



MarinTrust Control Manual Version 2.0

Published 9th April 2021

MarinTrust Programme

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1 Introduction

1.1 Document overview

This is the Quality Management System (QMS) Control Manual for the MarinTrust programme. It supports the assessment of fisheries and certification of processing facilities against the 'MarinTrust standard' in conjunction with the 'MarinTrust Fishery and Factory Assessment Guidance' and is further supported by a collection of standard control documents, templates, and specific information relating to the MarinTrust Improver Programme and Fishery Approval Peer Review Process. This QMS also supports the certification of supply-chain entities against the MarinTrust Chain of Custody (CoC) standard.

This manual outlines the policies and procedures which prescribe and guide the auditing/evaluation/certification/accreditation process and demonstrates that there are no policies or procedures where MarinTrust actively participates in any part of the assessment or decision-making process.

The MarinTrust Certification Programme is a unique international certification scheme programme for marine ingredient certification and is owned and managed by Marine Ingredients Certification Limited, consisting of:

- The MarinTrust Standard
- The MarinTrust Chain of Custody (CoC) Standard
- The MarinTrust Improver Programme

The structure of the operating, certification and control procedures are described herein. Please note that in Section 4 specific procedures are generally described and link to relevant documents specifying the detailed requirements in the Annexes.

1.2 Normative references

The MarinTrust Certification Programme and Standards Management take into account and aim to follow the 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).
- Codex Alimentarius HACCP Standards
- EC Regulation 1005/2008 establishing a Community System to prevent, deter and eliminate Illegal, Unreported and Unregulated (IUU) fishing.
- European Feed Manufacturers Guide (EFMC) January 2007.
- 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.
- FEMAS Feed Materials Assurance Scheme Sector notes: Fishmeal and Crude Fish Oil July 2007.
- Global Dialogue on Seafood Traceability (GDST)
- Global Food Safety Initiative Guidance Document – Issue 7.1
- GMP+ animal feed standards
- GS1 Global Traceability Standard
- GS1 Foundation for Fish, Seafood and Aquaculture Traceability Guideline
- IFFO RS Chain of Custody Standard V1.1 2013
- IFSA International Feed Ingredient Standard and Rules of Certification.
- ISO 14024:1999. Environmental labels and declarations - Type 1 environmental labelling - Principles and Procedures.
- ISO 19011:2018 – Guidelines for auditing management systems
- ISO/IEC 17021-1:2015 – Conformity assessment — Requirements for bodies providing audit and certification of management systems
- ISO/IEC 17065:2012 – Conformity assessment — Requirements for bodies certifying products, processes and services
- ISO/IEC Guide 2:2004 – Standardization and related activities
- ISO 22005:2007 – Traceability in the Feed and Food Chain
- ISO/CD22095 Chain of Custody
- ISO 12875/77:2011 Traceability for finfish products
- ISO/IEC Guide 59 CODE of good practice for standardisation
- MarinTrust logo guidelines
- MSC Principles and Criteria for Sustainable Fisheries Standard
- ILO Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- ILO Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- ILO Forced Labour Convention, 1930 (No. 29) (and its 2014 Protocol)
- ILO Abolition of Forced Labour Convention, 1957 (No. 105)

- ILO Minimum Age Convention, 1973 (No. 138)
- ILO Worst Forms of Child Labour Convention, 1999 (No. 182)
- ILO Equal Remuneration Convention, 1951 (No. 100)
- ILO Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

1.3 Programme scope

MarinTrust is a unique international certificate programme for marine ingredients, an initiative of Marine Ingredients Certifications Ltd. The MarinTrust programme consists of the following:

- The MarinTrust Standard
- The MarinTrust Chain of Custody (CoC) Standard
- The MarinTrust Improver Programme

Marine Ingredient factory certification requires an annual third-party audit of the factory and annual assessment of the raw materials including the source fisheries, to assess their compliance to the MarinTrust standard for responsible raw materials. MarinTrust CoC certification also requires an annual third-party audit. Subcontractors to MarinTrust CoC facilities that undertake contract storage, processing, packing, labelling will also be audited by the applicant's chosen CB against the MarinTrust CoC standard.

It should be noted that the Improver Programme is an acceptance programme (not a certification programme) and managed to its own set of application and assurance procedures outlined on the MarinTrust website.

This manual will be publicly available on the MarinTrust website. The content of this manual will be subject to annual review as part of the Programme and Assurance System Review (Section 2.3)

MarinTrust makes information and documentation regarding the programme's governance structure, programme ownership, standards and standard-setting procedures, and the composition, operating procedures, and responsibilities of its governance committees freely and publicly available. This is on the MarinTrust website www.marin-trust.com.

1.4 Programme objectives

The principal objectives of the MarinTrust Certification Programme are:

- To provide a scheme which allows certificate holders to demonstrate to stakeholders the commitment of producer, processors and further processors of the responsible sourcing, and production of marine ingredients.
- In the case of factories certified against the MarinTrust standard:
 - To ensure that whole fish used come from fisheries managed according to the FAO Code of Conduct for Responsible Fisheries
 - To ensure no Illegal, Unreported and Unregulated (IUU) fishery materials are used
 - To ensure pure and safe products are produced under a recognised Quality Management System, thereby demonstrating freedom from potentially unsafe and illegal materials
 - To ensure full traceability throughout production and the supply chain
- In the case of MarinTrust Chain of Custody Standard:
 - To ensure that marine ingredients used come from MarinTrust certified sources and that full traceability is maintained throughout the supply chain.
 - To ensure no Illegal, Unreported and Unregulated (IUU) fishery materials are used
 - To ensure pure and safe products are further processed under a robust Quality Management System, thereby demonstrating freedom from potentially unsafe and illegal materials
 - To ensure that MarinTrust CoC standard remains relevant, robust and fit for purpose.
 - To prevent non MarinTrust compliant product being labelled as MarinTrust.
- In the case of the MarinTrust Improver Programme: to provide a mechanism for applicants to map out a structured improvement journey with agreed milestones and a timeframe that must be met in order to become MarinTrust certified.
- To promote and encourage 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.

2 MarinTrust Policy Statement & Procedures

2.1 General MarinTrust Policy Statement

The purpose of MarinTrust is to champion best practice in fisheries and production for Marine Ingredients and aim to keep improving the responsible sourcing and production of global marine ingredients through an accessible programme of certification. One of MarinTrust's Strategic Objectives is to have 75% of global combined marine ingredient production certified, in application, in assessment or in an Improver Programme by 2025.

The MarinTrust Programme policy is founded on a commitment by MarinTrust and its stakeholders to provide and support a responsible sourcing standard, assessment and certification framework for producers of marine ingredients such as fishmeal and fish oil, and the supply-chain, to demonstrate to industry stakeholders the extent to which responsible sourcing and processing policies and procedures have been implemented.

