

# Applicant and Certificate Holder Responsibilities and Guidance for Remote and Enhanced Remote Audits

## Purpose

This document outlines the responsibilities of applicants and certificate holders for remote and enhanced remote audits against the MarinTrust Programme and guidance on auditing options available to them during extraordinary events and circumstances in accordance with *Process on handling remote and enhanced remote MarinTrust Factory and Chain of Custody audits during extraordinary events or circumstances*, and *COVID19 Policy*.

## Auditing options

During an extraordinary even or circumstance, the following requirements shall apply:

1. All certified sites shall be required to have the annual **surveillance audit** to maintain the continuity of their certificate for either the MarinTrust Factory Standard or the MarinTrust CoC Standard. Where an onsite audit is not possible in affected areas<sup>1</sup>, the CB shall conduct a Risk Assessment and follow guidance in table 1.
2. All **recertification applicants** to either the MarinTrust Factory Standard or MarinTrust Chain of Custody Standard whose certification is due to expire within the validity date of the COVID19 policy, shall have their current certificate extended by a period of up to 6 months by their CB from the date of certificate expiry. If an onsite audit cannot be completed within this time, the CB shall conduct a Risk Assessment and follow guidance in table 1.
3. All **new applicants** to the MarinTrust programme will be deemed high risk and will be required to undergo the audit onsite. These shall be processed and made audit ready until the CB can execute the audit onsite following the agreed certification procedures and requirements.

Where an onsite audit is not possible, new facilities to the MarinTrust Programme, who therefore have no previous certification history, may be offered an enhanced remote audit option. The CB shall follow guidance in Enhanced Remote Audit Guidance addendum document and Enhanced Remote audit section within *MarinTrust Factory and Chain of Custody audits during extraordinary events or circumstance* procedure.

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<sup>1</sup> “Affected areas” are considered those countries, provinces, territories or cities experiencing ongoing transmission of COVID-19, in contrast to areas reporting only imported cases.”

<https://www.who.int/emergencies/diseases/novel-coronavirus-2019/travel-advice>

Prior to being offered a remote or enhanced remote audit, the CB shall determine the risk of continuing certification in line with the *Risk Assessment approach for MT remote audits*.

Table 1 below outlines the remote auditing options available to upon allocation of risk.

**Table 1** Remote audit options following final risk categorisation.

		Audit type	
		Surveillance	Re-certification
Risk	Low	<ul style="list-style-type: none"> <li>Audit(s) can be conducted remotely, with video technology with an interactive capability.</li> <li>If 2 consecutive surveillance audits have been conducted remotely, the next recertification audit will be required to be onsite.</li> </ul>	<ul style="list-style-type: none"> <li>Audit(s) can be conducted remotely, with video technology with an interactive capability if only the 1 previous surveillance audit was conducted remotely. The next audit will be required to be onsite to verify MarinTrust clause requirements that cannot be verified (or only partially verified) remotely.</li> <li>Where the 2 previous surveillance audits were conducted remotely, the recertification audit must be onsite.</li> </ul>
	Medium	<ul style="list-style-type: none"> <li>Audit can be conducted remotely if the previous audit was conducted onsite. However,               <ul style="list-style-type: none"> <li>- an onsite audit must be conducted within 6-months to provide assurance that clause requirements not able to be assessed (or only partially verified) remotely are fully complied with.</li> <li>- If during the remote audit it was possible to fully verify all clauses of the relevant standard the following onsite audit shall follow the normal audit frequency of 12 months and must be conducted onsite.</li> </ul> </li> <li>Where the previous audit was conducted remotely, a second remote audit may be conducted remotely provided the video technology used at the previous audit allowed all criteria to be assessed fully. The next audit shall be conducted onsite within 12 months.</li> </ul>	<ul style="list-style-type: none"> <li>Audit can be conducted remotely if the previous audit was conducted onsite. However,               <ul style="list-style-type: none"> <li>- an onsite audit must be conducted within 6-months to provide assurance that clause requirements not able to be assessed (or only partially verified) remotely are fully complied with.</li> <li>- If during the remote audit it was possible to fully verify all clauses of the relevant standard the following onsite audit shall follow the normal audit frequency of 12 months and must be conducted onsite.</li> </ul> </li> <li>Where the previous audit was conducted remotely, a second remote audit may be conducted remotely provided the video technology used at the previous audit allowed all criteria to be assessed fully. The next audit shall be conducted onsite within 12 months.</li> </ul>
	High	<p>Audit <b>cannot</b> be undertaken remotely, however, the CB may contact MarinTrust secretariat directly to discuss options if applicable. An <b>enhanced</b> remote audit may be offered.</p>	<p>Audit <b>cannot</b> be undertaken remotely, however, the CB may contact MarinTrust secretariat directly to discuss options if applicable. An <b>enhanced</b> remote audit may be offered.</p>

### Subcontracted Facilities

All subcontracted facilities may undergo remote audit in line with the risk assessment result of the main unit of certification.

Subcontracted facilities must be included in the remote audit request form submitted to MarinTrust for prior approval in order to undergo remote audits.

Subcontracted facilities that already hold MarinTrust Chain of Custody Certification will not be required to be audited in full, on a remote basis, under the scope of the main facility.

For subcontracting facilities associated with **new applicants**, subcontracted facilities under the scope of the main unit of certification will not be required to undergo an **enhanced** remote audit and may be audited fully remotely.

## Applicant Responsibilities and Guidance

Applicants and Certificate Holders to the MarinTrust Programme have responsibilities in associated with remote and enhanced remote audits in order to allow the audit to be conducted in a robust manner, efficiently, and effectively.

The below criteria outline the requirements and responsibilities of facilities that must adhere to in order to partake in remote and enhanced remote audits:

- New facilities undergoing initial audit via an enhanced remote audit shall ensure that the facility is in production during the **online audit phase**.
- The applicant shall ensure that all relevant personnel are available during the **online audit phase**.
- The applicant shall share all requested documentary information with the Certification Body at least **5 days prior** to the audit date. This is an essential requirement for the **offline audit phase**. For further guidance on the documentary evidence, please refer to the checklists available on the MarinTrust website [here](#).
- The applicant shall share all requested documentary evidence with the Certification Body via the Certification Bodies secure online platform or to a secure auditor email associated with the Certification Body of choice. Documents may be shared in 'read only' format for further secure confidentiality.
- The applicant should ensure the availability of ICT tools (connection, other), even in the production area. If this is not possible in the production area, they shall communicate any issues prior to the audit date to agree alternatives to manage this.
- The applicant should be aware that audit time could be increased if there is any issue during the audit related to ICT tools issues.

Where applicants and certificate holders do not comply with the responsibilities as part of the remote or enhanced remote audit process the Certification Body reserves the right to reject, suspend, or withdraw certification and/or require a full onsite audit in order to achieve or maintain certification status.

