



## **Responsible Supply of Fishmeal and Fish Oil**

# **Chain of Custody Standard**

**A Tool for Voluntary Use in Markets for**

**Products of Fishmeal and Fish oil**

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## **A Foreword**

The Marine Ingredients Organisation (IFFO) is the international non-profit organisation which represents fishmeal and fish oil producers and related trades throughout the world

The continuing development of the global fishmeal and fish oil markets is creating a need for 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.

In order to visibly demonstrate to all stakeholders the commitment to responsible practice in areas of feed safety, raw material procurement and delivery, The Marine Ingredients Organisation (IFFO) has developed a Global Standard and Certification Programme for the Responsible Supply of Fishmeal and Fish Oil.

The IFFO Global Standard for Responsible Supply is a Certification Programme designed to build upon each of these positive developments and allow members visibly to demonstrate their commitment to good practice.

This programme certifies each applicant through a third party inspection and certification programme to ensure the integrity and transparency of its implementation by members of IFFO. The Certification Programme has been designed to meet the requirements of the ISO/IEC Guide 65:1996 “General requirements for bodies operating product certification programmes”, which assure consistent, competent and independent certification practices.

A unique Certification Mark – “IFFO RS Assured” has been developed which can be used to signify compliance to the IFFO Standard.

There are two main components of the Programme:

- The verification and certification of fishmeal and fish oil factories that source their raw material from approved fisheries and by-product fisheries,
- The verification and certification of the chain of custody for fishmeal and fish oil products that come from IFFO Responsible Supply certified factories along the value supply chain to the customer.

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The purpose of the Chain of Custody standard is to provide the industry with a clear statement of the requirements of Chain of Custody Certification. Certification to the requirements under the standard allows the use of this certification mark “IFFO RS Assured” to signify compliance to the Chain of Custody Standard as part of the IFFO Responsible Supply Programme. Commitment to these requirements will communicate to customers the provenance of IFFO RS certified fishmeal and fish oil.

EN45011 / ISO Guide 65 accreditation by a member of the International Accreditation Forum gives the Programme recognition and a credibility position in the International marketplace and ensures that products certified under the Programme are identified at a recognized level of assurance. Demonstration of compliance will be through a rigorous verification and assessment by a competent, third party Certification Body.

Through the Programme framework, the requirements for Certification of Responsible Practice will be subject to continual review and improvement to ensure that it continues to serve IFFO members and stakeholder needs in the provision of safe, responsibly sourced fishmeal and fish oil for the International market.

The Standard is wholly owned by IFFO, on behalf of its members.

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## B Principles of the Process

To become Certified to the Chain of Custody Standard, Applicants must be able to demonstrate compliance with this Standard, through an independent assessment by an Approved Certification Body.

The Certification Body must be approved and be accredited to EN45011 / ISO/IEC Guide 65:1996 (General Requirements for Bodies Operating Product Certification Systems) by an Accreditation Body who is a Member of the International Accreditation Forum.

The chosen Certification Body will formulate a contract between the Applicant and the Certification Body detailing the requirements and commitments needed from the Applicant.

The objective of Chain of Custody certification is to provide an assurance to a labeled Certified claim on a feed or fish oil product that it uses fishmeal or fish oil that originates from a Certified 'IFFO Responsible Supply Factory'.

*Where required within the supply chain there will be specific interpretations of the requirements in the Chain of Custody Standard to relate them to specific industry sectors, for example packing, processing, distribution and selling of fishmeal and fish oil products.*

### Definitions

#### Chain of Custody (FAO derived Definition):

*The set of measures which is designed to guarantee that the fishmeal and fish oil product put on the market and bearing the IFFO RS logo is really a product of designated origin and coming from the certified factory concerned. These measures thus cover both the tracking/traceability of the product all along the processing, distribution and marketing chain, as well as the proper tracking of the documentation and control of the quantity concerned.<sup>1</sup>*

**Applicant:** A company or group of companies in the supply chain that has **formally** applied to meet the Chain of Custody Standard through the formal Application Form.

<sup>1</sup> FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, Rome 2005 + 2009

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**Certified Applicant:** An Applicant company or group of companies in the supply chain that have been formally Certified by the Certification Body as meeting the Chain of Custody Specification.

**Certified RS Factory:** A factory that has been independently certified as meeting the “IFFO Responsible Supply Fishmeal and Fish Oil Standard”.

**Chain of Custody Standard:** The list of requirements that the Applicant must meet to claim Certification to the Chain of Custody Standard and /or use the Certified Claim.

**Certified Chain:** An Applicant company or group of companies in the supply chain that can demonstrate all Certified Stages back to the Certified Factory.

**Certified Claim:** A claim made by a Certified Applicant approved for use and licensed by the Standard Owner.

**IFFO RS Logo:** A distinctive logo or statement which certifies that the fishmeal and or fish oil has been sourced from and traceable back to a Certified Factory.