All activities of the MarinTrust 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 applicants, staff, Certification Bodies (CBs), Accreditation Bodies (ABs) and all other related stakeholders are met.

The MarinTrust programme is a voluntary scheme and there is no legal requirement for Marine Ingredient producers, or those businesses involved in further processing to be certified or accepted as part of the MarinTrust Programme.

2.2 Key Performance Indicators for MarinTrust

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

- Partnership with CBs and Applicants to provide for their needs and enhance their expectations to enable them to meet the requirements of the MarinTrust Programme;
- A participatory work ethic, to properly apply the innate excellence of staff, and to provide a culture in which they excel;
- Continuous improvement including for audit, assessment, and certification processes and training-related services;

- To facilitate and maintain the inclusion of MarinTrust Standard in the Certification Bodies' scope of accreditation for the International Organisation for Standardisation ISO Guide 65:1996 - now superseded by ISO 17065:2012
- Open and effective communication with applicants and certificate holders, interested parties and committees.
- Open and effective communication with all stakeholders directly and indirectly involved in the MarinTrust programme on any changes/revisions to the standard and certification process.
- Systematic validation and control of quality processes.

2.3 Programme and Assurance System Review

The MarinTrust programme and assurance system, including the Standards, Certification Process and Procedures, and Improver Programme is subject to an annual review and full revisions of its standards and acceptance programmes at least every 5 years in accordance with ISEAL requirements 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 Programme 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 MarinTrust or MarinTrust approved CBs, or during open public comment periods (see appendix C2 – Standard Setting Procedure).

This review is discussed at relevant MarinTrust Governing Body Committee (GBC) meetings to determine if any actions relating to the standard content or certification requirements are required in any subsequent issues and versions of standards.

The MarinTrust Secretariat will keep all records relating to the development of all versions and issues of the MarinTrust Standards, Certification Process and Procedures, and Improver Programme, for a minimum period of 5 years. These development records will be available to interested Stakeholders via written request to the MarinTrust Secretariat detailing reasons why records have been requested.

2.4 Management and Control

The MarinTrust Programme has established and will maintain an independent effective Certification Assurance System based on ISO 17065:2012 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.

In support of its policies, the MarinTrust Programme has established and will maintain a System of Documentation and Control Procedures (Appendix C1 – Document Control Procedures) together with regular reviews to ensure that it facilitates an efficient and cost-effective certification service to the industry it serves. All reviews of the MarinTrust Certification Processes and Procedures as part of the Quality Management System (QMS) are carried out in accordance with appendix C1.

This Control Manual also signposts the wider QMS documentation (see full list in the Appendices). It is essential that all MarinTrust personnel and other relevant parties are made aware of relevant procedures and controls and adhere to the systems defined to ensure their effective operation.

All changes to MarinTrust standards and/or Certification Process will be published on the MarinTrust website describing when these changes will take place and who to contact to gain further information on the transition period. The MarinTrust secretariat is responsible for informing all Certified Sites affected and relevant stakeholders of any changes or amendments to the MarinTrust Programme or Certification Processes and Procedures.

Issue and Control of Documents

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

- a) The QMS Control Manual and all associated documents and templates for the MarinTrust Programme.
- b) The MarinTrust Standard
- c) The MarinTrust Chain of Custody Standard
- d) The Improver Programme Acceptance Mechanism

Amendment Control

Amendments to previously issued controlled documents will be reviewed and approved by the MarinTrust Executive Director for that document before issue and in accordance with appendix C1 – MarinTrust Document Control Procedure and appendix C2 – Standard Setting Procedure.

Master Lists of Clients and Certified Products

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

2.5 Internal Review

The operation of the MarinTrust 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.

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 MarinTrust Control Manual and the MarinTrust Programme standards.

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.

Ongoing review of CB assessment and audit performance will be conducted by the MarinTrust Secretariat and is achieved by a combination of monitoring of assessment and audit reports, continuous contact with assessment and audit staff, and witness of audits conducted by individual auditors and assessments of head office to ensure compliance with audit and assessment procedures and consistency of interpretation of Programme requirements to meet an agreed set of Key Performance Indicators.

The MarinTrust CEO or contracted consultant will make a report on the findings of the internal review at least annually to the MarinTrust Governing Body Committee. The MarinTrust Secretariat will keep all records relating to the compliance with this QMS for a minimum period of 5 years.

2.6 Data Governance and Management

The MarinTrust assurance system inherently collects data from clients to allow certificate holders to be able to demonstrate compliance to the relevant MarinTrust Standard.

The Assurance Data Governance System enables MarinTrust to identify the data collected via the assurance system, who is responsible for collecting and holding the data, and how it is shared, as well as to maximise the efficiency, and quality of data collected and utilised to inform MarinTrust on the effectiveness of its assurance system. Finally, it also allows MarinTrust to maintain a good data management system and improve the assurance system through feedback loops.

The Assurance Data Governance System consists of the following key elements:

- Assurance Data Strategy
- Assurance Data Value Chain
- Assurance Data Source File
- Assurance Data Governance Mapping exercises (Common Data Matrix, Data Governance Activity Matrix, Communication Plan Matrix)
- Assurance Data Governance Policy

The Data Management Strategy, Appendix H1, allows MarinTrust to make informed decisions about data projects, ensure that MarinTrust's objectives are achieved, and the availability of resources are driven appropriately to maintain an effective and efficient data management system.

The MarinTrust Assurance Data Governance policy, Appendix H2 enables MarinTrust to ensure the ongoing value and reliability of data collected through its assurance process and will provide a framework to govern data access, usage and distribution. The policy describes the different elements of the MarinTrust Data Governance System as well as the roles and responsibilities that staff and other organisational partners have in preserving its effectiveness and integrity.

The MarinTrust Privacy Policy (appendix A8) outlines how and why MarinTrust collects, stores, uses and shares personal information and the rights in relation to personal information of individuals.

2.7 Complaints, comments and suggestions

MarinTrust is committed to providing a relevant, robust and credible standard programme on behalf of its stakeholders and welcomes comments on its standards and assurance system at any time. Stakeholders may submit comments and suggestions in line with Appendix C3 -Procedure for Submission of Comments.

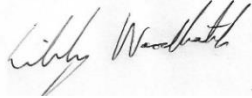
The MarinTrust Secretariat is dedicated to the above policies and performance targets, however, should any stakeholders wish to submit a formal complaint about MarinTrust, its standard requirements or assurance system, they may do so in line with Appendix A6 – Appeals and Complaints Procedure.

MarinTrust has robust requirements for the authorised use of the MarinTrust mark or claim. If, in the case that a MarinTrust logo or claim to MarinTrust / MarinTrust CoC certification or acceptance to the MarinTrust Improver Programme has been misused, please contact MarinTrust directly via standards@marin-trust.com.

