francisco Aldon
04/09/2017	1.2	Addition of wording <i>“and full revisions of the IFFO RS standard every 5 years in accordance with ISEAL to”</i>	Francisco Aldon

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04/09/2017	1.2	'Head of Standards' wording to be corrected to 'Head of Operations'	Francisco Aldon
04/09/2017	1.2	Addition of 'FAC2 IFFO RS Factory Assessment Report V2.0' to the list of appendices	Francisco Aldon
04/09/2017	1.2	Addition of 'FISH3 IFFO RS Fishery Assessment Report V2.0' to the list of appendices	Francisco Aldon
04/09/2017	1.2	Addition of 'ID4 Public Interpretation Guidelines for the IFFO RS Factory Assessment V2.0' to the list of appendices'	Francisco Aldon
04/09/2017	1.2	Addition of 'ID5 IFFO RS Fishery Assessment Interpretation Guidance V2.0' to the list of appendices'	Francisco Aldon
04/09/2017	1.2	Updating of the Governance Structure in Appendix 1 with the addition of 'Compliance'	Francisco Aldon
04/09/2017	1.2	Updating of the IFFO RS Governance Board Members	Francisco Aldon
04/09/2017	1.2	Rewording of 'to be followed' in clause 1.1.6 in appendix 2	Francisco Aldon
04/09/2017	1.2	Slight rewording to clause 1.1.9 in appendix 2	Francisco Aldon
04/09/2017	1.2	Rewording of 'minuted' to 'recorderd' in clause 2.9 in appendix 2	Francisco Aldon
04/09/2017	1.2	Removal of wording 'and observers' in clause 3.1 in appendix 2	Francisco Aldon
04/09/2017	1.2	Rewording of 'fishmeal/fish oil industry' to 'Marine Ingredient producing' in clause 3.1.1.1 in appendix 2	Francisco Aldon
04/09/2017	1.2	Rewording of 'fishmeal/fish oil industry' to 'Marine Ingredient producing' in clause 3.1.1.3 in appendix 2	Francisco Aldon
04/09/2017	1.2	Removal of wording 'or an IFFO nominated representative' in clause 3.1.1.4 in appendix 2	Francisco Aldon
04/09/2017	1.2	Removal of wording 'or an IFFO nominated representative' in clause 3.1.1.4.1 in appendix 2	Francisco Aldon
04/09/2017	1.2	Removal of wording 'or an IFFO nominated representative' in clause 3.1.1.4.3 in appendix 2	Francisco Aldon
04/09/2017	1.2	Removal of the wording 'members of the GB' in clause 5.1 in appendix 2	Francisco Aldon
04/09/2017	1.2	Rewording of 'elect the' to 'appoint' and deletion of wording 'who will serve for a	Francisco Aldon

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		maximum period of 3 years without the requirement for re-election' in clause 5.4 in appendix 2	
04/09/2017	1.2	Amendments to clause 6.1 in appendix 2	Francisco Aldon
04/09/2017	1.2	Amendments to clause 7.1 and addition of clause 7.2 in appendix 2	Francisco Aldon
04/09/2017	1.2	Amendments to the following clauses in appendix 2; Clause 8.1 now 8.5, clause 8.2 removed, clause 8.3 now 8.7, clause 8.4 now 8.8, clause 8.5 now 8.9, clause 8.6 now 8.10, clause 8.7 now 8.11, clause 8.8 now 8.12, clause 8.9 now 8.13, with the addition of new clauses 8.1, 8.2, 8.3 and 8.4	Francisco Aldon
04/09/2017	1.2	Amendments to the following clauses in appendix 2; Clause 9.8 now 9.9, clause 9.9 now 9.10, clause 9.10 now 9.11, clause 9.10.1 now 9.11.1, clause 9.11 now 9.12, with the addition of new clause 9.8	Francisco Aldon
04/09/2017	1.2	Clause 10.1 now 10.2 with the addition of the new clause 10.1 in appendix 2	Francisco Aldon
04/09/2017	1.2	Wording amendments to clauses 11.2.1 to 11.2.7 in appendix 2	Francisco Aldon
04/09/2017	1.2	'Fishery Assessment Interpretation Guidance Document V2.0' reference added to 'Stage 3: Raw Material Assessments' in appendix 4	Francisco Aldon
04/09/2017	1.2	'Fishery Assessment Interpretation Guidance Document V2.0' reference added to 'Step 5: Raw Material Rating' in appendix 4	Francisco Aldon
04/09/2017	1.2	'Fishery Assessment Interpretation Guidance Document V2.0' reference added to 'Step 7: Peer Review Assessments' in appendix 4	Francisco Aldon

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