**Potential Applicant:** A company or group of companies in the supply chain that are considering applying for Chain of Custody Standard certification.

**Stage:** A handling / transfer point in the supply chain e.g. Packing, Processing, Distribution, Sales.

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## C Outline of the Chain of Custody Process – FAO based

The Chain of Custody Certification Process is managed by the Independent Certification Body - Global Trust Certification Ltd.

The Certification process has a number of distinct stages which are described below.

### Stage 1. Information Request

Information may be requested from a Potential Applicant within the Supply Chain. A Potential Applicant could be a:

- Primary Processor/Packer
- Oil Refiner
- Secondary Processor
- Distributor

Potential Applicants may request information from the Standard Owner Organization or the Certification Body about the certification process, the Standard requirements, the outline costs or timeframes to gain certification.

Potential applicants are advised to carry out a self-assessment against the Standard in order to ascertain their readiness for external assessment.

### Further Information

Further Information regarding Application, Rules and Regulations can be obtained from the Standard Owner and/ or Global Trust.



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**Stage 2. Completion of Application Form**

If the Potential Applicant wishes to progress to Application they will be requested to formally provide information on their product handling details and the previous product supply chain to the Certification Body, using the Chain of Custody Application Form.

All information provided to the Certification Body will remain confidential.

Single units or Group organizations may apply.

When the Application Form is received by the Certification Body the Potential Applicant becomes a formal Applicant.

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

Each Applicant company and their supply chain is different and therefore the Certification Body will create a relevant Assessment Plan to validate the Chain of Custody for the Applicant's relevant product and supply chain which was detailed in their Application Form.

The Applicant will be required to ensure that all relevant stages and companies listed and involved in the handling stages prior to the Applicant's stage are encouraged to apply for certification also.

The Certification Body will provide the Applicant with an Assessment Plan and assessment cost based on the information provided in the Application Form.

When the Applicant formally agrees to the Assessment Plan, Standard Conditions and forwards the relevant payments for associated assessments costs the Application will then move forward for Assessment.

**Stage 4. The Assessment**

The Assessment at the Applicant's handling stage is carried out by an independent Assessor approved and acting for the Certification Body. The Assessment is against the Chain of Custody Standard and in line with the Assessment Plan.

It is the Applicant's responsibility to ensure that the information supplied in the Application Form is factual and accurate so that the Assessment Plan remains relevant.

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The Certification Body's Assessor will carry out the assessment in an independent, professional and courteous manner.

The key components of the Chain of Custody Standard include the requirements for:

- A Product Identity System
- A Traceability System
- A Segregation System

**Stage 5. The Assessment Report**

During the Assessment the Assessor will compile an Assessment Report of how the Applicant does/does not meet the Chain of Custody Specification.

There will be specific interpretations of the requirements in the Chain of Custody Standard to relate them to packing, processing, distribution and selling of fishmeal and fish oil products and materials.

The Assessment Report will identify any non-conformances against the Chain of Custody Specification. Applicants will be required to close out non-conformances through documented corrective actions.

**Stage 6. The Certification Decision**

The Applicant's Assessment report and any necessary corrective actions will be submitted to a Certification Committee for a Certification Decision.

The Certification Committee is composed of persons with equal competence to the Assessor and an expertise in certification.

**Stage 7. Certification**

Where Certification is the outcome, Certificates must be issued no later than 30 days after the evaluation date. In the event that this cannot be achieved, the Certification Body must formally write to the Applicant stating a prospective date of issue and the reasons for the delay.

The Certificate remains the property of the Certification Body and the control and management of the status of a Certificate must be in place.

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Certificates are valid for three years with annual re assessment. Initial certification (to a first time Applicant) will not be awarded where any nonconformance remains outstanding.

Ongoing certification is maintained where there is substantive and demonstrable evidence that the applicant remains in compliance with the criteria of the Standard in question. Any non-conformity raised must be verified as completed, with objective evidence within timescales defined within the relevant Specification.

The Applicant will be awarded certification for their handling Stage in the supply chain if it is clear that it meets the Chain of Custody Specification.

Each of the Applicants relevant products at their handling stage and each prior handling stage in the supply chain identified in the Applicant's Application Form will be required to be assessed against the Chain of Custody Standard by the Certification Body before full Chain of Custody Certification is awarded.

**Stage 8. Access to Certified Label**

Certified Applicants can apply to the Standard Owner for use of the Certified IFFO RS Logo.

Only Certified Applicants who can demonstrate Chain Certification back to the Factory can apply to the Standard Owner to use the Certification Logo / Certified Statement.

**Appeals**

The Applicant has the right to appeal the certification decision of the Certification Body. Appeals should be made in writing within seven days of the Certification decision.

A full response will be given by a Certification Body Manager independent of the auditor and Certification Committee.