General comments to MarinTrust may also be made at <https://www.marin-trust.com/marintrust-contact> or contacting MarinTrust via standards@marin-trust.com.

Should stakeholders wish to submit appeals or complaints in relation to their Certification, Certification Body activities or Certificate Holders please refer to section 4.4 – Complaints and Appeals within this manual.

Signed:



MarinTrust Governing Body Committee Chairperson

Date: *09 April 2021*

Signed:



MarinTrust Secretariat

Date: *09 April 2021*

3 Programme Status, Structure and Finances

3.1 History

For a full history of the MarinTrust programme please refer to Annex 3.

MarinTrust Standard

The current MarinTrust Standard is the original IFFO RS Version 2.0 that was launched on 18th July 2017, following approval by the IFFO RS Governing Body Committee. The next full revision of the standard is proposed for the end of 2020, for launch at the end of 2022. The ToR for MarinTrust V3 launched for public consultation in late 2020.

The original IFFO RS Standard was launched in September 2009, and the first certificate awarded in February 2010. To date (2021), over half of marine ingredients produced worldwide are certified against the MarinTrust standard. The Standard has been regularly revised in compliance with ISEAL requirements. This ongoing process ensures that the Standard remains accessible, credible and relevant to industry needs, and in particular that the assessment process continues to be robust.

Revisions are undertaken by a Technical Advisory Committee (TAC) that represents the entire value chain, including marine ingredient producers, feed processors, fisheries and aquaculture standard holders, fish processors, retailers, fisheries experts and NGOs. Revisions are also subject to a public consultation period in line with ISEAL codes for standard development. The Governing Body Committee (GBC) will then approve revisions prior to launch of the standard.

MarinTrust Chain of Custody Standard

To ensure the credibility and relevancy of the MarinTrust Chain of Custody Standard, comply with internationally recognised credentials such as ISEAL and ISO 17065 as well as satisfying market requirements, the MarinTrust Governing Body Committee agreed with the proposal to undertake the development of the new MarinTrust Chain of Custody version. The proposed Terms of Reference (ToR) for the development of the new version of the MarinTrust Chain of Custody standard V2.0 opened for a 30 Public Consultation on 18th September 2018 and closed for comment on 18th October 2018. MarinTrust invited stakeholders to provide input on the draft V2.0 Chain of Custody Standard which was opened for 60-day public consultation until 21st December 2019.

The new CoC V2 standard has been effective since 30th November 2020. Current CoC certificate holders will have 1 year from the effective date to understand and apply the revisions, and all new applicants wishing to be CoC certified applying after 30th October 2020 must apply to V2 of the standard. For transition guidance please refer to Transition Guidance for MarinTrust Chain of Custody (CoC) Certified Facilities transitioning from V1.1 to V2 of the CoC Standard.

The key differences of CoC V2 with CoC V1.1 include:

- Introduction of new clauses that include supplier approval and monitoring systems including traders, agents / brokers with batch control (KDEs), HACCP/VACCP/TACCP with greater emphasis on material origin.
- Reduced section due to similarities with other clauses in Sec. 1, revised clauses covering mass balance, labelling and segregation in all different activities such as initial storage, processing, final dispatch, final storage, delivery for client, etc.
- Introduction of subcontractor criteria - evaluation and documented control of subcontractors, mass balance exercises and product integrity
- Strengthened clauses on the use of the MarinTrust Logo and Claim - label verification and control over the use of the MarinTrust logo or claim
- Introduction of requirements of documented training systems for relevant staff members

MarinTrust Improver Programme

MarinTrust and its Governing Body Committee became aware that despite the initial success of their Standard, a lot of marine ingredient producers failed to meet the criteria. Reasons for this included operational issues within a factory, or with raw materials and their associated fisheries. Many of these producers are based in Asia, which as the largest aquaculture producing region in the World, is a significant market for aquafeed. This means that local companies wishing to use MarinTrust certified ingredients have to import them at a higher cost, as opposed to sourcing locally, which limits the socio-economic benefits of marine ingredient production to the local communities. .

The MarinTrust Improver Programme (IP) was developed by the MarinTrust Governing Body Committee, with the aim of encouraging factories not yet meeting the criteria for the Standard, due for example, to a lack of fisheries management or factory infrastructure and operational issues, to implement timely improvements, fulfil the criteria, and gain certification to the Standard.

A new version was set up in 2017-2018 with a focus on improving the fisheries sourcing into production facilities. It follows the requirements of the Conservation Alliance for Seafood Solutions (CASS) towards the implementation of Fishery Improvement Projects (FIPs). A new structure was then put in place for production sites sourcing from these FIP fisheries to apply to the Improver Programme.

Once accepted onto the Improver Programme, applicants have a structured improvement journey mapped out with agreed milestones and a timeframe that must be met in order to become MarinTrust certified.

3.2 Governance Structure

The MarinTrust Programme has a robust governance structure in place to ensure successful management with defined responsibilities and functions.

The committees involved in running the MarinTrust Programme effectively are outlined in the MarinTrust Governance Organisational Structure (Annex 1). In assigning membership of each body, it is

ensured that individuals have adequate capacity, knowledge and experience to fulfil responsibilities. Terms of Reference of each committee can be found in appendices E1 – E8.

3.3 Secretariat Structure

The MarinTrust Secretariat acts on behalf of the MarinTrust Governing Body Committee (GBC). The Secretariat organisational structure is shown in Annex 2, and key roles described in document B1 (listed in the appendices). The GBC (on advice from the Secretariat) is responsible for setting the outlined MarinTrust Procedures and Controls, which registered Certification Bodies approved by GBC must follow.

The MarinTrust Secretariat, on behalf of the GBC, is responsible for initial and continuing approval of Certification Bodies seeking to operate within the MarinTrust Programme, and for liaison with Certification Bodies on any operational queries. The Secretariat is also responsible for coordinating the Annual Review of the MarinTrust programme and publishing the proposed 'MarinTrust Programme of Work'.

The MarinTrust 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 approved material is sourced remain approved against the MarinTrust standard.

The MarinTrust Secretariat ensures that the validity of a certification cycle does not exceed 3 years and that CBs apply a consistent methodology to assess compliance under the MarinTrust Programme, including the use of the report templates provided.

3.4 Assurance Oversight Structure

Marine Ingredients Certification Ltd is an international organisation that runs an independent third-party Certification programme, MarinTrust. MarinTrust is based on ISO 17065:2012 to ensure that it is separate from the Certification Bodies (CBs) that conduct the MarinTrust Audit and Certification Process.

