



Certification Body (CB) Approval Requirements for MarinTrust Audits and Certification

Document D1 – Version 3.0

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Reviewed by: Technical Assurance Committee

Approved by: Governing Body Committee

Introduction

The MarinTrust Programme is owned by the MarinTrust Governing Body Committee (GBC) and operated by the MarinTrust Secretariat. The Programme certifies that marine ingredients, such as fishmeal and fish oil, are manufactured responsibly and produced from fishery material supplied from responsibly managed fisheries.

The Programme consists of a set of standards applicable for marine ingredient producers and the chain of custody of compliant material through the supply chain.

This document describes the requirements necessary for certification bodies (CBs) to apply and become successfully registered to carry out auditing, assessment, and certification services on behalf the MarinTrust Programme.

Only CBs that are registered and formally recognised by MarinTrust are authorised to conduct factory or Chain of Custody audits and fishery /by-product assessments against the MarinTrust programme.

Scope

The scope of CB approval requirements is for the auditing, assessment and certification, or acceptance in the case of the Improver Programme, activities under the MarinTrust Programme.

1. Certification Body registration with MarinTrust

CBs wishing to apply to be formally registered to certify, and grant acceptance in the case of Improver Programme, against the MarinTrust Programme standards shall:

- 1.1.1.** Be able to meet with all the requirements as outlined within this document, including, but not limited to, the competency and training requirements for CB personnel and individual auditors and assessors.
- 1.1.2.** Apply for formal registration in accordance with document D2 – *Procedural approval criteria for Certification Body applicants wishing to apply for approval to audit and certify against the MarinTrust Programme.*
- 1.1.3.** Have a global reach for the provision of audit, assessment, and certification services for the MarinTrust Programme, with an emphasis on ensuring a geographical coverage in all regions but particularly Europe, Asia, and Africa.

2. General requirements

2.1. Organisational structure

In accordance with ISO/IEC 17065 accreditation and MarinTrust Quality Management System (QMS) requirements the CB shall:

- 2.1.1.** Identify and clearly document ownership and organisational structure, roles, responsibilities, accountability and authorisations of management, personnel and committees involved in the management, operations, and decision making of the certification process which shall include the lines of authority and associated parties.
- 2.1.2.** Ensure that all certification activities are structured to safeguard impartiality and shall have established processes and procedures for the appointment, terms of reference, and operations of all contracted and subcontracted CB personnel and committees, in accordance with ISO/IEC 17065 and MarinTrust standard and QMS requirements.

2.2. Quality Management System

As part of the application for registration, the CB shall:

- 2.2.1.** Be able to demonstrate, through the provision of evidence, that it has a fully documented and implemented QMS and a defined Management Structure, which shall be in accordance with accreditation and MarinTrust standard and programme requirements which shall include, at a minimum, the following key elements:
 - A documented procedure for the management of personnel (contracted and subcontracted). involved in fishery assessment, facility audits, and/or certification activities on behalf of the Programme which shall include:
 - the determination of criteria and training needs
 - the determination of competence of personnel
 - the granting of formalised approval and authorisations
 - the ongoing monitoring of competence and performance
 - A description of how the CB will manage the certification process, including precertification activities, planning, conducting, and reporting of fishery assessments and facility audits, technical review, and certification decision processes.

- Procedures for actions taken in response to any nonconformity raised during an audit or a failed clause in a fishery assessment are required, to evaluate the effectiveness of agreed objective evidence presented, or corrective or preventative actions taken by the applicant.
- Procedures in relation to the use of the MarinTrust Programme certificates, rules for issuing, suspending, or withdrawing the certificate, and the actions taken by the CB should a suspension or withdrawal need to take place.
- Policies and procedures in response to appeals, complaints and disputes shall be documented.
- Record Control Procedures which shall outline the process and requirements for the collection, use, protection, storage, holding and destruction of records in line with accreditation and legal requirements.
- Document Control Procedures which shall specify:
 - a) Approval documents for adequacy prior to issue.
 - b) Review and update as necessary and re-approve documents.
 - c) That changes and the current revision status of documents are identified.
 - d) That relevant versions of applicable documents are available at points of use.
 - e) That documents remain legible and readily identifiable.
 - f) Those documents of external origin determined by the organisation to be necessary for the planning and operation of the CBs Quality Management System are identified and their distribution controlled.
 - g) The prevention of the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.
- Procedures for conducting and documenting internal audits of its QMS policies, processes, and procedures to verify compliance with accreditation and MarinTrust Standard and Programme requirement. This shall be conducted no less than once every 12 months and take into consideration the results of any corrective actions of previous audits.