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## D Chain of Custody Specification Requirements

*This Specification details the set of requirements that must be certified as being in place to ensure that the fishmeal and fish oil product put on the market and bearing the IFFO RS logo is really a product of designated origin and coming from the certified factory concerned. These measures thus cover both the tracking/traceability of the product all along the processing, distribution and marketing chain, as well as the proper tracking of the documentation and control of the quantity concerned.\**

### 1.0 General Principles of Traceability for Chain of Custody

- 1.1 The applicant must have a documented policy that states that they are committed to achieving and adhering to the requirements of the Chain of Custody Standard.
- 1.2 Fishmeal and fish oil products must not carry the official certified label to indicate that they originate from a Certified RS Factory unless they have been certified as meeting the Chain of Custody Standard.
- 1.3 All fishmeal and fish oil products carrying the official certified label from Certified RS Factories must be kept readily identifiable and where necessary kept clearly separated from products of non-certified factories at all times.
- 1.4 Traceability systems must be in place that are able to identify the certified labeled fishmeal and fish oil products and trace those products back to the Certified RS Factory from where they were derived.
- 1.5 Approved and authorized identification coding, where appropriate, must be in place for each link in the supply chain from the Certified RS Factory through to the customer.
- 1.6 All stages in the value supply chain, including secondary processors or other buyers must comply with the applicable national/federal and/or regional/state regulations on labeling and traceability.
- 1.7 The Applicant must have a system in place to ensure that purchased fishmeal and fish oil products carrying the official certified label are not mixed with non-certified fishmeal and fish oil products during transportation to and from the site and in third party storage, if applicable.

\*FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, Rome 2005+ 2009

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## 2.0 The Supply Chain

2.1 Each fishmeal and fish oil consignment must be traceable back to a Certified RS Factory and should have the following minimum information available:

### Whole Fish Raw Material

- Species name of the Raw material used
- IFFO Responsible Supply approved
- Country of Origin

### By Product Fish Raw Material

- IFFO Responsible Supply approved
- Country of Origin

2.2 Certified fishmeal and fish oil inputs must be kept separate from non-certified fishmeal and fish oil inputs throughout processing, distribution and marketing if they are to carry the official certified label. This may be achieved by:

- Physical separation
- Temporal separation

2.3 Where certified and non-certified fishmeal and fish oil inputs are mixed they are not eligible for carrying the official Certified label as coming from an Certified RS Factory under this programme.

2.4 The Applicant must operate a system that allows any product or batch of products sold by the organization as originating from an Certified RS Factory to be verified through documentation.

2.5 Procedures must be established by all Applicants in the value chain to deal with any non-conformity in the traceability system.

2.6 The Applicant must operate a documented product recall system that will be activated if non-conforming product is released into the supply chain. The relevant certification body must be notified in the event of a certified product being recalled.

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**3.0 Traceability and Labeling Systems**

- 3.1 The Applicant must test the efficacy of their batch control and traceability system through a thorough documented internal audit conducted no less than once per year.
- 3.2 Documentation must be available that verifies the identity of the raw materials and products as coming from a Certified RS Factory.
- 3.3 Certified fishmeal and fish oil must be labeled or otherwise be identified in a manner that ensures traceability is maintained during processing, packaging, storage, handling and delivery.
- 3.4 Applicants at each stage in the supply chain are required to be able to track and trace the certified product one step forward and back to the Certified RS Factory.
- 3.5 Each certified labeled product must be labeled with all necessary information to enable the product to be traced back to the Certified RS Factory. As a guide, this may include the following, although this is not an exhaustive list:
  - Country of origin
  - Product description
  - Product code or production code number
  - Production date, or lot number/identifier
- 3.6 During storage and transportation of certified fishmeal and fish oil products each unit must have its identification number stated on the attached label or documentation.
- 3.7 The Applicant must operate a secure system for the production, storage and application of product labels bearing the certified claim and will ensure that only certified fishmeal and fish oil product is labeled as such.
- 3.8 A record of all IFFO Responsible Supply certified fishmeal and fish oil inputs received must be maintained, showing the name of the supplier, their unique certificate number, evidence of certificate validity, and sufficient other details to allow the tracing of those inputs back to their supplier and the certified factory.
- 3.9 Traceability records must be available any time when required from any related businesses, for any reason, and must be accurate, legible and unadulterated.

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- 3.10 All traceability records must be kept for a reasonable period, with a minimum period of 3 years.
- 3.11 Non-conformity issues identified through internal controls, external audits or through other means must be dealt with appropriately through a documented corrective action procedure.
- 3.12 Corrective actions plans must be accurately documented; identifying authorized responsible personnel and with specified time limits to complete the plan.
- 3.13 The organization should keep a documented record of customer complaints or feedback concerning the labeled certified fishmeal and fish oil.

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