

Friend of the Sea Standard

FOS 0001 – CERTIFICATION PROCEDURE

FOS-Aqua, FOS-Wild, FOS-FF, FOS-FM, FOS-FO, FOS-O3 and CoC General requirements



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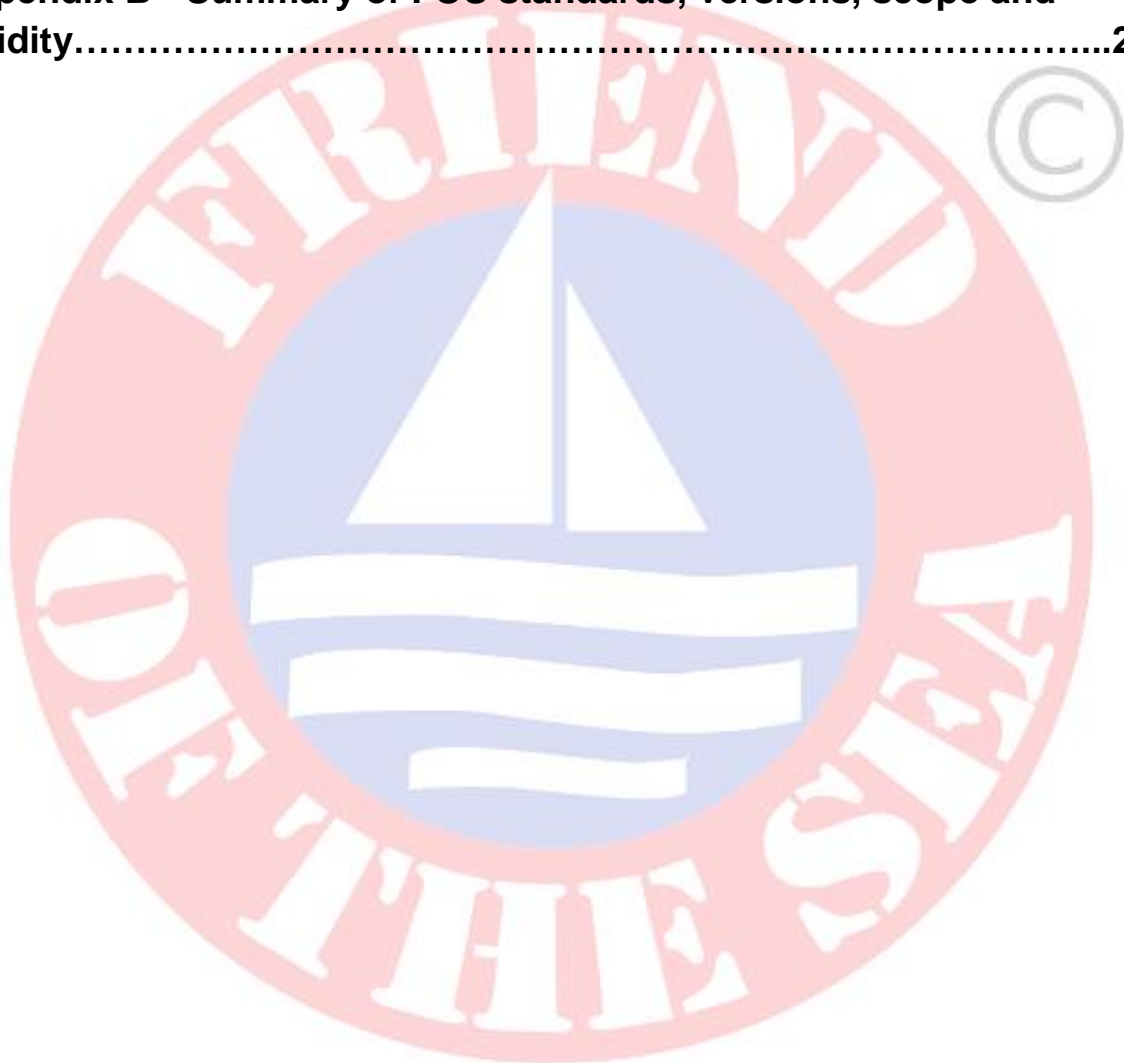
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1 INTRODUCTION

This document outlines the certification rules and the requirements for certification bodies (CBs) operating within Friend of the Sea (FOS) certification schemes.

The term 'shall' used throughout FOS standards and procedure documents indicates mandatory provisions.

1.1 Definitions and Abbreviations

1.1.1 Definitions

Definitions used follow those cited within the UNI EN ISO 19011 and ISO/IEC 17000 regulations.