2.2.2. Have a system in place to ensure that all auditors, assessors, and CB personnel (contracted and subcontracted) conduct themselves in a professional manner. The following provide examples of required behaviour:

- Impartial, i.e., unbiased, treats all equally
- Ethical, i.e., fair, truthful, sincere, honest and discreet.
- Open minded, i.e., willing to consider alternative ideas or points of view.
- Diplomatic, i.e., tactful in dealing with people.
- Observant, i.e., actively aware of physical surroundings and activities.
- Perceptive, i.e., instinctive, aware of and able to understand situations.
- Versatile, i.e., adjust readily to different situations.
- Tenacious, i.e., persistent, focused on achieving objectives.
- Decisive, i.e., timely conclusions based on logical reasoning.
- Self-reliant, i.e., acts independently whilst interacting effectively with others.
- Integrity – aware of need for confidentiality and observing professional code of conduct.

2.2.3. Have a Policy in place which outlines management commitment to ensuring the provision, implementation, and maintenance of its Quality Management System (QMS) policies, processes, and procedures in accordance with ISO/IEC 17065 accreditation and MarinTrust standard and Programme requirements, and shall clearly identify and assign responsibility, accountability, and authority for the provision, implementation, and maintenance of QMS policies, processes, and procedures.

2.2.4. Ensure that the CB's QMS is subject to annual review to ensure continuous improvement in the quality of services provided by the CB.

2.2.5. Be able to demonstrate that the fully documented QMS and associated policies and process, and procedures are made available to all personnel for the effective, impartial, and consistent implementation, maintenance, and control of certification activities.

2.2.6. Have procedures to ensure sufficient resources to undertake fishery assessments, facility audits, and/or certification activities on behalf of the Programme upon entering a contractual arrangement with Marine Ingredients Certifications Ltd.

2.2.7. Have established policies and procedures for the management of impartiality which shall include a process to identify, monitor, mitigate and document risks arising in relation to the impartiality or conflict of interest.

2.2.8. Have policies and procedures in place for data handling and sharing with MarinTrust. This includes data necessary to process applications, the sharing of outcomes of fishery and by-product assessment, audits and audit reports .

3. Legal arrangement

3.1. CB Legal and financial responsibility requirements

The CB shall:

- 3.1.1.** Be a legal entity and shall be responsible for all certification activities.
- 3.1.2.** Have the sole authority for decisions relation to certification, which shall include the issuing, suspension, withdrawal, expansion, and reduction of scope of certificates of compliance.
- 3.1.3.** Ensure that it has evaluated and is able to demonstrate its ability to adequality cover liabilities arising from the provision of certification services on behalf of the Programme, which shall include all operational activities and geographical areas.

4. Contractual Arrangements

Marine Ingredients Certifications Limited, CB, and applicant/certificate holder shall enter legally enforceable contractual arrangements in accordance with ISO/IEC 17065 and MarinTrust QMS requirements. Such agreement shall include, at a minimum, the following topics:

- Prohibitions against conflict of interest.
- The requirement to divulge to the CB any potential conflict of interest (such as prior consulting, prior employment, and the like) before undertaking a factory audit or fishery assessment, or that may arise during the audit or assessment.
- A policy for the CB to investigate notifications of, or incidences of, potential conflict of interest and to exclude the auditor/assessor for a specific period where appropriate.
- Prohibitions against consulting for or soliciting - consultancy or other types of work with an MarinTrust programme applicant prior to, or during a factory audit or a fishery assessment, and during the Certification Process.
- Prohibitions against conduct or remarks that may, in the view of MarinTrust, disparage the Programme, Programme Management or Owner and related personnel, Certified Facilities, or associated Organisations e.g., CBs or accreditation bodies (AB).
- Prohibitions against using or sharing confidential information from the applicants audited and assessed.
- The CB shall include in the Auditor Agreements, as a minimum the above points, including specific Codes of Ethics/Conduct Obligations as outlined herein. Copies of these Agreements shall be provided to MarinTrust Secretariat upon request.
- The CB shall include in the Fishery Assessor Agreements, as a minimum the above points, including specific Codes of Ethics/Conduct Obligations as outlined herein. Copies of these Agreements shall be provided to MarinTrust Secretariat upon request.
- Any potential breaches of these requirements that come to the attention of MarinTrust by the

