



RESPONSIBLE
SUPPLY

IFFO RS
Global Standard for Responsible Supply
of Marine Ingredients

IFFO RS Limited

T: +44 (0) 2030 539 195
E: Standards@iffors.com
W: www.iffors.com

Unit C, Printworks | 22 Amelia Street
London, SE17 3BZ | United Kingdom



Global Standard for Responsible Supply of Marine Ingredients

IFFO RS Factory Assessment Template Report V2.0

Version No.: 2.0 Date: July 2017



CONFIDENTIAL MATERIAL
(For authorised use only)

Company Details				
Site-Code :				
Company Name :				
Site Name :				
Address :				
Country :			Postcode :	
Telephone :			Fax :	
Company Representative Name :			Email :	
Site Representative Name :			Email :	
Audit/Auditor Details				
Auditor Names :		GMP+ /FEMAS(or equivalent) Cert No and Expiry Date:		
Audit Date :		Previous Audit Date :		
Key Personnel				
Name/Job Title	Present at Audit (x)			
	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Audit Duration Details				
On-site audit duration man hours				



RESPONSIBLE
SUPPLY

Raw Material Scope

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

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

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

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

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

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



RESPONSIBLE
SUPPLY

Summary

Company / Site Profile



RESPONSIBLE
SUPPLY

This report shall not be reproduced in part without the permission of IFFO RS Ltd.

Issue 2 Issue 1



List of Non-Conformities

No.	Status (Critical, Major or Minor)	Clause No.	Detail of Non-Conformity	Corrective Action Timescale



Clause No & Requirement	Conforms Y, N or NA	Details
SECTION 1 – RESPONSIBLE SOURCING PRACTICES		
1.2 Responsible Sourcing Policy		
1.2.1 The Applicant shall implement a documented Policy that commits them to the responsible sourcing of fishery material in accordance with this Standard.	FULL COMPLIANCE	
1.2.2 The Applicant shall be permitted to use IFFO RS approved raw material in their scope if they have been granted this approval by IFFO RS Ltd.	FULL COMPLIANCE	
1.2.3 The Applicant shall be only permitted to use MSC certified raw material in their scope if they have a documented process in place to confirm the MSC certified status of these raw materials upon receipt.	FULL COMPLIANCE	
1.4 Reporting and Recording of Fishery Raw Materials		
Each delivery of fishery material shall meet the following criteria in order for it to be eligible for use as approved raw material.		
1.4.1 Whole Fish Fishery material shall be traceable to a fishery/fisheries approved as compliant to the IFFO RS Standard, or to an certified MSC fishery, to be eligible for identification of IFFO RS	FULL COMPLIANCE	



<p>1.4.2 All whole fish fishery landings received by the Applicant shall be recorded and verified</p>	<p>FULL COMPLIANCE</p>	
<p>1.4.3 All raw materials shall only be sourced from legal, reported and regulated fishing activity.</p>	<p>FULL COMPLIANCE</p>	
<p>1.4.3.1 Applicants shall provide evidence that their raw material is sourced from vessels that are not officially listed as engaging in illegal, unreported and unregulated (IUU) fishing activity</p>	<p>FULL COMPLIANCE</p>	
<p>1.4.4 The details of each consignment of fish from a vessel shall be recorded. This shall include:</p>	<p>FULL COMPLIANCE</p>	
<p>(i) Name of vessel, IMO/registration number, call sign, legal owner, name and address,</p>	<p>FULL COMPLIANCE</p>	
<p>(ii) Proof of authorisation to engage in the specific fishing activity,</p>	<p>FULL COMPLIANCE</p>	
<p>(iii) Date and time of discharge to facility,</p>	<p>FULL COMPLIANCE</p>	



(iv) Species and quantity discharged,	FULL COMPLIANCE	
(v) Location or place(s) and dates of fishing activity where catch originated,	FULL COMPLIANCE	
(vi) Fishing method used,	FULL COMPLIANCE	



