



Conducting MarinTrust Fishery or By-product Assessments by Registered Certification Bodies

Document A3 – Version 3.0

Issued October 2022 – Effective November 2022

Purpose

This document provides guidance for registered Certification Bodies (CB) for the carrying out of MarinTrust fishery and by-product fishery assessments to safeguard the efficiency, consistency, and reporting of all assessment reports.

Scope

This document outlines the procedure to be applied to all MarinTrust fishery and by-product assessments carried out by registered CBs.

This does not include Fishery Improvement Projects (FIPs) peer review assessments as part of the MarinTrust Improver Programme or the monitoring and verification of MSC claims and verification. Please refer to the Improver Programme Acceptance Mechanism (IPAM) document for further information on the conducting of FIP assessments and MSC Verification guidance documents.

1. Process for carrying out fishery and/or by-product assessments

1.1 Application review of assessment requirements

As part of the application and acceptance process, the CB fishery assessment team shall be responsible for carrying out an initial review of the assessment requirements included in the approved application form received from the MarinTrust Secretariat, for further information please refer to document A2 – *Guidelines for Certification Bodies managing applications for certification to the MarinTrust Programme*.

All fishery and by-product assessments are monitored and allocated in accordance with Document A12 – *Procedure for the monitoring and allocation of fishery and by-products assessment*.

1.2 The Assessment

The CB shall assign an approved fishery assessor, in accordance with MarinTrust Control Document B3 - *Procedure for Appointment, Training, and Approval of Certification Body Personnel involved in the assessment, audit, and certification process*, to carry out the fishery and/or by-product assessment.

The assessment shall be conducted against the current fishery and/or by-product assessment criteria, and in compliance with the relevant MarinTrust fishery interpretation document (ID3) and/or MarinTrust by-product interpretation document (ID4).

For all assessments, including annual surveillance, the assessor shall ensure that all are assessed, rating each clause to determine its compliance with the MarinTrust fishery/by-product fishery interpretation documents and give an approval recommendation.

All fishery and by-product fishery assessment reports shall be completed using the fishery / by-product fishery assessment report template (FISH1 or FISH2).

All recommended assessment results from the fishery assessor shall be recorded utilising a binary system of pass or fail, as follows, and shall be substantiated with evidence against each assessment criteria:

- **Approve** the Fishery or By-product Fishery as raw material for use in MarinTrust certified factories as it has achieved a pass rating to the MarinTrust Fishery/By-product Fishery Approval Criteria.
- **Do not approve** the Fishery or By-product Fishery should it have a fail rating in one or more clause in the MarinTrust Fishery/By-product Approval Criteria

Upon completion of the assessment, all approved assessment reports shall be submitted to the CBs Internal Peer Review in line with Section 1.3 outlined below.

In the case of a recommendation decision of do not approved, the assessment shall be sent to the relevant applicant/certificate holders as a “Client Draft” to ensure that all the evidence on the fishery has been evaluated. A period time as determined by the CB, but shall be no longer than one calendar month, shall be given to relevant applicant/certificate holder to provide further evidence that may affect the compliance rating given to the MarinTrust Approval Criteria.

The CB shall assess all further information provided by the relevant applicant/certificate holders and finalise the assessment determination and shall submit the report to the CBs Internal Peer Review in line with Section 1.3 outlined below.

1.3 The CB Internal Peer Review

To ensure that the fishery or by-product assessments have been carried out in accordance with this procedure and assessment criteria, and to confirm or not the approval recommendation from the evidence provided, assessment shall undergo internal review by the CB.

The CB personnel undertaking this task shall be assigned in accordance with requirements outlined in Document B3 – *Procedure for Appointment, Training, and Approval of Certification Body Personnel involved in the assessment, audit, and certification process.*

The CB shall send the finalised DRAFT assessment report to the MarinTrust Fishery Science Manager or delegated/responsible person.

