

Procedural Approval Criteria for Certification Body Applicants Wishing to Apply for Approval to Audit and Certify Against the MarinTrust Programme

1. Information Submitted

All information must be submitted in English.

2. Registration

As a pre-requisite, only Certification Bodies (CBs) that are already accredited under ISO/IEC 17065:2012 Conformity Assessment – Requirements for bodies certifying products, processes and services by an Accreditation Body that is an IAF (International Accreditation Forum) Member and MLA (Multilateral Recognition Arrangement) Signatory, to another Internationally Recognised Scheme, may apply for Initial MarinTrust Recognition.

CBs interested in seeking potential approval to certify against the MarinTrust Programme must register their interest by sending a letter of intent to the MarinTrust Secretariat that shall include Head office address, contact name and email and the reason and intention to apply for approval to audit and certify against the MarinTrust Programme.

After receiving a letter of intent, the MarinTrust Secretariat will send to the applicant CB relevant documents describing the requirements, information submittals and fees to include but not limited to:

- Certification Body (CB) Approval Requirements for the MarinTrust Standards (MarinTrust) Audits and Certification.
- Guidelines for Certification Bodies (CBs) Managing Applications to Certification for the MarinTrust Standards (MarinTrust).

3. Prior to CB Application

Prior to submitting an application, the CBs are required to carefully study all information sent to them and to perform a self-assessment to determine if all competency, resource, and other requirements are fully met prior to sending an application or other information to MarinTrust Compliance and Integrity Manager to ensure that they meet with the minimum competency and geographic criteria.

Applicant CBs must demonstrate in the application process adequate resources and competency. Pre-application review areas should include, but are not limited to, ensuring the following capabilities:

- Knowledge of seafood and marine ingredients, such as fishmeal/fish oil, their use in feed manufacture, and the broader marine ingredient and aquaculture assurance landscape
- Sufficient numbers of Auditors in appropriate locations that have the proper seafood and marine ingredients like fishmeal/fish oil/aquaculture competencies to conduct MarinTrust Factory Audits.
- Sufficient numbers of Assessors in appropriate locations that have the proper fishery science and management competencies to conduct MarinTrust Fishery Assessments.
- Sufficient numbers of CB staff with seafood and marine ingredients such as fishmeal/ fish oil/aquaculture competency in the appropriate geographical locations to properly manage Certifications under MarinTrust programme.
- Sufficient numbers of adequately skilled auditor, assessors and CB Personnel and resources to ensure the integrity of, accuracy, and timely completion of Audits, Shadow and Witness Requirements, Audit and Assessment Report and Corrective Action Evidence and Technical Review Accuracy, and in the timelines required by the MarinTrust Programme.
- Management commitment to the integrity of the MarinTrust Programme and sufficient responsiveness to clients and to MarinTrust.

4. Application

If the Applicant CB can assure themselves that they have the correct credentials to meet with these base requirements, the CB should complete the following:

CBs wishing to seek recognition shall formally write a letter of intent to the MarinTrust Secretariat, confirming their intention to apply for approval to audit and certify against the MarinTrust Programme and an explanation of how the CB complies with key requirements including, but not limited to; ISO accreditation and current scope, Accreditation Body status, abilities to conduct both fishery assessments and factory audits, and global reach.

Following the formal letter of intent to become an Approved CB for the MarinTrust Programme, accompanying this document the CB should prepare supporting evidence which will include, but is not limited to, the following:

- Organisational Chart(s).

- Copy of Accreditation Certificate under ISO/IEC 17065:2012 (including scope) for each CB office seeking MarinTrust Recognition.
- A copy of a Valid Liability/Indemnity Insurance Certificate with a value of at least £ 5,000, 000.00(GBP)
- Procedure for ensuring impartiality and prevention of conflict of interest amongst CB personnel, factory auditors, fishery assessors, and subcontract auditors.
- Details of all offices of the applicant CB that would be involved in the MarinTrust Programme and in what capacity.
- Ability and capability of conducting fishery assessments and factory audits.
- Details of the designated nominated person or persons that are key points of contact for the MarinTrust programme at each office listed above.
- Details of locations, number, and competency of the key CB personnel, assessors, auditors and subcontractors, including language abilities
- Procedures for auditor/assessor and subcontracted auditor/assessor Training, Oversight, Performance Tracking and Calibration.
- Procedures for CB Technical Review of Audit Reports, Non-conformities, Corrective Action Evidence.
- Procedures for CB Technical review of fishery assessment reports.
- Procedures for making the Certification Decision.
- The daily cost rate the CB will charge a client for certification services, including but not limited to; factory audits and fishery assessments to the MarinTrust programme.