SECTION 2 – RESPONSIBLE TRACEABILITY PRACTICES

2.1 Traceability of Marine Ingredients to Fishery

<p>2.1.1 Applicants shall have a system in place to ensure that the production of compliant marine ingredients can be traced back to an approved fishery material. Where an applicant is processing fishery material which originates from a fishery in the IFFO RS Improver Programme, the system shall also be able to trace this material as separate from IFFO RS approved material.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.2 Applicants shall implement procedures that demonstrate the avoidance of raw materials that are sourced from Illegal, Unreported and Unregulated (IUU) fishing activity.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.3 Applicants that produce marine ingredients that meets the requirements of this IFFO RS Standard shall have a system in place to keep it separate from fish meal and fish oil that is produced from non-approved raw material. Applicants which produce marine ingredients using raw materials which originate from a fishery in the IFFO RS Improver Programme shall have a system in place to keep this separate from both fully approved and non-approved materials.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.4 All compliant IFFO RS fish meal and fish oil shall be identifiable with a defined positive batch identification system in order to be eligible for identification as compliant with the IFFO RS Standard.</p>	<p>FULL COMPLIANCE</p>	



<p>2.1.5 Where the identity of eligible material is lost, (e.g. through mixing with ineligible material) or there is a potential loss in identity through loss in traceability, the subsequent batch shall no longer be identified as compliant with the IFFO RS Standard.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.5.1 The applicant shall conduct a mass balance yield exercise every year to test and record the amount of marine ingredients derived from each raw material category</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.6 Applicants shall test the effectiveness of their batch control and traceability systems through a detailed documented internal audit conducted no less than once every 12 months for all marine ingredients</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.7 The internal audit shall include:</p>		
<p>2.1.7.1 Traceability of fishery material supply– Supplier Traceability.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.7.2 Traceability of raw fishery material to finished product as it moves through processing and all storage stages (including external and third-party storage) - Process Traceability.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.7.3 Traceability of IFFO RS compliant marine ingredients to immediate customers-Customer Traceability.</p>	<p>FULL COMPLIANCE</p>	
<p>2.1.7.4 The outcome of internal traceability audits shall be documented and shall include, evidence of performance through compliance reports, non-conformances, corrective and verification actions.</p>	<p>FULL COMPLIANCE</p>	



2.1.8 Applicants shall inform the Certification Body in the event of a recall within 48 hours of any dispatched compliant IFFO RS marine ingredients	FULL COMPLIANCE	
2.1.9 Applicants shall perform 1 recall exercise every 12 months and whenever necessary	FULL COMPLIANCE	
2.2 Record Keeping		
2.2.1 Applicants shall ensure that all records required by this standard are kept for a minimum of three years.	FULL COMPLIANCE	
2.2.2 All Records required to verify compliance with the IFFO RS standard shall be accurate, legible and unadulterated.	FULL COMPLIANCE	



SECTION 3 – RESPONSIBLE MANUFACTURING PRACTICES

3.1 Factories certified to GMP+ or recognised equivalent or to a standard approved as equivalent by the IFFO RS GB

<p>3.1.1 Certification shall be administered by either an ISO 17065 accredited Certification Body included in their accreditation scope by a member of the IAF Multilateral Agreement (MLA) or by a standard certification process that has been approved by the IFFO RS Governance Board as being an equivalent</p>	<p>FULL COMPLIANCE</p>	
<p>3.1.2 Current and valid certificates shall be available for each site registered on the IFFO RS Application Form that wishes to be certified to the IFFO RS standard.</p>	<p>FULL COMPLIANCE</p>	
<p>3.1.3 The outcome of external inspection and surveillance audits to the GMP+ or equivalent Standard shall be made available including; reports of the performance, outcome, non-conformances and corrective actions associated with assessments conducted by the appointed Certification Body.</p>	<p>FULL COMPLIANCE</p>	
<p>3.1.4 If applicable, applicants that produce fish oil that is destined for direct human consumption shall have incorporated a specific HACCP study to cover and control all the risks associated with this type of Fish Oil production</p>	<p>FULL COMPLIANCE</p>	

3.2 Factories without certification to GMP+ or to an approved equivalent standard as recognised by the IFFO RS Standard GB

3.2.1 - Structure and Facilities

<p>3.2.1.1 Facilities and equipment shall be designed to allow appropriate cleaning and disinfection and managed to avoid risks to the safety of raw materials and marine ingredients</p>	<p>FULL COMPLIANCE</p>	
--	-------------------------------	--



