

# Remote and Enhanced Remote Audit Checklist Tool Use Guidance

This document is intended to help auditors to understand how to use the audit checklist for use during remote audits; in order to support with the careful planning, ensure successful remote audit, and optimise the audit time use.

## Scope

This addendum document of *MarinTrust Process on Handling Remote and Enhanced Remote Factory and MarinTrust Chain of Custody Audits during Extraordinary Events or Circumstances*, describes the criteria for remote audit planning

This document applies to following companies, which have necessity to pass a remote audit:

- MarinTrust certificated facilities
- New applicants/ facilities (that will undergo “enhanced remote audits”)

## Criteria

MarinTrust has created an audit checklist with colour coding by each clause to help identify how each is to be audited and how objective evidence is to be obtained.

1. The colour coding used in the remote audit checklist is described as follows:

Green Documentary Only	Blue Documentary and onsite observation	Orange Only onsite observation
<ul style="list-style-type: none"><li>•Where compliance with a given requirement can be satisfied by documentary evidence alone.</li><li>•Documentary evidences will be request before the audit day</li><li>•Documentary review will be <b>offline, during the scheduled audit days.</b></li></ul>	<ul style="list-style-type: none"><li>•Where compliance to a requirement must be obtained by a combination of documentary evidence (offline) and direct observations by the auditor with the auditee (online).</li><li>•<b>Offline and online</b> (e.g. certified/ non certified product segregation clauses</li></ul>	<ul style="list-style-type: none"><li>•Where compliance with a requirement can only be obtained by direct observations</li><li>•This review is <b>online</b>, between applicant and auditors <b>with ICTs</b> (e.g. observation of equipment/ infrastructure, interviews, even review of some records as part of audit sampling)</li></ul>

Note: Documentary evidence shall be received by the auditor at least **5 working days** prior to the audit date.

The offline and online audit phases shall be reflected in the audit plan. The online audit phase includes production area inspection.

**Pre-planning phase**

The pre-planning phase shall be conducted in line with ISO/IEC 17065:2012 and shall include a brief review of the applicant / certificate holder information to assess the needs of the audit and prepare the audit plan. This shall not make part of the audit time.

**Offline audit phase**

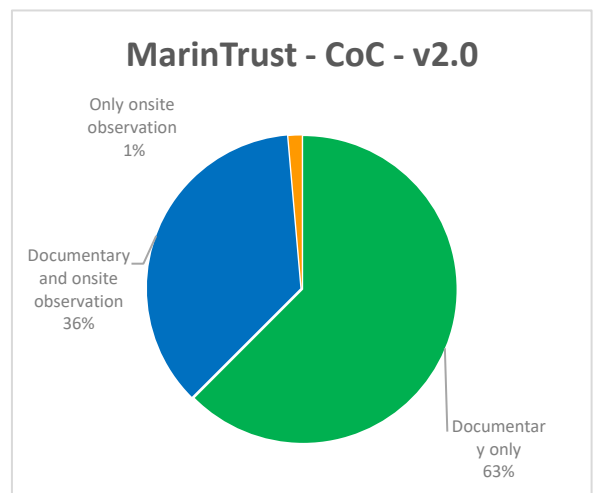
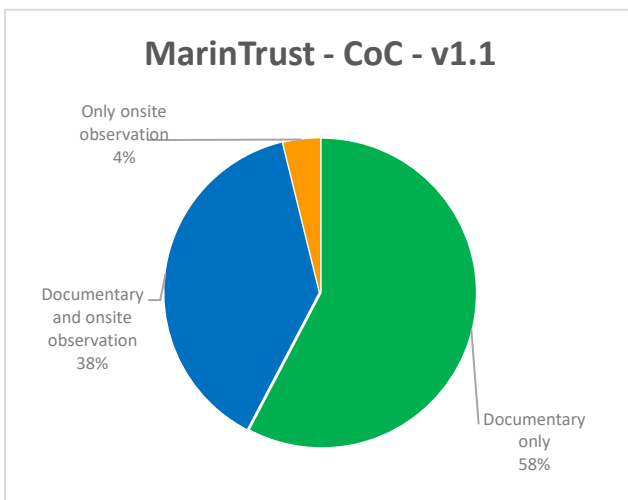
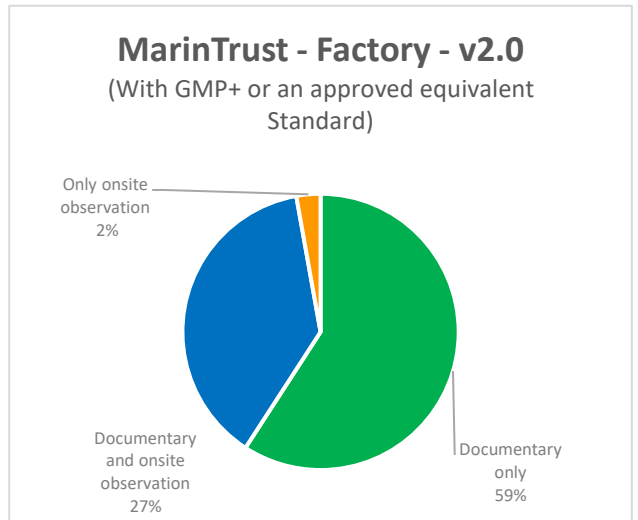
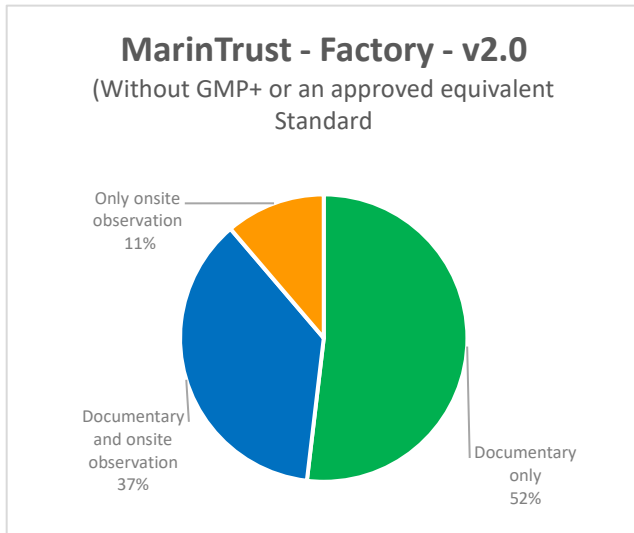
The offline audit phase shall include a review of all documentary evidence provided by the applicant prior to the online phase of the audit. Upon review, where further clarification, evidence, or discussion is required for compliance with the clause, this shall be carried out with the applicant during the onsite phase.