CBs must be accredited against ISO 17065, with the MarinTrust standards in scope of their accreditation. An accredited CB is assigned a government-appointed Accreditation Body (AB) based on the location of its critical office. As part of ISO 17065 accreditation, CBs shall be a legal entity, or a defined part of a legal entity, such that the legal entity can be held legally responsible for all its certification activities. Therefore, all CBs registered to audit under the MarinTrust Programme are separate legal entities from Marine Ingredients Certification Ltd and MarinTrust applicants and derive their funding via audit fees from the assessment of fisheries and other supply chain organisations. In addition, ISO 17065 requires that accredited CBs must have a legally enforceable agreement for the provision of certification activities to its clients.

ABs are separate legal entities from all other MarinTrust parties and derive their finances from the assessment and accreditation of CBs. ABs are Members of the International Accreditation Forum (IAF) and must be signatory Members of the IAF Multilateral Recognition Agreement (MLA). The contracts for accreditation are between the CB and the AB.

The MarinTrust 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.

3.5 Certification Body Requirements

The CB is the sole authority by which Certificates of Compliance may be granted, suspended, 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, and are expected to meet levels of service to their clients.

The MarinTrust Secretariat requires Certification Bodies to maintain a written fee structure that is available on request and is adequate to support accurate and truthful audit and 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.

The MarinTrust programme requires that CBs operating in the Programme be accredited to ISO/IEC 17065:2012 for the scope of the respective standard of the Programme.

The service provided by each CB employed is subject to contract (appendix F1), 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 MarinTrust Secretariat maintains a copy of the agreement with each CB in an updated form and these are available for examination, on request, by authorised persons.

3.6 Accreditation Body Requirements

Accreditation Bodies (ABs) are government assigned entities to the Certification Bodies (CBs) and must be members of the International Accreditation Forum and signatory members of the IAF Multilateral Recognition Agreement (MLA).

The MarinTrust Secretariat on behalf of the MarinTrust GBC will endeavour to work in collaboration with AB's that offer accreditation to the programme. The arrangement requires the ABs to be compliant with the requirements of ISO/IEC 17011:2004.

The MarinTrust programme specifies the requirements for CBs that the AB is required to verify. Subsequent to any changes in the accreditation requirements, the Programme owner MarinTrust ensures CBs are given a defined time period to conform to the changes.

The MarinTrust programme requires (through the engagement of IAF ABs) 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.

The MarinTrust programme requires (through the engagement of IAF ABs) that external audits be carried out on the AB to assess performance via their peer review and evaluation process.

The MarinTrust programme requires (through the engagement of IAF ABs) that the AB makes information available on request about its organisational structure.

The MarinTrust programme (through the engagement of IAF ABs) ensures that the accreditation process includes an office audit of the certification body.

The MarinTrust programme ensures (through the engagement of IAF ABs) that the accreditation process includes a review of the performance of CBs and auditors in the field.

3.7 Applicant and Certificate Holder Requirements

Application to the MarinTrust Programme is open to all Marine Ingredient Producer and Supply Chain Organisations around the world, see application form Appendix APP1 (for applications to the MarinTrust Standard) and Appendix APP2 (for applications to the CoC Standard).

The technical specifications, which applicants to the MarinTrust Programme must meet to achieve certification, and must maintain to retain certification, are presented in the MarinTrust Standard and Chain of Custody Standard. The MarinTrust standard are controlled documents and are available publicly on the MarinTrust website.

Reapplications shall be submitted to the MarinTrust Secretariat 6 months in advance of the certification expiry, and making sure MarinTrust is aware of any changes to their scope including species or plants etc.

3.8 Finances

Marine Ingredients Certifications Ltd (09357209) is an international organisation which operates the MarinTrust Programme; it is separate legal company from the CBs that conduct the MarinTrust assessment, audit, and certification process.

CBs are separate legal entities from Marine Ingredients Certification and MarinTrust Applicants and derive their funding from the audit fees, assessment of fisheries and other supply chain organisations.

ABs are separate legal entities from all other MarinTrust parties and derive their finances from the assessment and accreditation of CBs. For further detail on the MarinTrust Assurance structure, please see Section 3.4 herein.

4 Assessment, Audit and Certification Procedures

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

- A2 – Guidelines for CBs managing applications for certification to the MarinTrust Programme
- A3 – Conducting of MarinTrust Fishery/By-product assessments by Registered Certification Bodies (CBs)
- A4 – Conducting of MarinTrust Factory and Chain of Custody Audits by Registered CBs
- A5 – The issuing and the withdrawal of certificates to the MarinTrust Certification Programme
- A6 – Appeals and Complaints Procedure for the MarinTrust Programme
- A11 – Process for Handling Remote MarinTrust Factory and Chain of Custody Audits During an Extraordinary event (*applicable when invoked by MarinTrust*)
- B2 – Appointment of MarinTrust Fishery and By-product Assessors
- B3 – Appointment of MarinTrust Factory and Chain of Custody Auditors
- B6 – MarinTrust Factory Approved Auditor Trainer Appointment
- B7 – Appointment of MarinTrust Improver Programme Assessors
- D1 – Certification Body approval requirements for MarinTrust audits and certification
- D2 – Procedural approval criteria for Certification Body Applicants wishing to apply for approval to audit and certify against the MarinTrust Programme
- D3 – Clients transferring their certification to a new Certification Body
- FAC1 – MarinTrust Factory Audit Report Template
- FAC2 – MarinTrust Chain of Custody Audit Report Template
- FISH1 – MarinTrust Fishery Assessment Report Template
- FISH2 – MarinTrust By-product Assessment Report Template
- ID1 – MarinTrust Standard V2.0 Auditor Interpretation Guidelines
- ID3 – Fishery Assessment Interpretation Guidance Document V2.0
- ID4 – By-product Assessment Interpretation Guidance Document
- ID6 – Auditor Interpretation Guidelines for the MarinTrust Chain of Custody Standard V2.0
- IP1 – MarinTrust Improver Programme Acceptance Mechanism
- F1 – MarinTrust Service Agreement for Services and Certification Services

4.1 Assessments and Audits conducted by CBs

The role of CBs in the MarinTrust programme can be summarised as follows.

Fisheries assessments:

- Conduct a desktop/remote assessment of the fishery/fisheries from which raw material (both whole fish and by-products) is sourced against the MarinTrust standard.
- Determine the Fishery/Fisheries Approval Status based on performance during the desktop assessment, with the approval of fisheries against the standard as a mandatory prerequisite for Site Certification.
- Shall conduct annual Surveillance Assessment of Fisheries.
- The MarinTrust Secretariat requires CBs to produce and send Fishery Assessment Reports and/or By-product Assessment Reports, once approval has been granted, to MarinTrust to be uploaded to the website.
- Raw material by-products from aquaculture species will be verified during factory audits, to ensure they are kept separate from other fishery raw materials when entering the factory and during processing.

