

# Appointment of MarinTrust Factory and Chain of Custody Auditors

## Purpose

To ensure that auditors carrying out work on behalf of the Certification Body (CB) meet the requirements specified.

## 1. Scope

All personnel engaged to conduct audits against programme requirements for the award or maintenance of the CB's Certificate for the:

- MarinTrust Factory Standard
- MarinTrust Chain of Custody Standard

Herein referred to as the MarinTrust standards.

## 2. Method

### 2.1 Appointment

Each auditor shall be required to meet the criteria detailed (as a minimum) in the Appendix A enclosed in B3.

Prior to appointment, an auditor must submit a detailed CV/Resume covering professional qualifications, training and experience in the area of expertise required for auditing to the MarinTrust standards. A copy of each certificate shall be kept on file from each potential auditor to verify and confirm their qualifications and experience. The MarinTrust Secretariat shall allow access to review an auditor's qualifications, upon request.

Approval of a new auditor to the MarinTrust Programme shall be carried out in two stages:

#### Stage 1

The CB's Programme Manager/Administrator or suitable individual nominated by the CB's Chief Executive Officer, or equivalent, shall review the applicant auditor's CV against the relevant auditor criteria stated in the Appendix A enclosed herein. This may be followed by an interview by the CB, if deemed necessary, to verify all the statements made on the applicant auditor's CV. If the criteria are satisfied the applicant auditor shall proceed to stage two of the Approval Process.

## Stage 2

The applicant auditor shall be required to:

- Attend an approved MarinTrust Training Course for the Standard they wish to become approved to audit. The applicant auditor shall be required to successfully complete the Training Course(s) and pass the written exam(s).
- The exam paper must be submitted to the MarinTrust secretariat for either a consistency review or for marking if there is no train the trainer in place within the CB.
- The applicant auditor shall then be required to shadow an approved MarinTrust Auditor for at least one audit for each relevant standard they wish to audit against.
- Be successfully witnessed conducting one MarinTrust or MarinTrust Chain of Custody audit depending on which standard they wish to become approved to audit. If both MarinTrust Standards they shall need to be witnessed to each one.

If the applicant auditor completed all the steps in stage 2 successfully the CB shall be able to sign them off as an approved auditor for the relevant MarinTrust standard. Information on all new approved auditors shall be communicated to MarinTrust Secretariat by their CB within 5 working days and the following details, as a minimum, submitted in a complete pack;

- Full name
- Standards trained to audit against
- Date Auditor Training Completed
- Date Shadow Audit Completed and name of auditor accompanied
- Date Witness Audit Completed and name of witnessing auditor

The MarinTrust Secretariat shall issue a letter of confirmation of approval as a MarinTrust auditor stipulating the relevant standard(s) and list the approved auditor on the MarinTrust website.

The MarinTrust Secretariat shall maintain a master list of approved auditors.

For individual subcontracted auditors who have successfully completed the approval process, a formal contract shall be drawn up on appointment by the CB which is signed by both parties.

On appointment, each auditor shall sign the CB's own specific Conflict of Interest and Confidentiality Undertaking Criteria.

The site may decline the services of a particular auditor offered by the CB. The same auditor is not permitted to undertake audits on more than three consecutive occasions at the same site unless given specific permission by the MarinTrust Secretariat.

## Maintenance of Auditor Approval Status

An approved MarinTrust auditor shall complete a **minimum of two MarinTrust audits in a calendar year** to maintain their approval status. If an auditor does not meet this minimum requirement the CB shall remove the auditor's approval status and notify MarinTrust of this occurrence within reasonable time. The audit will then be treated as new applicant auditor to the MarinTrust Programme should they wish to audit against the MarinTrust standards again.

An approved MarinTrust Factory auditor can conduct MarinTrust CoC audits without additional training, but an approved CoC auditor shall need to complete the MarinTrust Factory training before they can be approved for this standard within the MarinTrust programme.