<p>3.2.1.1.1 Facilities and equipment shall be designed to allow appropriate cleaning and disinfection and managed to avoid risks to staff safety.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.1.2 Facilities shall be designed to reduce the risk of contamination of raw material from semi- and processed marine ingredients material particularly post critical control process points designed to eliminate microbiological hazards in the marine ingredient material</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.1.3 Access to processing facilities and storage areas shall be organised to prevent cross contamination of processed materials from personnel operating in raw and semi-processed areas</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.1.4 There shall be adequate lighting to ensure activities can be undertaken safely and efficiently.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.1.5 Protective clothing shall be worn where the applicant has determined that there is a risk from personnel to marine ingredient contamination</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.1.5.1 Protective clothing shall be worn where the applicant has determined that there is a risk to personnel health and safety</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.2 - Intake of Raw Fishery Material</p>		
<p>3.2.2.1 Holds, containers and equipment of receiving vessels and overland transporters used for fishery raw materials shall be maintained in a clean and hygienic condition.</p>	<p>FULL COMPLIANCE</p>	



<p>3.2.2.2 There shall be adequate facilities to receive, off-load and store fishery raw material from vessels and overland transportation before processing to prevent contamination and risk to marine ingredient safety.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.2.3 Intake facilities shall be designed to ensure that access by birds and other ground pests is eradicated</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.2.4 Dosing systems for additive inclusion shall be calibrated by competent persons and provide the correct and effective dosing levels for these approved additives at all times</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.2.5 For bulk transported material, internal procedures and contractual agreements shall include provisions that preclude the use of transport that may adversely affect the safety of any raw materials due to the composition of a previous cargo.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.3 - Maintenance and Contractors</p>		
<p>3.2.3.1 There shall be a preventative maintenance programme in place for the facility.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.3.2 All lubricants and oils shall be stored in a designated non-production or nonproduct storage area to prevent a risk of contamination of marine ingredients materials</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.3.3 There shall be procedures in effect for visitors and subcontractors to ensure the integrity of the product based on risk assessment.</p>	<p>FULL COMPLIANCE</p>	



3.2.4 - Process Control Arrangements		
3.2.4.1 All conveying, piping, storage tanks, bins and processing containers shall be made of smooth, impervious, non-toxic, materials and managed to reduce the risk of product contamination	FULL COMPLIANCE	
3.2.4.2 Water used in or associated with the process shall be of potable quality	FULL COMPLIANCE	
3.2.4.3 Water dosing systems used to ensure potable quality, water softening or anti-corrosion of equipment shall be calibrated and controlled to ensure the correct level of dosing of additives	FULL COMPLIANCE	
3.2.4.4 Checks on dosing rates, calibration and control shall be recorded and maintained	FULL COMPLIANCE	
3.2.4.5 All additives to water shall be authorised and shall not pose a risk to marine ingredient safety by their application.	FULL COMPLIANCE	
3.2.4.6 Fixtures in process and storage areas that contain glass shall be protected to minimise the risk of contamination in the event of breakage	FULL COMPLIANCE	
3.2.4.7 Where mechanical drying of marine ingredient is undertaken; documented procedures shall ensure that it does not cause adverse effects on the marine ingredient safety	FULL COMPLIANCE	
3.2.4.8 In cases where air is used for conveying or cooling, the participant shall evaluate the risk of this becoming a contamination route for pathogens and take any necessary precautions	FULL COMPLIANCE	



<p>3.2.4.9 Procedures shall include corrective actions to be taken in the event of critical process parameters being breached.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.4.10 The production process shall have systems in place to reduce the risk of physical contamination from potential physical contaminants such as metal</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.5 - Hygiene, Cleaning, and Disinfection</p>		
<p>3.2.5.1 There shall be thorough cleaning of all equipment and facilities to prevent contamination from pathogens, pests and dirt and foreign material</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.5.2 Cleaning and disinfectant products shall not pose a risk to marine ingredient material contamination through their proper dilution, application and the use of secure storage</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.5.3 Cleaning and disinfectant products shall not pose a risk to staff safety through their proper dilution, application and the use of secure storage</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.5.4 The cleaning programme shall be documented for each major item of equipment and process area (reception, pumping, raw material storage, processing, storage, bagging, loading and dispatch).</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.5.5 Accurate records of cleaning activity and checks on efficacy shall be maintained.</p>	<p>FULL COMPLIANCE</p>	