All whole fish assessments shall undergo further, independent review by the Fishery Assessment Peer Review Group (FAPRG) process, to review and concur or disagree with the decision. This process is governed by the Fishery Assessment Peer Review Group.

All by-product assessments are not required to undergo further, independent review by the FAPRG, however, MarinTrust shall select at random no less than 10% of by-product assessments conducted by each CB for FAPRG review within a 12-month period.

Where the decision of the FAPRG is to agree with the recommendation the final assessment report shall be distributed in accordance with Section 1.4 outlined herein.

Where the decision of the FAPRG is not to agree with the recommendation, the CB shall either:

- Request the fishery assessor to investigate more evidence to provide more assurance to the compliance rating given, or
- In the case of recommendation of do not approve, recommend the process of approval is stopped for a period of up to 12 months from the assessment date, as determined by the CB, until further evidence will be made available. If this period elapses the applicant will have to resubmit the fishery/by-product fishery for a completely new assessment.

1.4 Distribution of Final Assessment Reports

Upon finalisation of the assessment report, whether a recommendation of approve or do not approve, the report shall be shared with the MarinTrust Fisheries Science Manager, or delegated/responsible person, for record keeping, calibration, and research purposes.

All assessments recommended for approval shall be published on the MarinTrust website by the Operations Manager or delegated/responsible person.

1.5 Assessment frequency

The CB is responsible for the scheduling of assessments in accordance with document A12 – Procedure for the monitoring and allocation of fishery and by-product assessments.

The approval status of a fishery and/or by-products shall be valid for 3 years upon successful surveillance assessment results. The assessment cycle of assessments shall consist of:

- Initial assessment (year 1)
- Surveillance 1 (year 2)
- Surveillance 2 (Year 3)
- Reapproval

All initial whole fish fishery assessments shall be conducted within 3 months of acceptance of the approved application form, and all by-products within 1 month.

To maintain continuity of the assessment cycles, all surveillance/reapproval assessments shall be carried out within 12 months of the previous assessment date.

Where an assessment cannot be conducted in compliance with the assessment frequency, the CB shall inform the MarinTrust Fishery Science Manager, or delegated/responsible person, no less than 1 month in advance of the assessment due date to discuss the most appropriate next steps, ensure that the approval status is not compromised, and reduce the effect this may have on applicant and certificate holders.

2. Records

A copy of the final fishery and/or by-product assessment report, internal peer review results, and correspondence conveying the MarinTrust FAPRG comments shall be held for a period of 5 years.

The CB shall keep an up-to-date fishery and by-product assessment schedule, in line with the *Procedure for allocation and monitoring of fishery and by-product assessments*, to ensure accurate traceability and records.

3. Assessor Conduct

All assessors, whether for initial, surveillance, or reapproval assessment shall declare to the CB, which may give rise to a conflict of interest with respect to the fishery and/or by-product they have been requested to assess in line with ISO/IEC 17065:2012. Each assessor shall confirm that they will notify the CB should such a situation arise through a signed Conflict and Confidentiality Declaration Form.