CB or its auditors/assessors will be brought to the CB to formally discuss. Conversely, the CB is required to also notify MarinTrust of such matters that may come to their attention.

4.1. CB contractual arrangements with Marine Ingredients Certifications Ltd

- 4.1.1. Upon formal registration, the CB shall be required to enter into a legally enforceable contractual agreement with Marine Ingredients Certifications Ltd. The agreement will provide the basis with which the CB may undertake audit, assessment, and certification services on behalf of the MarinTrust Programme. The contractual agreement shall not constitute a guarantee of certification business.
- 4.1.2. The contractual agreement shall stipulate the terms and responsibilities of each party with respect to conducting assessments, audits, and certification services on behalf MarinTrust Programme.

4.2. CB contractual arrangements with applicants for certification and certificate holders

- 4.2.2. The CB shall ensure that a legally enforceable contract is in place with all applicants and certificate holders prior to the authorisation and provision of any fishery assessment and/or audit and certification activity, in line with ISO/IEC 17065 requirements, and shall include:
 - Notification to the applicant that the CB is bound to provide MarinTrust with information associated with audit/assessment results, certification decisions, and certification status.
 - Requirements in relation to the use of MarinTrust logo and certification claims.

4.3. CB contractual arrangements with own personnel and contracted and subcontracted auditors/assessors

- 4.3.1. The CB shall have written agreements with all external auditors and technical experts (known herein as 'subcontracted') which shall include all aspects relating the confidentiality, impartiality, and conflict of interest in accordance with ISO/IEC 17065.
- 4.3.2. The CB shall have in place written agreements with all personnel involved in the certification process which obligates them, at a minimum, to the requirements listed below. The CB shall further have agreements in place with all its auditors, including its subcontracted auditors.
- 4.3.3. The CB shall ensure that all audits and fishery and by-product assessments are conducted in

line with requirements specified in document A4 – *Conducting of MarinTrust Factory & Chain of Custody audits by Registered Certification Bodies (CBs)* and document A3 – *Conducting MarinTrust Fishery or By-product Fishery Assessments by Registered Certification Bodies* regarding conduct and behaviour.

5. CB accreditation requirements

5.1. Accreditation prerequisites

- 5.1.1.** CBs wishing to apply for formal registration shall as a pre-requisite be accredited to ISO/IEC 17065:2012 Conformity assessment - Requirements for Bodies Certifying Products, Processes and Services by an Accreditation Body that is a signatory member of the International Accreditation Forum (IAF) multilateral recognition arrangement (MLA).
- 5.1.2.** Have a named representative responsible for dealing with all aspects of MarinTrust Standards accreditation and be knowledgeable of the entire MarinTrust Programme. This person shall be named and their position in the CB recorded on the application document. If this named representative leaves the employment of the CB or moves to a different role, the CB shall inform the MarinTrust secretariat in writing and provide the name and details of a replacement, within a period of 5 working days.

5.2. Accreditation scope

- 5.1.3.** All CBs shall be required to extend their scope of accreditation to include all standards under the Programme within 18 months of formal registration. The CB shall be able to provide documentation that confirms that they have a current and active application with the Accreditation Body (AB) for an extension to their current accreditation scope against ISO/IEC 17065:2012 to include the relevant MarinTrust Standard.
- 5.1.4.** The CB shall demonstrate it is able to carry out assessment, audit, and certification activities and services in accordance with MarinTrust standard and programme requirements as part of the process for extending their accreditation scope. Registered CBs shall be required to carry out at least 5 but no more than 10 evaluations, prior to achieving extension of accreditation to include the MarinTrust programme.
- 5.1.5.** CBs in application for extension to their accreditation, shall use the terminology 'Accreditation in Application' to all those applicants they certify until the accreditation extension is granted.
- 5.1.6.** CBs shall also be required to ensure that all new MarinTrust standards or standard versions are included within their scope of accreditation within 18 months of the new standard or version being approved by the GBC.
- 5.1.7.** The CB, at any time, shall inform the MarinTrust Secretariat of any change of accreditation status or changes to ownership, management structure or personnel involved in the

provision of certification services on behalf of the MarinTrust Programme that may affect accreditation within 24 hours.