3.2.6 - Pest Control		
3.2.6.1 An effective and continuous programme for the control of pests (including insects), which has an emphasis upon pest proofing and provision of a hostile environment, shall be maintained.	FULL COMPLIANCE	
3.2.6.2 The applicant shall either contract the services of a regulated pest control organisation, or shall have trained in company personnel, for the regular inspection and treatment of their premises to deter and eradicate infestation.	FULL COMPLIANCE	
3.2.6.3 Detailed records of the location of bait stations, poisons, pest control inspections, recommendations and necessary action undertaken shall be retained.	FULL COMPLIANCE	
3.2.7 - Waste Management		
3.2.7.1 All waste materials shall be stored in dedicated containers, held in separate areas so as to prevent contamination of marine ingredients materials or pest infestation.	FULL COMPLIANCE	
3.2.7.2 There shall be adequate internal drainage to maintain a clean work area and minimise health and safety risks	FULL COMPLIANCE	
3.2.7.3 Facility sewerage shall be contained by a separate closed system to that of the processing drainage system.	FULL COMPLIANCE	
3.2.8 - Packaging and Labelling		
3.2.8.1 Packaging shall be designed to protect fishmeal during normal storage, handling and delivery conditions	FULL COMPLIANCE	



<p>3.2.8.2 For marine ingredients sold in bulk, as well as in bags, delivery documents / labels shall include any details (such as Statutory Statements) required under Labelling Regulations in the country of production and / or receipt</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.9 - Storage Facilities</p>		
<p>3.2.9.1 Fishmeal stores shall be designed, constructed and managed to prevent product contamination</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.9.2 Storage facilities shall be dry, adequately ventilated to prevent condensation and reduce the risk of dirt and dust contamination</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.9.3 Vehicles used to load and unload bulk stores shall be used solely for that purpose and managed through proper maintenance and hygiene to prevent contamination of product.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.9.4 Environmental analysis for salmonella sp. shall be carried out in fishmeal storage areas according to the HACCP based risk assessment.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.10 - Loading and Transport</p>		
<p>3.2.10.1 Transport (vessel holds, road/rail containers) shall be adequately controlled through hygiene procedures, inspection checks and records at loading with specific regard to cleanliness and absence of moisture or potential contamination.</p>	<p>FULL COMPLIANCE</p>	<p>Cleaning records must be maintained and these should be kept for a minimum of 3 years</p>



<p>3.2.10.2 Where the conditions of transport may present a risk to contamination, loading shall not take place until a thorough risk assessment, appropriate tests and corrective action have taken place to ensure that marine ingredients shall not be adversely affected.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.10.2.1 The results of these mitigating activities shall be recorded</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.10.3 The participant shall ensure that all intake and loading facilities are designed and constructed in a manner that maintains the safety of marine ingredients materials.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.10.4 Loading shall not be carried out in conditions which will adversely affect the raw materials or marine ingredient materials being handled (e.g. inclement weather conditions).</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.10.5 For bulk transported material, internal procedures and contractual agreements shall include provisions that preclude the use of transport that may adversely affect the safety of marine ingredient materials due to the composition of a previous cargo.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.11 Hazard Analysis Critical Control Point (HACCP) Systems</p>		
<p>Note: This risk management tool is primarily used to manage food safety risks. A HACCP system allows you to identify hazards and put in place controls to manage these throughout your supply chain during production. The HACCP scheme meets the requirements of the Codex Alimentarius Commission (CAC) – established by the World Health Organisation and the Food and Agriculture Organisation of the United Nations to bring together international food standards, guidelines and codes of practice to ensure fair trade.</p>		



<p>3.2.11.1 Applicants shall establish and maintain an effective Hazard Analysis Critical Control Points system (HACCP) specific to their own premises and appropriate to the nature and volume of the production to cover marine ingredient production.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.11.2 Formal procedures that control potential hazards on a site-wide basis, such as: pest control, cleaning, glass policies, training, raw material and marine ingredient specifications, etc., commonly referred to as prerequisites shall be in place prior to the establishment of the HACCP plan.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.11.3 The HACCP study shall be based on an assessment of risk, and shall identify which hazards are of such a nature that their elimination or reduction to acceptable levels is essential to the safe production of marine ingredients. In conducting the hazard analysis, the following should be taken into consideration:</p> <ul style="list-style-type: none"> • The likely occurrence of hazards and severity of their adverse health effects on consumer. • The qualitative and/or quantitative evaluation of the presence of hazard. • Survival and multiplication of micro-organisms of concern. • Conditions leading to the above. 	<p>FULL COMPLIANCE</p>	
<p>3.2.11.4 If applicable, applicants that produce fish oil that is destined for direct human consumption shall have incorporated a specific HACCP study to cover and control all the risks associated with this type of Fish Oil production</p>	<p>FULL COMPLIANCE</p>	