AMENDMENT LOG

DATE	ISSUE	AMENDMENT	AUTHORISED BY
13/11/2015	1.1	Introduction of IFFO RS logos, IFFO RS Ltd.	Francisco Aldon
21/01/2016	1.5	Addition of wording in 1.1, first paragraph <i>“To aid this there is a Data Gathering Guidance document for Fishery Assessments where Applicants can find and submit information and evidence via the IFFO RS website.“</i>	Francisco Aldon
28/01/2016	1.5	Updating of document names in 1.2 second paragraph <i>“IFFO RS Fishery Interpretation Document 2 (ID2) IFFO RS Fishery Assessment Detailed interpretation Document (current version) or with the IFFO RS By-product Interpretation Document 3 (ID3) – By-products Fishery Assessment Detailed Interpretation Document (current version).“</i>	Francisco Aldon
12/09/2017	1.6	Updating of <i>“for Fishery Assessments can be found by Applicants on the IFFO RS website (click here) and evidence should shall be submitted to the Certification Body directly.”</i> On page 1, first paragraph	Francisco Aldon
12/09/2017	1.6	Updating document reference to align with the changes due to the launch of version 2.0 <i>“current, relevant version of the IFFO RS standard*“</i> on page 1, second paragraph	Francisco Aldon
12/09/2017	1.6	Updating of document references to align with the changes due to the launch of V2.0 <i>“The Assessment will be conducted against the current, relevant issue of the IFFO RS standard* and will be in compliance with the relevant IFFO RS Fishery Interpretation Document 2 (ID2) or with the IFFO RS By-product Interpretation Document 3 (ID3), or IFFO RS Fishery Assessment Interpretation Guidance Document (ID5). All Fishery and By-product Fishery Reports will use an Approved Fishery / By-Product Fishery Assessment Report format (FISH1, FISH2 or FISH3).“</i>	Francisco Aldon
12/09/2017	1.6	Rewording of the third paragraph in section 1.2 on page 2 from ‘All assessments will be recorded as Highly	Francisco Aldon

		Complaint, Medium Compliant, or Low Compliant' to read 'All assessments will be recorded utilising a binary system of pass and fail against	
12/09/2017	1.6	Updating of the recommendations from the Fishery Assessor to align with version 2.0 in section 1.2 page 2	Francisco Aldon
12/09/2017	1.6	Addition of the wording 'or the time period the CB deems necessary' to the final paragraph in section 1.2 on page 2	Francisco Aldon
12/09/2017	1.6	Addition of the wording 'or the time period the CB deems necessary' to the final paragraph in section 1.3 on page 3	Francisco Aldon
12/09/2017	1.6	Addition of " <i>*Current, relevant issue refers to IFFO RS standard Version 1.6 and IFFO RS standard Version 2.0 as both versions are running whilst the transition period from Version 1.6 to Version 2.0 is in process. More information about the transition period can be found here.</i> " On page 3	Francisco Aldon
13/11/2015	1.1	Introduction of IFFO RS logos, IFFO RS Ltd.	Francisco Aldon
Version 2 edits (MarinTrust conversion)			
08/03/2021	2.0	MarinTrust Header & Footer inserted	Libby Woodhatch
08/03/2021	2.0	Wording throughout document amended to read 'MarinTrust' or 'MarinTrust Programme' where applicable in line with rebranding	Libby Woodhatch
24/03/2021	2.0	Removal of reference to V1.6 and V2.0 of the IFFO RS Standard in final paragraph, section 1.6	Libby Woodhatch
24/03/2021	2.0	Removal of reference to IB throughout document.	Libby Woodhatch
10/06/2022	3.0	Update of scope to reflect current practice.	Governing Body Committee
10/06/2022	3.0	Update of section 1.1 to incorporate a review of assessment requirements and scheduling instead of a 'pre-assessment check', and further guidance on roles, responsibilities, timeframes, and associated supporting documents.	Governing Body Committee
10/06/2022	3.0	Addition of further detailed guidance for conducting the fishery and/or by-product assessment in line with associated supporting documents and templates, and assessment determination and follow up to section 1.2	Governing Body Committee
10/06/2022	3.0	Addition of further detailed guidance on the CB internal peer review, and	Governing Body Committee

		associated supporting documents, recommendations and follow up, to section 1.3	
10/06/2022	3.0	Addition of detailed guidance on the ' <i>Distribution of final assessment report</i> ' – section 1.4	Governing Body Committee
10/06/2022	3.0	Addition of detailed guidance on ' <i>Assessment Frequency</i> ' – section 1.6	Governing Body Committee
10/06/2022	3.0	Addition of assessment schedule requirements to records, section 2, in line with the <i>Procedure for allocation and monitoring of fishery and by-product assessments</i> , to ensure accurate traceability and records.	Governing Body Committee