1.1.2 Abbreviations

AB: Accreditation Body

AG: Audit Group

AGL: Audit Group Leader

AU: Auditor

CA: Corrective action

CAR: Corrective action report

CB: Certification Body

CO: Company (owner or manager) requesting the certification

CoC: Chain of Custody

FOS-Aqua: Certification criteria for sustainable aquaculture

FOS-FF: Certification criteria for sustainable fish feed.

FOS-FM: Certification criteria for sustainable fishmeal.

FOS-FO: Certification criteria for sustainable fish oil.

FOS-O3: Certification criteria for sustainable Omega3.

FOS-Wild: Certification criteria for sustainable seafood from wild fisheries.

IAF: International Accreditation Forum

MS: Management system

NC: Non conformity

SQRT: Square root

TC: Technical committee

1.2 Aim

This document outlines the general requirements for the following;

- a) The CBs of FOS-Wild, FOS-Aqua (versions Inland, Marine, Shellfish, Prawns), FOS-FF, FOS-FM, FOS-FO, FOS-O3 and CoC, that operate according to the standards defined by the Association Friend of the Sea (FOS 0001), and;
- b) The auditing staff employed by the CBs for the assessment of the certification schemes FOS-Wild, FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3 and CoC.

1.3 Standard references

1.3.1 FOS reference documentation

FOS Standard is defined by the present document and the following reference documentation:

- FOS-Wild: Certification criteria for sustainable seafood from wild fisheries.
- FOS-Aqua-Inland: Certification criteria for sustainable inland aquaculture.
- FOS-Aqua-Marine: Certification criteria for sustainable aquaculture in the sea.
- FOS-Aqua-Shellfish: Certification criteria for sustainably farmed bivalves.
- FOS-FF, FM, FO, O3: Certification criteria for fish feed, fishmeal, fish oil, omega 3 from sustainable fisheries.
- FOS CoC: Certification criteria for traceability of FOS products.

1.3.2 Other reference documentation

- UNI EN ISO 19011:2003 Audit guidelines for quality management and/or environmental management systems
- UNI EN ISO/IEC 17065:2012 Requirements for organisations that certify products, processes and services.
- ISO/IEC 17011:2004 Conformity assessment - general requirements for accreditation bodies assessing and accrediting conformity assessment bodies.

2 ACCREDITATION of CBs

Friend of the Sea certification schemes are accredited according to the procedures based on the EA 1/22 (EA Procedure and Criteria for the Evaluation of Conformity Assessment Schemes by EA Accreditation Body Member) by Accredia (www.accredia.it).

Before carrying out an audit and issuing a Friend of the Sea certificate, CBs shall register with the Association Friend of the Sea. The notification process to the Association Friend of the Sea is a non-discriminatory process that enables all the CBs to operate within the certification schemes of the Association Friend of the Sea.

The CBs shall achieve accreditation within twelve (12) months from notification.

All CBs wishing to issue certifications within the Friend of the Sea scheme shall be accredited according to UNI CEI EN ISO/IEC 17065:2012.

Friend of the Sea certifications can only be issued by CBs that have been accredited by a national accreditation body member of the International Accreditation Forum (IAF), who have signed reciprocal recognition agreements for the accreditation scheme.

Friend of the Sea social accountability criteria is only included in accreditation procedures for countries adhering to the agreements of the International Labour Organization (ILO).

3 CERTIFICATION OF FOS-Wild, FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3 AND CoC

3.1 Certification OF FOS-Wild AND FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3

The certification process consists of three main stages (See Figure 1):

- 1) Assessment
- 2) Review
- 3) Decision

The assessment phase (1) consists of two phases:

- a) Preliminary phase (S1),
- b) Audit implementation phase (S2).

The preliminary phase (S1) aims to:

- a) Audit the documentation of the CO management system;
- b) Assess the CO site location and characteristics and exchange information with the CO's staff in order to assess whether the audit implementation phase, S2 can be started;
- c) Review the CO's understanding of the regulations' requirements, particularly related to the identification of key aspects, processes, objectives and functioning of the management system;
- d) Gather the necessary information about areas of interest of the management system, processes, and location(s) of the CO, including related legal aspects and compliance to the regulation (e. g. regarding quality, environment, legal aspects related to the CO's activity, associated risks, etc.);
- e) Review the allocation of resources for S2 and develop a plan with the CO for S2;
- f) Plan S2, create a detailed document of the CO's management system, activities, and sites;
- g) Check if the implementation of the management system indicates the CO is ready for the S2 audit.

A part of the S1 may take place at CO's head offices. Once S1 is completed with positive outcome, it is possible to proceed directly to S2.