Factory/ Chain of Custody audits:

- Conduct annual site audit/audits of the Applicant processing facilities against the MarinTrust Standard.
- Conduct annual site audit/audits of the Applicant's traceability system against the MarinTrust Chain of Custody Standard.
- Identify any significant failure on the part of the Applicant to meet the requirements of the MarinTrust standards, and to decide on the issue or denial of Certificate of Compliance based on compliance with the MarinTrust standards.
- Shall conduct annual Surveillance Audits of Processing / Chain of Custody Facilities, and shall be carried out within no more than 12 months after the prior audit / assessment. Decide on the maintenance, suspension or withdrawal of Certificates of Approval based on the outcomes of these.
- The MarinTrust Secretariat requires CBs to send final audit reports and MarinTrust certificates to be stored for the purposes of calibration, statistical analysis and document control.

Improver Programme assessments:

- The MarinTrust Improver Programme provides a mechanism by which fisheries which do not currently meet the MarinTrust whole fish raw material requirements can work towards approval for certification along a structured pathway and in alignment with this Control Manual.
- Those accepted onto the IP and commit to improvement requirements may use approved statements to demonstrate the nature of the production and the link to the MarinTrust brand, however they MUST NOT use the MarinTrust logo.
- Each Improver Programme fishery will undertake an annual milestone report, and the CB will verify these assessments.
- All facilities that are processing MarinTrust Improver Programme raw materials will still have to undergo a full MarinTrust factory audit according to standard certification procedures.

Assessor and auditor competency

The MarinTrust Secretariat has defined the qualifications and competency criteria required by auditors, audit teams and fishery assessors employed or contracted by CBs. MarinTrust makes this information available on request. Only MarinTrust approved Fishery Assessors and Factory Auditors selected, appointed and controlled by approved Certification Bodies may carry out fishery assessments and auditing activities. Details on the fishery assessor and factory / CoC auditor competency criteria are contained in appendices B2 Appointment of MarinTrust Fishery and By-product Assessors and B3 – Appointment of MarinTrust Factory and Chain of Custody Auditors respectively.

4.2 Audit and Assessment Procedures

Fishery and By-product Assessments

All Fishery and By-products Assessments are required to be conducted in accordance with the Fishery Assessment or By-product Assessment procedure described in appendix A3 – Conducting MarinTrust Fishery Assessments by Registered Certification Bodies (CBs) which outlines the operating procedures for fishery and by-product assessments. In summary this procedure provides details on the following:

- Preassessment check
- Assessment Procedures
- Peer Review
- Assessment reporting and recording

Pass or fail against the MarinTrust standard shall be determined in accordance with the fishery and by-product assessment methodology outlined in ID3 – Fishery Assessment Interpretation Guidance Document and ID4 – By-product Assessment Interpretation Guidance Document.

All fishery and by-product assessment reports shall be completed using the relevant templates in Appendix FISH1 – MarinTrust Fishery Assessment Template Report V2.0 or FISH2 – MarinTrust By-product Assessment Template Report V2.0.

MarinTrust Factory and Chain of Custody Audits

All MarinTrust Factory and Chain of Custody Auditors are required to be conducted in accordance with the Factory Auditing Process described in appendix A4 – Conducting of MarinTrust Factory and Chain of Custody audits by Registered Certification Bodies which outlines the operating procedures for Factory and Chain of Custody audits. In summary this procedure provides details on the following:

- Pre-audit check
- Audit procedures
- Audit reporting
- Records

Compliance to the relevant MarinTrust standard shall be determined in accordance with the MarinTrust standard or MarinTrust Standard criteria as described in Appendix ID1 – MarinTrust Standard V2.0 Auditor Interpretation Guidelines and ID6 – Auditor interpretation Guidelines for MarinTrust Chain of Custody Standard V2.0.

All audit reports shall be completed using the relevant audit templates in Appendix FAC1 –MarinTrust Factory Audit Report or Appendix FAC2 – MarinTrust Chain of Custody V2.0 Audit Report Template.

Improver Programme Details on operating procedures for the Improver Programme can be found in appendix IP1 - **MarinTrust Improver Programme Acceptance Mechanism**. In summary, to enter the Improver Programme the applicant must complete 5 key steps:

1. Self-evaluation of fishery
2. Contract approved assessor
3. GAP analysis against the MarinTrust fisheries assessment template
4. Develop Fisheries Action Plan (FAP)
5. Sign stakeholder agreement

Maintenance of Records

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 audits and assessments.

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

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.

4.3 Issuing and Withdrawal of Certification

Issue and Maintenance of a Certificate of Compliance

As a third-party business to business certification programme, MarinTrust does not issue the certificates. This is down to the CBs (authority) and MT has a procedure which defines the method and instances by which certificates can be issued and withdrawn in Appendix A5, 'Issuing and the Withdrawal of Certificates to the MarinTrust Certification Programme', in summary:

Appeals against a decision to withhold the issue or to withdraw a Certificate of Compliance will be heard in the manner described in Appendix A5 – Appeals and Complaints Procedure.

Withdrawal of a Certificate of Compliance

Certificates of Compliance may be withdrawn where the CB's CEO, their MarinTrust Programme Certification Committee/ Certifier or their Oversight Board has firm evidence that a certified location has failed to comply with any of the requirements as detailed in MarinTrust Certification Programme The procedure for the withdrawal of a MarinTrust certificate is described in Appendix A5 – 'Issuing and the Withdrawal of Certificates to the MarinTrust Certification Programme'.

4.4 Marks of Conformity

As a business-to-business certification programme the use of the MarinTrust logo is not eco-labelling directed at the end user of the marine ingredient products. Key documents for the use and control of the MarinTrust logo are as follows:

- Appendix C4 - MarinTrust Logo Management Procedure
- MarinTrust Brand Guidelines
- Appendix F3 – MarinTrust Licence Agreement and Claims Policy
- Appendix F4 – MarinTrust Improver Programme Claims Policy

All certified and accepted sites under the MarinTrust Programme must sign the relevant **Licence Agreement and Claims policy**. This agreement allows MarinTrust to further protect and enforce the integrity of the logo and claim usage.

A transition period is set in place to allow companies to adjust to the new MarinTrust branding guidelines, more information on the transition requirements can be found on the MarinTrust website.

4.5 Complaints and Appeals

The procedure for how appeals and complaints concerning certification decisions, certified marine ingredients (such as fishmeal and fish oil) or Certificate Holders, or operations of certification activities by the CB is outlined in Appendix A6 – Appeals and Complaints Procedure.

The MarinTrust Secretariat requires CBs to manage appeals and complaints in accordance with appendix A6 and the CBs own appeals and complaints procedure that shall be in compliance with their Accreditation Body Requirements.

4.6 Client Transfer

In some situations, MarinTrust Certificate Holders may request to transfer their certification to a new CB. Details of this procedure are contained within Document D3 – Clients transferring their certification to a new Certification Body.