3.2.12 - HACCP Principles		
3.2.12.1 Conduct a hazard analysis assessment on the Operation	FULL COMPLIANCE	
3.2.12.2 Determine the Critical Control Points (CCP's) in the system.	FULL COMPLIANCE	
3.2.12.3 Establish Critical Limits for the critical control points identified	FULL COMPLIANCE	
3.2.12.4 Establish a system to monitor control of the CCPs	FULL COMPLIANCE	
3.2.12.5 Establish the corrective actions to be taken when monitoring indicates that a particular CCP is not under control	FULL COMPLIANCE	
3.2.12.6 Establish procedures of validation to confirm that the HACCP System is working effectively.	FULL COMPLIANCE	
3.2.12.7 Establish documentation concerning all procedures and records appropriate to these principles and their application.	FULL COMPLIANCE	
3.2.12.8 In formulating the HACCP Plan, reference shall be made to relevant legislation or guidelines.	FULL COMPLIANCE	
3.2.12.9 HACCP shall have senior management commitment and shall be implemented through agreed procedures. Reference to requirements for product safety shall include any measures identified in the HACCP.	FULL COMPLIANCE	
3.2.12.10 The HACCP team leader or nominated team representative shall be able to demonstrate competence in the understanding of HACCP principles and their application	FULL COMPLIANCE	



<p>3.2.12.11 Key personnel identified as HACCP team members shall have appropriate training, product and process knowledge and experience.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.12.12 All existing and new products shall be covered by the HACCP System, which shall be appropriately reviewed.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.12.13 Through the HACCP System, the Company shall be able to demonstrate effective control of all operations critical to food safety</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.12.14 The HACCP Team shall carry out regular reviews (at least annually) to verify that requirements of the HACCP plan are being met in practice and that the plan effectively and consistently ensures that the applicant produces safe marine ingredient materials.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.13 - HACCP Internal Auditing</p>		
<p>3.2.13.1 The Applicant shall audit all HACCP and prerequisite systems, procedures and specifications critical to product safety, legality and quality as part of the Internal Audit Procedures.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.14 - HACCP Documentation and Records</p>		
<p>Controlled documentation shall be established which adequately describes the system and records all monitoring activities essential to the implementation and operation of HACCP. The documentation should include:</p>		
<p>3.2.14.1 Data used in the hazard analysis.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.14.2 Specification of product and materials used.</p>	<p>FULL COMPLIANCE</p>	



3.2.14.3 Monitoring procedures for CCP's.	FULL COMPLIANCE	
3.2.14.4 CCP monitoring records physically or electronically signed and dated by responsible person.	FULL COMPLIANCE	
3.2.14.5 Results of Internal (and external) Audit reports, non-conformances and corrective actions and minutes produced at meetings	FULL COMPLIANCE	
3.2.14.6 A record shall be kept of HACCP reviews showing the HACCP Team findings and any actions implemented.	FULL COMPLIANCE	
3.2.14.7 A document control procedure shall be in place for all HACCP documentation	FULL COMPLIANCE	
3.2.15 – Marine Ingredients Specifications		
3.2.15.1 Each marine ingredient product shall have a written specification that is made available to purchasers and potential purchasers of the marine ingredient materials offered by the participant	FULL COMPLIANCE	
3.2.15.2 The Specification shall confirm whether the marine ingredient is a certified IFFO RS material	FULL COMPLIANCE	
3.2.16 - Inspection, Sampling and Analysis		
3.2.16.1 Applicants shall have representative inspection regimes in place that ensure the safety of all raw materials on arrival and marine ingredients on despatch	FULL COMPLIANCE	
3.2.16.2 Inspections shall include, as appropriate, assessment of physical form; odour; contamination by insect pests, droppings and other extraneous matter; mould; and compliance with specification.	FULL COMPLIANCE	