It is the responsibility of the CB to ensure processes are in place to monitor and maintain the competence of the auditor to the level required by the MarinTrust Programme.

## 2.2 Controls

The performance of each auditor shall be systematically reviewed by the following means:

- (a) **Audit Reports** – shall be continuously reviewed by the CB's Programme/Administrator and the certification committee to ensure that each clause to the relevant MarinTrust standard has been verified during the onsite Audit;
- (b) Auditors may also be required to attend the CBs certification meetings as requested to provide information to assist the committee on certification decisions, however the auditor shall not be part of the certification decision-making process;
- (c) **Auditor Performance** –The CB shall nominate an already Qualified auditor to witness (as a minimum) the Auditor conducting an MarinTrust Audit or for equivalent GFSI or GSSI recognised Standards which include a significant component of traceability no less than once every five years. The witness audit shall be conducted by a competent individual appointed by the CB with a proven knowledge of the MarinTrust Programme and auditing experience. Results of the review shall be recorded on an auditor performance review form. If the review highlights areas that shall need to be improved the CB shall document on the auditor's record what actions shall need to be undertaken to improve. If serious breaches are highlighted the CB shall remove the auditor's approval status and treat the auditor as a new auditor applicant if they are to be used in future MarinTrust audits. The CB shall inform MarinTrust on any changes to the approval status of all MarinTrust approved auditors within a period of 5 working days.
- (d) CB auditor calibration and training records shall be sent to the MarinTrust Secretariat on an annual basis to ensure the maintenance of the integrity of the standard.

### 3. Records

The Programme Manager/Administrator shall maintain an approved auditor file for each auditor. A copy of the approved auditor's CV and evidence of training against each MarinTrust standard shall be sent to MarinTrust secretariat. Having gained approval there shall be evidence of the following held on file:

#### General

- Contract;
- CV;
- External Training Certificates (or confirmation letter);
- Evidence of Training against the MarinTrust Programme;
- Auditor Criteria Requirement Record;
- Date of Approval;
- Signed copies of Confidentiality Agreements;
- Performance Review Schedule (every two years);
- Auditor Performance Review;
- Record of number of Audits conducted annually;
- Internal Audit Reports;

## Appendix A

# Auditor Criteria Required for MarinTrust Standard Factory and CoC Audits

1.	Formal Qualifications	YES/ NO
	<p><b>Post-high School Diploma</b></p> <p>At least a post-high school diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification (Foodstuffs, logistics, transport and/or Agricultural/Aquacultural).</p>	
<b>2.</b>	<b>Technical Skills and Qualifications</b>	
<b>2.1</b>	<b>Food Safety Training and Work Experience</b>	
A)	Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius.	
B)	Successful completion of recognised training in auditing techniques based on Quality Management Systems or Food Safety Management Systems.	
C)	3 years overall experience in the feed/foodstuff sector in a relevant position e.g. Quality Assurance or Food Safety Function, Production and Quality.	
D)	Knowledge and experience of mass balancing and traceability over the production run.	
E)	Knowledge of where to find sources of information about which MSC Certified Fish can enter MarinTrust Chain of Custody, MSC Fishery Certificate Sharing Agreements and how this impacts the eligibility of MSC Certified Products.	
<b>2.2</b>	<b>Auditor Additional Training</b>	
A)	Practical auditing experience of a minimum of 10 days in Feed/Food Safety management systems (e.g. FEMAS, ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC GS Food, IFS Food, GMP+ or equivalent standards which include a significant component of traceability, food safety and Good Manufacturing Practices.	
<b>2.3</b>	<b>Communication Skills</b>	
A)	“Working Language” Skills in the corresponding Native/Working Language. This must include the locally used Specialist Terminology in this Working Language.	
B)	Exceptions to this rule must be consulted and confirmed in writing beforehand with the Standard Owner.	
<b>2.4</b>	<b>Initial Training before Sign-off by the CB</b>	
A)	The Applicant Auditor shall witness one MarinTrust Audit	
B)	The CB shall nominate an already qualified Auditor to witness the Applicant Auditor conducting one Audit for a specified Martin Trust Standard	
C)	The Applicant Auditor shall participate in all relevant MarinTrust training for that standard conducted by the CB’s MarinTrust Approved Trainer and pass the written exam. This training and written exam must include the handling of Improver Programme raw material entering the factory.	
<b>2.5</b>	<b>On-going Training</b>	
A)	The Auditor shall participate in all relevant MarinTrust Training conducted by the CB’s MarinTrust Approved Trainer or Standard Owner and pass the written exam for each standard revision prior to their next audit.	
B)	The CB shall nominate an already Qualified auditor to witness (as a minimum) the Auditor conducting an MarinTrust Audit or for equivalent GFSI or GSSI recognised Standards which include a significant component of traceability no less than once every five years.	