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,	Francisco Aldon

		pages 54 to 58, in order to refer to the relevant, up-to-date documents.	
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 “and full revisions of the IFFO RS standard every 5 years in accordance with ISEAL to”	Francisco Aldon
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 maximum period of 3 years without the requirement for re-election' in clause 5.4 in appendix 2	Francisco Aldon
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	Francisco Aldon

		addition of new clauses 8.1, 8.2, 8.3 and 8.4	
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
09/01/2019	1.3	Page 5, paragraph 7, removal of specific references to those who require access to the IFFO R Control Manual. The IFFO RS Control Manual will be publicly available on the IFFO RS website	Libby Woodhatch
09/01/2019	1.3	2.4.3 Change of the responsibly for notifying applicants of changes to the IFFO RS standard to reflect current practice.	Libby Woodhatch
09/01/2019	1.3	Addition of 3.1.12 stating that all fisheries, by-products and RS certified factories will have transitioned to V2.0 of the IFFO RS standard.	Libby Woodhatch
09/01/2019	1.3	Update of clause 3.2.4 to remove the specific of ToR within the main control	Libby Woodhatch

		manual. Instead, readers are directed to the ToR in appendix E3.	
09/01/2019	1.3	Additions of IFFO RS Social and Ethical Committee and IFFO RS Standard Steering Committee (3.2.5 and 3.2.6)	Libby Woodhatch
14/03/2019	1.3	Update of QMS Review Committee to Internal Assurance Committee and its defined role. 3.2.7	Libby Woodhatch
14/03/2019	1.3	Update of IFFO RS role descriptions, separation of Certification Programme Coordinator and Standards Administrator role and addition of Fisheries Science Manager role.	Libby Woodhatch
14/03/2019	1.3	Update of IFFO RS Governance Organisational Structure and removal of 'certification process' flow diagram, section 4, pg 15.	Libby Woodhatch
14/03/2019	1.3	Update of criteria of the QMS committee, section 5.1, now the Internal Assurance Committee, to reflect changes in its governance and role.	Libby Woodhatch
14/03/2019	1.3	Update of section 5.2, Terms of Reference of the Governing Body Committee to be in line with the most up to date GBC Terms of Reference as of September 2018	Libby Woodhatch
14/03/2019	1.3	Insertion of clause 6.1.16 to require CBs to share all audit reports and certificates with the IFFO RS secretariat and renumbering of following clause accordingly.	Libby Woodhatch
14/03/2019	1.3	Removal of clause 6.1.18 in relation to conditions set against fishery raw material or by-product raw material as this is no longer applicable under V2.0 of the IFFO RS Standard.	Libby Woodhatch
14/03/2019	1.3	Updated clause 6.1.22 to specifically state that factory audits and fishery assessments shall be conducted on an	Libby Woodhatch

		annual basis and shall be carried out within no more than 12 months after the prior audit / assessment.	
14/03/2019	1.3	Updated clause 6.2.1 to specifically state that factory audits and fishery assessments shall be conducted on an annual basis and shall be carried out within no more than 12 months after the prior audit / assessment.	Libby Woodhatch
14/03/2019	1.3	Section 6.3 more specific through wording of the difference between fisheries 'assessors' and factory 'auditors'.	Libby Woodhatch
14/03/2019	1.3	Addition of wording to 6.6.1, pre-audit check to clarify all applications forms must be received from the IFFO RS Secretariat.	Libby Woodhatch
14/03/2019	1.3	In 6.6.2 c) Removal of reference to fishery assessment as conditions are no longer placed on fishery approvals. Instead, the opportunity for further evidence is offered before finalization of the fishery assessment. Addition of specifying applicants shall have no more than 1 calendar month to submit further information to overturn the decision of a failed fishery.	Libby Woodhatch
14/03/2019	1.3	In 6.6.2 e) introduction of wording that failed fishery or by-product assessments shall not be passed to an IFFO RS Peer review.	Libby Woodhatch
14/03/2019	1.3	Update of 6.6.3. b) for the certificate information requirements to be in line with appendix A2 of the Control manual.	Libby Woodhatch
14/03/2019	1.3	Made section 6.3 more specific through wording of the difference between fisheries 'assessors' and factory 'auditors'.	Libby Woodhatch
14/03/2019	1.3	Addition of wording to 6.6.1, pre-audit check to clarify all applications forms must be received from the IFFO RS Secretariat.	Libby Woodhatch

14/03/2019	1.3	Removal of FAC1, Fish 1 and Fish 2 from the list of appendices relating to V1.6. FAC 2 has replaced formerly FAC 1 and Fish 2 and Fish 3 have replaced formerly Fish 1.	Libby Woodhatch
14/03/2019	1.3	Removal of Interpretation documents ID1, ID2 and ID3 from the List of Appendices, relating to V1.6. ID4 and ID5 for V2.0 have replace ID1 and ID 2.	Libby Woodhatch
14/03/2019	1.3	Update of Appendix 1, Secretariat Organisational Structure, to include the separation of the certification programme coordinator role and standards admin	Libby Woodhatch
14/03/2019	1.3	Update of Appendix 2, Terms of Reference of the Governing Body Committee to be in line with the most up to date GBC Terms of Reference as of September 2018	Libby Woodhatch
14/03/2019	1.3	Removal of Andrew Jackson, David Parker, Niels Alsted, Peirs Hart and Ally Dingwall from GBC member list of appendix 2 and replaced with Libby Woodhatch, Aisla Jones, Tracy Cambridge, Trygve Berg-Lea to the GBC member list and removal of David Parker, Niels Alsted and Ally Dingwall.	Libby Woodhatch
14/03/2019	1.3	Removal of 'IFFO RS Improvers Programme Acceptance Mechanism' from appendix 3, and renumbered following appendices in accordance.	Libby Woodhatch
Version 2.0 edit (MarinTrust Conversion)			
23/03/2021	V2.0	MarinTrust Header and Footer inserted	Libby Woodhatch
23/03/2021	V2.0	Wording throughout document in reference to IFFO RS update to MarinTrust as applicable.	Libby Woodhatch
23/03/2021	V2.0	Update of full manual to reflect current practice, to refine detail, and direct readers to relevant detailed appendices for full guidance.	Libby Woodhatch