<p>3.2.16.3 Samples of the finished materials shall be labelled to facilitate traceability and retained in appropriate conditions for a minimum period of six months.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.16.4 Applicants shall undertake sampling and analysis of marine ingredients to establish that it meets the statutory standards for the permitted concentration of an additive such as antioxidants.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.16.5 The sample and testing plan shall be based on a HACCP based risk assessment for undesirable substances.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.16.6 Where results fall outside of expected range, non-conforming product shall be identified, separated and where appropriate, disposed of in a legal manner.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.16.7 Records shall be available to document the final disposition of any non-conforming material.</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.16.8 Testing laboratories shall be approved by one or more of the following methods:</p>	<p>FULL COMPLIANCE</p>	
<p>i) Accreditation by a nationally recognised accreditation authority according to EN/ISO-17025 for the test under consideration;</p>	<p>FULL COMPLIANCE</p>	
<p>ii) Validation by taking part in relevant ring tests</p>	<p>FULL COMPLIANCE</p>	
<p>3.2.17 - Calibration of Measuring Equipment</p>		
<p>3.2.17.1 All inspection, measuring and test equipment used to confirm that raw, in process and finished marine ingredients meet specified marine ingredient safety requirements shall be calibrated at intervals not exceeding 12 months.</p>	<p>FULL COMPLIANCE</p>	



3.2.17.2 Records of calibration shall be maintained.	FULL COMPLIANCE	
3.2.18 - Assessment of Suppliers		
3.2.18.1 Applicants shall ensure that supplies of additives and technical processing aids are included in the risk based assessment according to HACCP principles.	FULL COMPLIANCE	



SECTION 4 – FISH BY – PRODUCTS

4.1 Raw Fishery Materials from Fish By products produced during Processing

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

<p>4.1.1 The fish by-product shall come from fish that is intended for Human consumption. The applicant shall have a document policy stating this.</p>	<p>FULL COMPLIANCE</p>	
<p>4.1.2 The fish by-product shall not be of a species which is categorised by the IUCN Red List as Endangered or Critically Endangered (or higher), or of a species which appears in the CITES appendices.</p>	<p>FULL COMPLIANCE</p>	
<p>4.1.3 If the stock from which the by-product is sourced is managed using reference points, the stock shall be considered to be above the limit reference point, or removals by the fishery under assessment considered negligible.</p>	<p>FULL COMPLIANCE</p>	
<p>4.1.4 If the stock from which the by-product is sourced is not managed using reference points, and the species is categorised as vulnerable via a PSA, the impacts of the fishery on the species shall be considered during the management process, and reasonable measures shall be taken to minimise these impacts.</p>	<p>FULL COMPLIANCE</p>	
<p>4.1.5 The fish by-product shall meet and be handled according to the requirements of the GMP+ or equivalent certification programme that is recognised by the IFFO RS GB or compliance with clause 3.2.2.5 , which include: no contamination with Land Animal Protein (LAP), chemical, biological or physical agents</p>	<p>FULL COMPLIANCE</p>	



<p>4.1.6 The Applicant shall be able to trace the origin of material back to the supplying fish processor or handler and by species or mix of species included in the receiving batches.</p>	<p>FULL COMPLIANCE</p>	
<p>Records of the above shall be maintained.</p>		
<p>4.2 Raw Fishery Material from Aquaculture</p>		
<p>Raw material originating from aquaculture production may only be used to produce fishmeal or fish oil if it meets the following criteria:</p>		
<p>4.2.1 They shall show no clinical signs of disease on the day of receipt (EU Reg 1774/2002).</p>	<p>FULL COMPLIANCE</p>	
<p>4.2.2 They shall not come from a farm which is subject to a prohibition for animal health reasons and shall not have been in contact with animals from such a farm.</p>	<p>FULL COMPLIANCE</p>	
<p>4.2.3 They shall be kept segregated and clearly labelled as marine ingredients of the species that they originate from including circumstances where they are mixed with other raw materials both before and post processing (EU Reg 811/2003)</p>	<p>FULL COMPLIANCE</p>	