- 5.1.8.** Where the accreditation scope for the inclusion of MarinTrust programme is not achieved and/or granted within the timelines specified herein, or otherwise agreed, the CB's registration with Marine Ingredients Certifications Ltd may be invalidated and re-registration may not be offered until further evidence of the commitment to achieve the scope requirements provided.

6. Resource requirements

The CB shall:

- 6.1.** Ensure it has sufficient, competent personnel (contracted and/or subcontracted) to cover all fishery assessment, audit, and certification services for the Programme in accordance with ISO/IEC 17065 and MarinTrust QMS requirements.
- 6.2.** Have a certification committee, or delegated/responsible person, that shall review all information and results related to the audit. Recommendations for a certification decision based on the review shall be documented. This committee shall be adequately staffed to ensure timely reviews and decision-making.
- 6.3.** Ensure all personnel (contracted and/or subcontracted) undertaking fishery/by-product assessment, audit, or certification activities, including peer and technical reviewers, have the relevant and appropriate knowledge and expertise of the industry sector and geographical scale (global) covered under the Programme in accordance with ISO/IEC 17065 and MarinTrust QMS requirements.
- 6.4.** Be able to demonstrate the competencies which shall include, but not limited to, the following:
- Technical skills
 - Qualifications
 - Experience
 - Training
 - Authorisations and approvals

The importance of demonstrable competency and must extend to the areas of the MarinTrust programme against which the CB will be conducting fishery assessments, factory audits, and certification activities.

6.5. All personnel (contracted and/or subcontracted) involved in fishery assessment, audits, and/or certification activities on behalf of the Programme have been appointed, trained, and approved in accordance with ISO/IEC 17065 and MarinTrust requirements outlined in document B2 – *Procedure for the appointment, training, and approval of Certification Body auditors, assessors, and trainer*, which includes requirements for:

- Qualifications, training, and experience.
- MarinTrust Standards Training.
- MarinTrust exams.
- Calibration / witness & shadow.
- Ongoing training.
- Ongoing monitoring of competency and performance.

6.6. Personnel (contracted and/or subcontracted) that **have not** been approved in accordance with ISO/IEC 17065 and MarinTrust QMS requirements **are not** used at any time to undertake fishery assessment, audit, or certification activities on behalf of the Programme.

6.7. Maintain a detailed, up to date record of all relevant personnel (contracted and subcontracted) in accordance ISO/IEC 17065 and MarinTrust QMS requirements, which shall include, but not limited to, the following:

- Name and contact information
- Organisation and position held
- Qualifications
- Experience and training
- Competency evaluation
- Approvals and authority held with the CB
- Monitoring and assessment of competency and performance
- Affiliations, professional status, and any relevant consultancy to identify any possible conflict of interest or risks to impartiality.

Note: Personnel utilised by the CB to conduct auditor/assessor training, calibration and competency reviews shall also demonstrate proper experience, training, and competencies as described above and be recognised by the MarinTrust programme within the CB.

These records shall be made available to the MarinTrust Secretariat and supplied on request and in accordance with the Quality Management System requirements.

7. Communication

MarinTrust welcomes communications with CBs and information exchange. MarinTrust will, from time-to-time, seek CB input into the MarinTrust programme, related documents, and on the auditing, assessment, and certification processes.

MarinTrust recognises the importance of accreditation during the development of the Programme and certification process. It has consulted with experienced CBs, ABs, and relevant stakeholders to ensure that all requirements of relevant certification are met. MarinTrust will continue to liaise with all approved CBs and ABs (as appropriate) in the further development of the Programme.