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Interpretation Documents

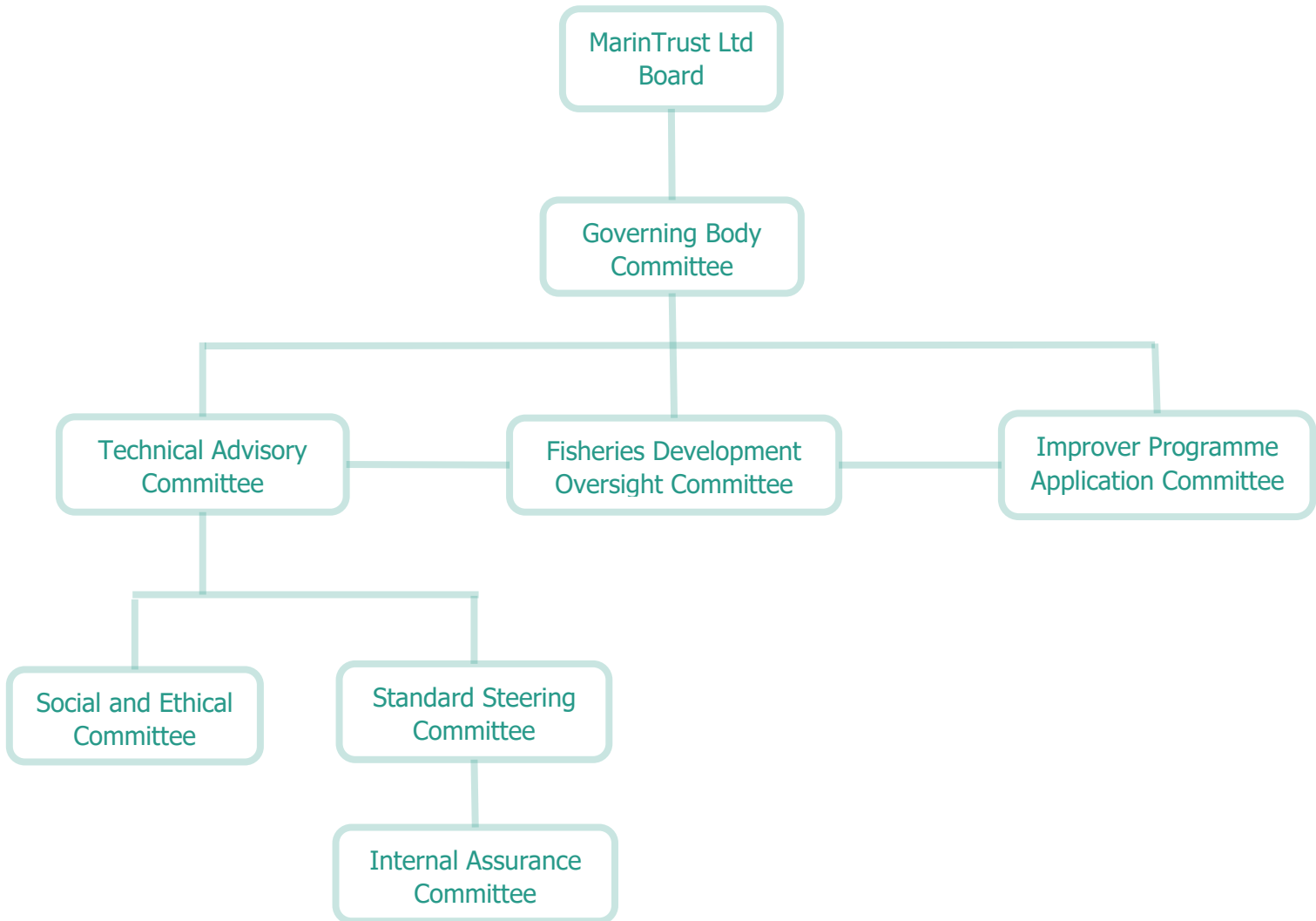
ID1 – MarinTrust Standard V2.0 Auditor Interpretation Guidelines
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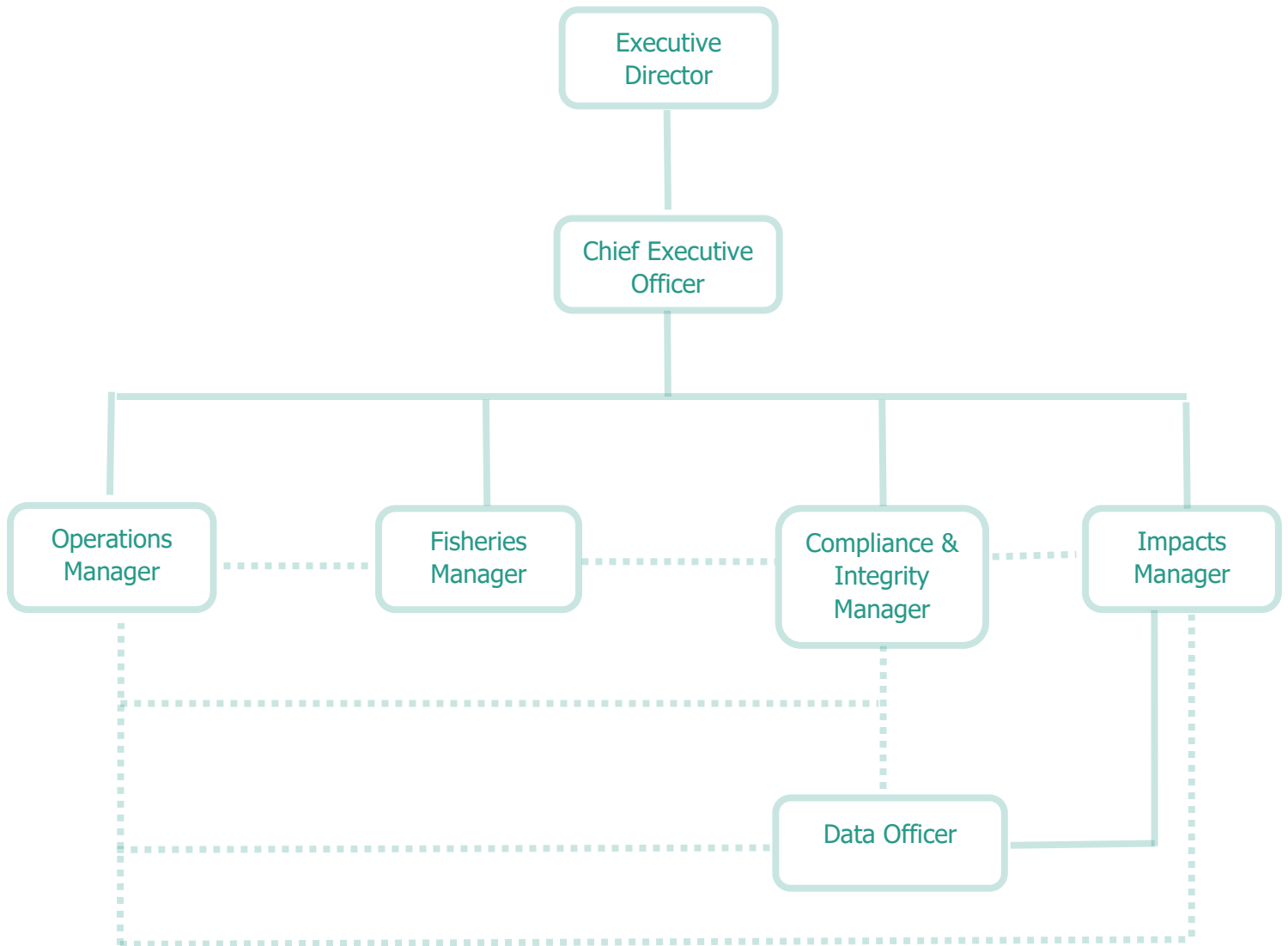
Annex 1

MarinTrust Governance Organisational Structure



Annex 2

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Annex 3

History of the Development of the MarinTrust Programme

The continuing development of the global fishmeal and fish oil markets after 2000 created a growing need for the industry to demonstrate its commitment, and provide assurances, 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 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.