SECTION 5 Social Accountability

<p>5.1 The applicant shall have a documented policy that demonstrates compliance with their national legislation to ensure that their marine ingredient products are manufactured in compliance to all relevant employment, welfare and safety requirements as stated in this section. If no legislation is documented by their national government the applicant will need to have its own polices to comply with all the requirements of this section</p>	<p>FULL COMPLIANCE</p>	
<p>5.2 The applicant shall have a written policy on fair operating practice, which is made available to managers and key personnel of the company. At a minimum this shall cover bribery, corruption and inappropriate political lobbying or contributions.</p>	<p>FULL COMPLIANCE</p>	
<p>5.3 The applicant shall ensure that all staff have the correct visa/work permit to comply with their current national employment regulations</p>	<p>FULL COMPLIANCE</p>	
<p>5.4 The applicant shall conduct a documented annual self-assessment against all relevant social laws. All non-compliance shall be documented, with action plans to address and monitor the non-compliance.</p>	<p>FULL COMPLIANCE</p>	
<p>5.5 The applicant shall have a procedure stating how to record health and safety related accidents and incidents with the associated corrective actions available to employees. As a minimum, this shall cover the process to record the incident in a database and to take corrective action.</p>	<p>FULL COMPLIANCE</p>	



<p>5.6 The applicant has documentation available which demonstrates that a clearly identified, named employees' representative and / or an employees' council representing the interests of the employees to the management is elected, or appointed or nominated by all employees and recognised by the management. This person shall be able to communicate complaints to the management.</p>	<p>FULL COMPLIANCE</p>	
<p>5.7 An applicant shall have a complaint procedure in existence, the employees have been informed about its existence that complaints or suggestions can be made.</p> <p>5.7.1 The complaint procedure shall specify a time frame to resolve complaints.</p> <p>5.7.2 Complaints and their solutions from the last 3 years are documented and accessible.</p>	<p>FULL COMPLIANCE</p>	
<p>5.8 The applicant can document that the management and the employees' representative have signed and displayed a self-declaration assuring good social practice and human rights of all employees.</p>	<p>FULL COMPLIANCE</p>	



<p>5.8.1 The employees have been informed about the self-declaration and it is reviewed at least every 12 months and whenever necessary.</p> <p><i>Note- This declaration contains at least commitment to the ILO core labour conventions (ILO Conventions 111 on discrimination, 138 and 182 on minimum age and child labour, 29 and 105 on forced labour, 87 on freedom of association, 98 on the right to organize an collective bargaining, 100 on equal remuneration and 99 on minimum wage) and transparent and non-discriminative hiring procedures and the complaint procedure.</i></p>		
<p>5.9 The applicant can demonstrate that the responsible person for workers' health and safety and the employees' representative(s) have knowledge and/or access to national regulations concerning: gross and minimum wages, working hours, union membership, anti-discrimination, child labour, labour contracts, holiday and maternity leave, medical care and pension/gratuity.</p>	<p>FULL COMPLIANCE</p>	
<p>5.10 The applicant shall have a contract for each employee containing the following</p> <p><i>Note- can be shown to the assessor on request on a sample basis.</i></p>	<p>FULL COMPLIANCE</p>	
<p>5.10.1. Both the employees as well as the employer have signed contracts.</p>	<p>FULL COMPLIANCE</p>	
<p>5.10.2. Records contain at least full names, nationality, job description, date of birth, the regular working time, wage and the period of employment</p>	<p>FULL COMPLIANCE</p>	



<p>5.10.3 Records of all employees (also subcontractors) shall be accessible for at least 3 years.</p>	<p>FULL COMPLIANCE</p>	
<p>5.11 The applicant can show adequate documentation of the salary transfer (e.g. employee's signature on pay slip, bank transfer).</p>	<p>FULL COMPLIANCE</p>	
<p>5.11.1 Employees sign or receive copies of pay slips / pay register that make the payment transparent and comprehensible for them.</p>	<p>FULL COMPLIANCE</p>	
<p>5.11.2 Regular payment of all employees during the last 3 years is documented.</p>	<p>FULL COMPLIANCE</p>	
<p>5.12 The applicant can document that wages and overtime payment are documented on the pay slips / pay registers indicate compliance with legal regulations (minimum wages) and/or collective bargaining agreements (if applicable).</p>	<p>FULL COMPLIANCE</p>	
<p>5.12.1 If payment is calculated per unit, employees shall be able to gain at least the legal minimum wage (on average) within regular working hours.</p>	<p>FULL COMPLIANCE</p>	
<p>5.13 The applicant can show records indicating compliance with national legislation regarding minimum age of employment.</p>	<p>FULL COMPLIANCE</p>	
<p>5.13.1 If not covered by national legislation, children below the age of 15 are not employed.</p>	<p>FULL COMPLIANCE</p>	
<p>5.13.2 If personnel between the ages of 15 to 18 are hired part time, they are not engaged in work that is dangerous to their health and safety that jeopardises their development or prevents them from finishing their compulsory school education.</p>	<p>FULL COMPLIANCE</p>	