The CB must agree and communicate to MarinTrust at least the following:

- All offices that offer to make certification decisions, and/or issue certification to MarinTrust programme shall be duly registered with MarinTrust and with their AB.
- Each auditor is qualified to perform the auditing services he/she performs on behalf of the CB in accordance with the criteria set out herein and other related MarinTrust programme documents and has complied with all training and competency requirements.
- Each assessor is qualified to perform the fishery assessment services he/she performs on behalf of the CB in accordance with the criteria set out herein and other related MarinTrust programme documents and has complied with all training and competency requirements.
- The person(s) in the CB who is the designated trainer and monitor of MarinTrust approved auditors and fishery assessors.
- It maintains an accurate record of the qualifications of each auditor/assessor and the training undertaken by such auditor/assessors.
- Any changes in key personnel- named representative and trainer who are engaged by the CB to manage the certification process of applicants to the MarinTrust programme.
- Any changes to accreditation status such as loss of accreditations or changes to the scope (see also 5.1.7 herein).
- All information supplied to MarinTrust and/or the AB by the CB is, or was when given, true, accurate and not misleading.
- The CB has the power and all necessary consents, licenses, and registrations to conduct their business and to enter and perform the contract.
- The CB has read, understood, and shall comply with their obligations and requirements as laid out in this document and other MarinTrust programme documents.

8. Use of the MarinTrust Certification Logos

The MarinTrust logos are the intellectual property of Marine Ingredients Certifications Ltd and its authorisation and rules for use are controlled via an agreement between Marine Ingredients Certifications Ltd, certificate holders, and registered CBs.

All registered CBs shall:

- 8.1.** Have established guidance, processes, procedures, and legally enforceable arrangements for the governing of the use of MarinTrust logo, reference, or claim of certification in accordance with ISO/IEC 17065 accreditation and MarinTrust QMS requirements.
- 8.2.** Take ownership and appropriate course of action to address incorrect or fraudulent use of the MarinTrust logo, reference, or claim to certification.

AMENDMENT LOG

DATE	ISSUE	AMENDMENT	AUTHORISED BY
Version 2 edits (MarinTrust conversion)			
July 2021	2.0	MarinTrust Header & Footer inserted	Libby Woodhatch
July 2021	2.0	Wording throughout document amended to read 'MarinTrust', 'MarinTrust Standards' or 'Marine Ingredients Certifications Ltd' as appropriate	Libby Woodhatch
July 2021	2.0	Section 4.4 – update of document B3 title to explicitly include chain of custody standard.	Libby Woodhatch
July 2021	2.0	Section 4.5 – update of minimum audit day experience to reflect current practice and auditor appointment requirements	Libby Woodhatch
February 2023	3.0	Addition of clear guidance on CB accreditation scope requirements for the MarinTrust Programme	Governing Body Committee
February 2023	3.0	Removal of reference to the process of registration in Section 1 and replaced with reference to D2 - <i>Procedural approval criteria for CBs wishing to apply for approval to audit and certify to the MarinTrust Programme</i>	Governing Body Committee
February 2023	3.0	Section 2: Update to general requirements to alignment with ISO/IEC 17065 requirements and addition of further information and updates related to QMS (2.2)	Governing Body Committee
February 2023	3.0	Reordering and renumbering of content for improved continuity of information requirements and increased alignment with ISO/IEC 17065 requirements throughout	Governing Body Committee
February 2023	3.0	Addition of further, clear guidance on the legal and financial responsibility of the CB in alignment with ISO/IEC 17065, Section 3.1.	Pending
February 2023	3.0	Update to contractual arrangements (Section 4) to ensure clear guidance and in	Governing Body Committee

		accordance with ISO/IEC 17065 requirements.	
August 2022	3.0	Update to , Section 5 and reference of IAF and MLA to ensure clarity on the requirements in line with ISO/IEC 17065 Accreditation	Governing Body Committee
February 2023	3.0	Consolidation and reduction of information in relation to specific CB personnel, which has been superseded by Section 6, resource requirements, and reference to specific documents containing detailed procedures and requirements of CB personnel	Governing Body Committee
February 2023	3.0	Addition of further and clearer guidance on the use of MarinTrust Certification logo in alignment with ISO/IEC 17065. This section has been moved to Section 8.	Governing Body Committee
April 2023	3.0	Addition of specific reference or CBs update the scheme owner where there are any changes to accreditation status.	Governing Body Committee