Submit all required forms and documents to the MarinTrust Compliance and Integrity Manager along with the initial application fee of £1,500.00 GBP.

Successful applicant CBs, upon notification from MarinTrust, shall pay upfront an initial implementation fee of £5,000.00 to cover CB training costs and agree to pay subsistence fees associated.

5. CB Application Review

Completeness checks of CB applications will be carried out upon the CB paying the application fee. The MarinTrust secretariat will conduct a completeness check of the submitted application and evidence and may request further information/clarification where necessary. Only completed CB Application Documents with supporting evidence will be submitted for consideration by the MarinTrust Governing Body Committee for approval to certify against the MarinTrust programme.

If at the discretion of the MarinTrust Secretariat it is determined at any point in the application process that the CB does not have the potential to meet the Recognition Requirements, the CB will be informed, and the application will be denied.

Inadequate application information and follow up responses within the defined timeframes of the CB tender to the MarinTrust Secretariat may also result in the rejection of the CB's Application or additional administration costs to process the CB's application.

Certification body assessment rating criteria	% Rating
Global Reach of the Certification Body’s Organisation for MarinTrust	25
Current Certification Programmes and relevance to MarinTrust	20
Management, Auditor & Assessor Flexibility and Capability	20
Auditor/Assessor Language Compatibility by Geographical region	15
Certification Quality Control Mechanisms	10
Accreditation Credentials	10

6. Submissions to MarinTrust Governing Body Committee

The MarinTrust Secretariat will compile the results of the assessment ratings and forward recommendations onto the MarinTrust Governing Body Committee for ratification.

7. Final CB Approval

Approved CBs will be sent an Agreement to audit, assess and certify to the MarinTrust Programme, which shall be agreed to and signed by the CB and Marine Ingredients Certifications Ltd prior to any certification services being commenced and conducted.

Once these Agreements have been executed the Approved CB must ensure the requirements of this Agreement and of the MarinTrust programme as described in the “CB Requirements Document”, and other documented information provided are in place prior to executing any audits/assessments. For example (refer to documents provided for further details):

- Have prospective auditors/assessors been approved, attended and passed a full MarinTrust auditor/assessor Verification Course.
- Have, as described in the “CB Requirements Document”, at least 1 Management personnel involved in the operation of the Programme and Certification Decisions attended and passed a full MarinTrust Auditor Course and at least 1 Management personnel involved in the operation of the Programme and Approval Decisions attended and passed a full MarinTrust Fishery Assessor Course for each office approved under the Programme.
- Undertaken the required Training/Shadow/Witness factory audits in a timely fashion prior to allowing the auditor to audit on his or her own, and update MarinTrust secretariat on Progress and Final Approvals. (Auditors cannot Audit against the MarinTrust programme until they have met all Approval Criteria of both MarinTrust and the CB).
- Undertaken the required training/peer review in a timely fashion prior to allowing the fishery assessor to assess on his or her own and update the MarinTrust secretariat on progress and

final approvals. (Assessors cannot assess against the MarinTrust programme until they have met all Approval Criteria of both MarinTrust and the CB).

- Have in place proper procedures for reporting to MarinTrust of standards on audit and assessment schedules and status as well as Training, Competency and Calibration Documents related to auditors, assessors and CB Personnel involved in the Programme.
- Initiate procedures for extending the Scope of Accreditation to include the current MarinTrust standards as described in documents provided and obtain said accreditation within 12 to 18 months. CBs are also required to ensure that all new MarinTrust standards or versions of standards are included within their scope of accreditation within 18 months of the new standard or version of standard being approved by the Governing Body Committee
- Provide a letter from the CBs Accreditation Body confirming application has been made to extend the Scope of Recognition to cover the MarinTrust standard.

8. CB Approval Continuous

Once a CB applicant is approved the CB shall continue to comply with all Agreements, Standards, Requirements, Policies, Procedures, and so on as provided and as amended going forward.

This includes cooperation and access to information, staff, and sites as required for MarinTrust Performance Monitoring through a Key Performance Indicators (KPIs) mechanism.

CBs will be advised of any areas needing improvement. Unacceptable performance will lead to sanctions as well as possible Suspension or Withdrawal of Approval at MarinTrust's discretion.