RESPONSIBLE
SUPPLY

<p>5.14 The applicant shall document that they have communicated with their raw material suppliers the national social regulation requirements.</p>	<p>FULL COMPLIANCE</p>	<p>Records with all appropriate details are available</p>
--	-----------------------------------	---



RESPONSIBLE
SUPPLY



SECTION 6 Environmental Accountability

<p>6.1 The applicant shall have a documented policy that demonstrates compliance with their national legislation to ensure that their marine ingredient products are manufactured in compliance to all relevant environmental requirements as stated in this section. If no legislation is documented by their national government the applicant will need to have its own polices to comply with all the requirements of this section</p>	<p>FULL COMPLIANCE</p>	
<p>6.2 The applicant shall provide copy of permits (when applicable) for environmental emissions regulations as the legislation relates to:</p> <ul style="list-style-type: none"> • Emissions to air • Discharge to water • Release of toxic or hazardous substances • Noise, smell and dust pollution • Ground pollution 	<p>FULL COMPLIANCE</p>	
<p>6.3 The applicant shall provide documentation in order to demonstrate compliance with the requirement specified in permits from 6.1. In the case of non-compliance, all non-compliance shall be documented, with action plans to address and monitor the non-compliance.</p>	<p>FULL COMPLIANCE</p>	



<p>6.4 The applicant shall have a written assessment that identifies relevant environmental issues and the provisions made to address the associated risks have been conducted.</p>	<p>FULL COMPLIANCE</p>	
<p>6.4.1 Management is able to demonstrate awareness of the identified issues and the provisions made to address the associated risks.</p>	<p>FULL COMPLIANCE</p>	

SECTION 7 : Community Engagement

<p>7.1 The applicant shall have a written evaluation of the potential impacts of direct operations on the local community.</p>	<p>FULL COMPLIANCE</p>	<p>Need evidence of local community engagement- records of any meetings held</p>
<p>7.1.1 There shall be documentation showing the measures taken to avoid, mitigate and/or compensate for negative impacts on the local community.</p>	<p>FULL COMPLIANCE</p>	<p>Records with all appropriate details are available</p>
<p>7.2 There shall be documentation showing the involvement in regular engagement with local community representatives and organizations.</p>	<p>FULL COMPLIANCE</p>	<p>Records with all appropriate details are available</p>
<p>7.3 There shall be records of community complaints and the associated corrective action taken to address their concerns.</p>	<p>FULL COMPLIANCE</p>	<p>Records with all appropriate details are available All records must be kept for a minimum time period of 3 years</p>



Review of the Applicant Intake Operations for Recording of Fishery Landings and Transfers.

The following items were raised through the Desk Top Study for further clarification at the On-site Audit:

Auditor note: Where possible, please provide any observations or comments in relation to the clarifications required below:

No	Clarification Required	Comments

Vessel Inspection/Catch Inspection

The following items were raised through the Desk Top Study for further clarification at the On-site Audit:

Auditor Note: If there is no opportunity to view vessels and catch landed please insert N/A in the comment sections below.

No	Clarification Required	Comments

By Product Surveillance Inspection

The following items were raised through the Desk Top Study for further clarification at the On-site Audit:

Auditor Note: If there is no opportunity to view vessels and catch landed please insert N/A in the comment sections below.

No	Clarification Required	Comments



Non-Conformance Summary

LIST OF NON-CONFORMANCES

Critical Non Conformances

No.	Clause Reference	Detail of CRITICAL Non-Conformity

	Name / Signed	Date
Client Representative:		
Auditor:		

Guidance Note



Major Non Conformances

No.	Clause Reference	Detail of MAJOR Non-Conformity

	Name / Signed	Date
Client Representative:		
Auditor:		

Guidance Note



Minor Non Conformances

No.	Clause Reference	Detail of MINOR Non-Conformity

	Name / Signed	Date
Client Representative		
Auditor		

Guidance Note



The following items were raised through the Desk Top Study for further clarification at the On-site Audit:

No	Clarification Required	Comments