In order to tackle these issues head on and provide stakeholders with a tool to demonstrate responsible practice, the IFFO Governance Board of the Marine Ingredients Organisation put together a multi-stakeholder Technical Advisory Committee in 2008 to develop a business-to-business Global Standard for the Responsible Supply of Marine Ingredients (IFFO RS). It was agreed that the unit of certification would be the fishmeal and fish oil factory. The business-to-business programme would be managed according to the ISO 65 standard, which requires the appointment of independent Certification Bodies to undertake the task of auditing and awarding IFFO RS Certificates.

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.

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.

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 responsibly managed factories, the IFFO RS Governing Body Committee 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.

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 November of 2014 the IFFO RS Governing Body Committee 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.

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

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.

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

By the end of 2019, all IFFO RS certified applicants were certified under V2.0 of the IFFO RS standard. In addition, all Fishery and By-products assessments were also approved under version 2.0 of the IFFO RS Standard.

From there, the Standard has continued to grow and has become the leading Standard in the certification of marine ingredient producer factories. In 2020 it changed its name from IFFO RS to MarinTrust and now certifies more than half of the fishmeal and fish oil produced worldwide. Its Governing Body Committee includes representatives from marine ingredients producers, traders, fish feed producers, fish farmers, fish processors, retailers, marine conservation NGOs and related standards.

In 2020 MarinTrust achieved full ISEAL membership, the global membership organisation for ambitious, collaborative and transparent sustainability systems. It drives collective efforts to

tackle the most pressing sustainability issues and create a world where markets are a force for good.

Back then, MarinTrust also launched the MarinTrust Chain of Custody V2.0 standard with the main objectives being to ensure that full traceability of marine ingredients is maintained throughout the supply chain and to give assurance to a labelled Certified claim on a feed or fish oil product that it uses marine ingredients that originate from a Certified 'MarinTrust Factory'.

In 2020, amid the Covid-19 outbreak, MarinTrust invoked its process on handling remote MarinTrust Factory and MarinTrust Chain of Custody audits.

From 2020-2021 onwards, MarinTrust has been developing V3.0 of the standard, including multispecies assessment criteria, Chain of Custody V2.0 clauses and metric based social and environmental measurements.

Looking to the future, MarinTrust is broadening its scope on social issues to cover crew welfare standards on vessels, as well as concentrating on growing the improve programme and encouraging more fisheries to enter FIPs (Fishery Improvement Projects).

Annex 4

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 MarinTrust Secretariat*

- ✓ New applications – applicants to be contacted within 5 working days
 - Doc A2 Guidelines for CB managing applications to MarinTrust Programme
- ✓ Fishery Assessments (information request/ results) – to produce a review of information document to report to the applicant
 - Doc A3 Guidelines for CB conducting MarinTrust Fishery/By-product Fishery assessments
 - Doc B2 Appointment of MarinTrust Fishery and by-product fishery assessors
- ✓ Factory audit results and certification
 - Doc A2 Guidelines for CB managing applications to MarinTrust Programme
 - Doc A4 Conducting of MarinTrust Factory and Chain of Custody Audits by Registered CBs
 - Doc A5 Issuing and withdrawal of MarinTrust certificates
 - Doc D3 Clients transferring their certification to a new CB
- ✓ Applicant/stakeholder feedback – complaints
 - Doc A6 Appeals and complaints procedure for the MarinTrust Programme

2. Report to secretariat on time

- ✓ Accreditation status
 - Doc D1 CB approval requirements for MarinTrust audits and certification
- ✓ Fishery Assessments results – all final reports post committee decisions will be sent to MarinTrust Secretariat for standard consistency monitoring purposes
 - Doc A2 Guidelines for CB managing applications to MarinTrust Programme
 - Doc B2 Appointment of MarinTrust 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 MarinTrust secretariat for standard consistency monitoring purposes. The certificate should be sent electronically within 1 working day of issuing
 - Doc A2 Guidelines for CB managing applications to the MarinTrust Programme
 - Doc A4 Conducting of MarinTrust Factory and Chain of Custody Audits by Registered CBs
 - Doc A5 Issuing and withdrawal of MarinTrust certificates
 - Doc D3 Clients transferring their certification to a new CB
 - ✓ Applicant/stakeholder feedback – complaints
 - Doc A6 Appeals and complaints procedure for the MarinTrust Programme
 - ✓ Changes to the MarinTrust operating requirements
 - Doc B3 Appointment of MarinTrust Factory and Chain of Custody auditors
 - ✓ Monthly issue of status tracker to MarinTrust Secretariat to include
 - Current status of clients in application
 - 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. Continuous approval and maintain accreditation to the MarinTrust Programme
- Doc D2 Approval criteria for CBs to audit and certify against the MarinTrust Programme
4. CB assessor/ auditor comply with MarinTrust Programme requirements
- Doc A3 Conducting Fishery or By-product Fishery Assessments for Approval to the MarinTrust Standard
 - A4 Conducting of MarinTrust Factory and Chain of Custody Audits by Registered CBs
 - Doc D1 CB approval requirements for MarinTrust audits and certification
 - Doc B3 Appointment of MarinTrust Factory and Chain of Custody Auditors
 - Doc B2 Appointment of MarinTrust Fishery and By-product Fishery Assessors

5. Audit and assessments are consistent with the most up to date MarinTrust standard and Chain of Custody Standard, Compliance with the non-conformity criteria in the interpretation guides
- ID1 – MarinTrust Standard V2.0 Auditor Interpretation Guidelines
 - ID2 – MarinTrust Standard V2.0 Public Interpretation Guidelines
 - ID3 – Fishery Assessment Interpretation Guidance Document V2.0
 - ID4 – By-product Assessment Interpretation Guidance Document
 - ID 5 – Public Interpretation Guidelines for the MarinTrust Chain of Custody Standard V2.0
 - ID 6 – Auditor Interpretation Guidelines for the MarinTrust Chain of Custody Standard V2.0