## AMENDMENT LOG

DATE	ISSUE	AMENDMENT	AUTHORISED BY
10/02/15	1.2	IFFO RS logo watermark & IFFO RS Ltd wording implemented	Francisco Aldon
27/01/2016	1.3	Edits to the 'Auditor Criteria Required for IFFO RS standard Factory Audits' table in Appendix A to correlate with current issue (form 43a used to assess if criteria is met.	Francisco Aldon
08/11/2017	1.4	Inclusion of IFFO RS CoC Standard in the scope	Andrew Jackson
08/11/2017	1.4	Edits to the 'Auditor Criteria Required for IFFO RS standard Factory Audits' table in Appendix A to include requirements for Good Manufacturing Practices experience.	Andrew Jackson
08/11/2017	1.4	Inclusion of wording regarding auditor rotation for consecutive audits.	Andrew Jackson
08/11/2017	1.4	Inclusion of exceptions on auditor appointments	Andrew Jackson
08/11/2017	1.4	Inclusion of responsibilities for auditor compliance to the IFFO RS Programme	Andrew Jackson
<b>Version 2 edits (IFFO RS to MarinTrust conversion)</b>			
01/10/2020	2.0	MarinTrust Header & Footer inserted	Libby Woodhatch
01/10/2020	2.0	Wording throughout document amended to read ' <i>MarinTrust Programme</i> '	Libby Woodhatch
01/10/2020	2.0	Inclusion of wording ' <i>exam paper must be submitted to the MarinTrust secretariat for either a consistency review or for marking if there is no train the trainer in place within the CB.</i> '	Libby Woodhatch
01/10/2020	2.0	Inclusion of ' <i>MarinTrust or MarinTrust Chain of Custody audit</i> ' for witness and shadow requirements in stage 2	Libby Woodhatch
01/10/2020	2.0	Inclusion of ' <i>MarinTrust or MarinTrust Chain of Custody audit</i> ' for witness and shadow requirements in stage 2	Libby Woodhatch
01/10/2020	2.0	Replacement of ' <i>certificate of approval</i> ' to ' <i>letter of confirmation of approval as a MarinTrust auditor stipulating the relevant standard(s)</i> ', paragraph 6, page 2.	Libby Woodhatch
01/10/2020	2.0	Removal of ' <i>The CB shall nominate an already Qualified auditor to witness (as a minimum) the Auditor conducting an MarinTrust Audit or for equivalent GFSI or GSSI recognised Standards which include a significant component of traceability no less than once every five years.</i> ' From stage 2, final paragraph	Libby Woodhatch
01/10/2020	2.0	Insertion of ' <i>The CB shall nominate an already Qualified auditor to witness (as a minimum) the Auditor conducting an MarinTrust Audit or for equivalent GFSI or GSSI recognised Standards which include a significant component of traceability no less than once every five years.</i> ' In section 2.2, C).	Libby Woodhatch
01/10/2020	2.0	Addition of Feed/Food and FEMAS criteria in appendix A – Auditor Criteria, 2.2, A).	Libby Woodhatch