**Online audit phase**

The online audit phase shall include a review of each standard clause with the applicant and inspection of production area and other online review activities.

The technically trained auditor shall attend the full online audit phase in order to provide sufficient support for the lead auditor.

2. The following image shows the proportion of each type of requirements. This helps to illustrate the preparation prior to the remote audit required and support with effective planning.



### 3. Audit phase timing guidance

The table below provides guidance on the timing required for the conducting of remote and enhanced remote audit for the offline and online audit phases.

*It is important to note that these times are indicative only of the minimum time that would be expected to be spent by the auditor at each stage. This may vary depending on the scope and requirement of the facility being audited and more time may be required.*

Standard	Offline Audit Phase (Included in the audit days)	Online Audit phase (Included in the audit days)
<b>MarinTrust Standard V2</b> ( <b>with</b> GMP+ or recognised equivalent)	1 day +	0.5 days +
<b>MarinTrust Standard V2</b> ( <b>without</b> GMP+ or recognised equivalent)	2 days +	1 day +
<b>Chain of Custody V1.1</b> (single site)	1 day +	0.5 days +
<b>Chain of Custody V1.1</b> (multisite)	1.5 – 2 days +	0.5 days +
<b>Chain of Custody V2.0</b> (single site)	1.5 days +	0.5 days
<b>Chain of Custody V2.0</b> (multisite)	2 days +	1 day +

4. The top row of the checklist has filtering options

SECTION 1 – RESPONSIBLE SOURCING PRACTICES				
Ref	Requirement	Details	Type of requirement	
<b>1.2 Responsible Sourcing Policy</b>				
1.2.1	The Applicant shall implement a documented Policy that commits them to the responsible sourcing of fishery material in accordance with this Standard.	FULL COMPLIANCE	The applicant site has a written commitment to the MarinTrust standard and has a document that states that they will only source from approved MarinTrust approved fisheries and by product fisheries for products bearing the MarinTrust statement or logo. This document will need to be approved by the site's CEO or an equivalent senior manager.  If the Raw material is sourced from MSC certified fisheries these are automatically approved fisheries and the applicant will have a documented policy stating this fact.	Documentary only
		CRITICAL NC	N/A	
		MAJOR NC	The applicant has not documented its commitment to the MarinTrust standard	
		MINOR NC	The applicant has a document that states that they will only source from responsible sources for products bearing the MarinTrust statement or logo but the document/policy has not been approved or ratified by the site's CEO or an equivalent senior manager	
2.1.4	All compliant MarinTrust fish meal and fish oil shall be identifiable with a defined positive batch identification system in order to be eligible for identification as compliant with the MarinTrust Standard.	FULL COMPLIANCE	The applicant will demonstrate that all compliant MarinTrust fish meal and fish oil shall be identifiable with a defined positive batch identification system	Documentary and onsite observation
		CRITICAL NC	No System is evident	
		MAJOR NC	System is evident but is not working correctly	
		MINOR NC	System could be improved	
3.2.2.3	Intake facilities shall be designed to ensure that access by birds and other ground pests is eradicated	FULL COMPLIANCE	The facility shall ensure that all reception areas are fully protected from pest activity by the installation of bird mesh screens and all these areas must be kept clean and be in good structural condition to allow for the early detection of any other pest activity	Only onsite observation
		CRITICAL NC	N/A	
		MAJOR NC	N/A	
		MINOR NC	Evidence of access from birds	

## Normative References

The normative documents are as follows:

- Process on Handling Remote and Enhanced Remote Factory and MarinTrust Chain of Custody Audits during Extraordinary Events or Circumstances
- Enhanced Remote Audit Guidance
- Remote and Enhanced Remote Planning Checklist
- Remote Audit Decision Mechanism
- COVID-19 MarinTrust Programme Policy (if still relevant)

## Further Information

For further details, or if further clarification is required, please contact [standards@marin-trust.com](mailto:standards@marin-trust.com).

## Amendment Log

DATE	ISSUE	AMENDMENT	AUTHORISED BY