During S2, the implementation and efficiency of the CO's management system is assessed. This phase shall be carried out at the CO's site(s) where the processes subjected to certification take place, and shall include an assessment of the following:

- a) Compliance of the management system to all the legislative requirements;
- b) Activities of monitoring, measuring, reporting and reviewing in accordance to the fundamental objectives and goals of the CO;
- c) The CO's management system and its compliance against the legal requirements;

- d) The CO's control of the processes;
- e) The CO's governance;
- f) Links between regulation requirements, policy, objectives and goals of the CO, all the applicable legal requirements, responsibilities, staff competences, activities, and procedures;
- g) Internal audits and review by the CO's management.

Audits are carried out according to the principles outlined in the UNI EN ISO 19011 regulation.

Any change to species, vessels or production sites included in the scope of certification, to the sampling procedure, and the initial quotation need to be notified beforehand and approved by FOS.

Sampling procedures for audits of FOS-Aqua, FOS-Wild, FOS-CoC, FOS-FF, FOS-FM, FOS-FO, FOS-O3 are given in Appendix A.

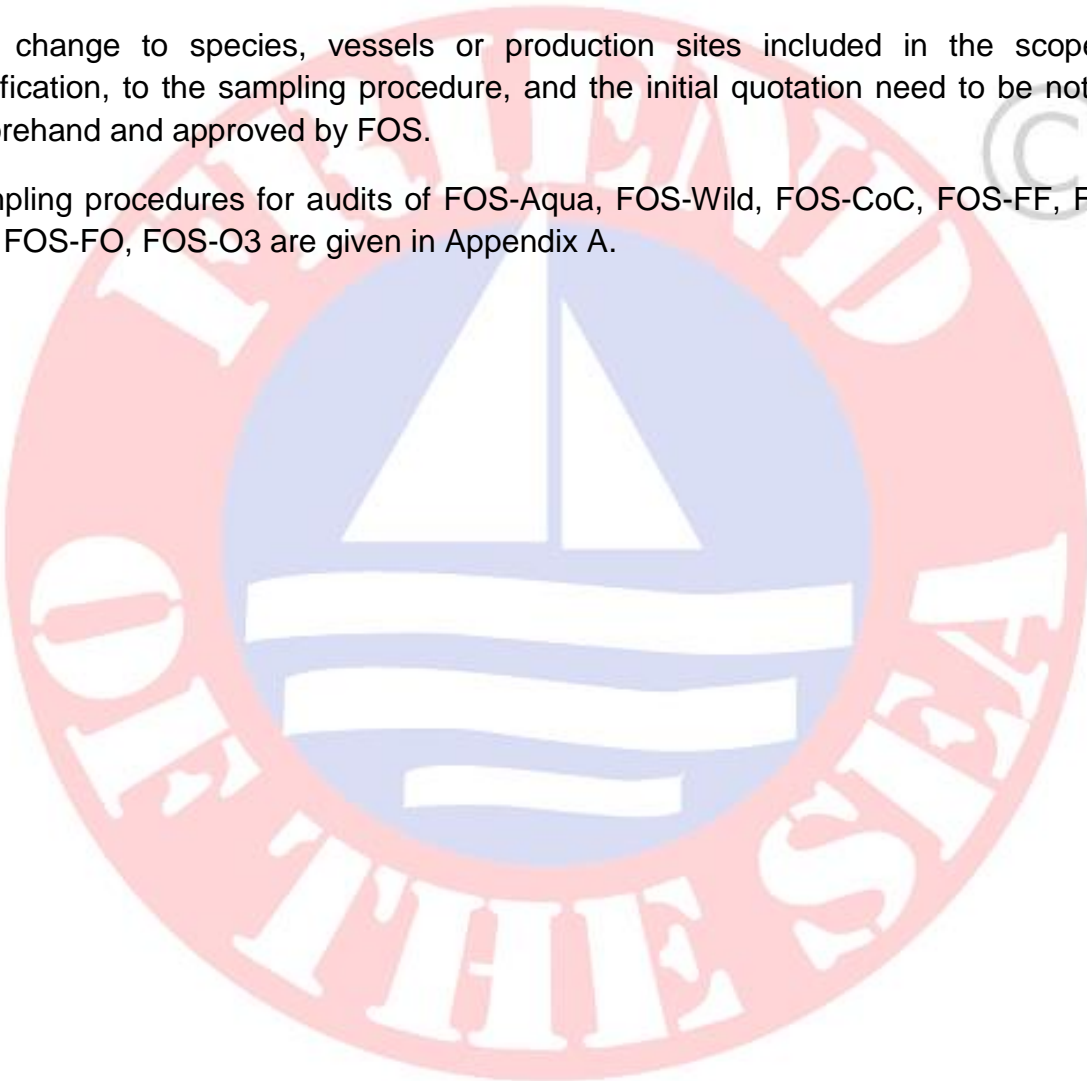
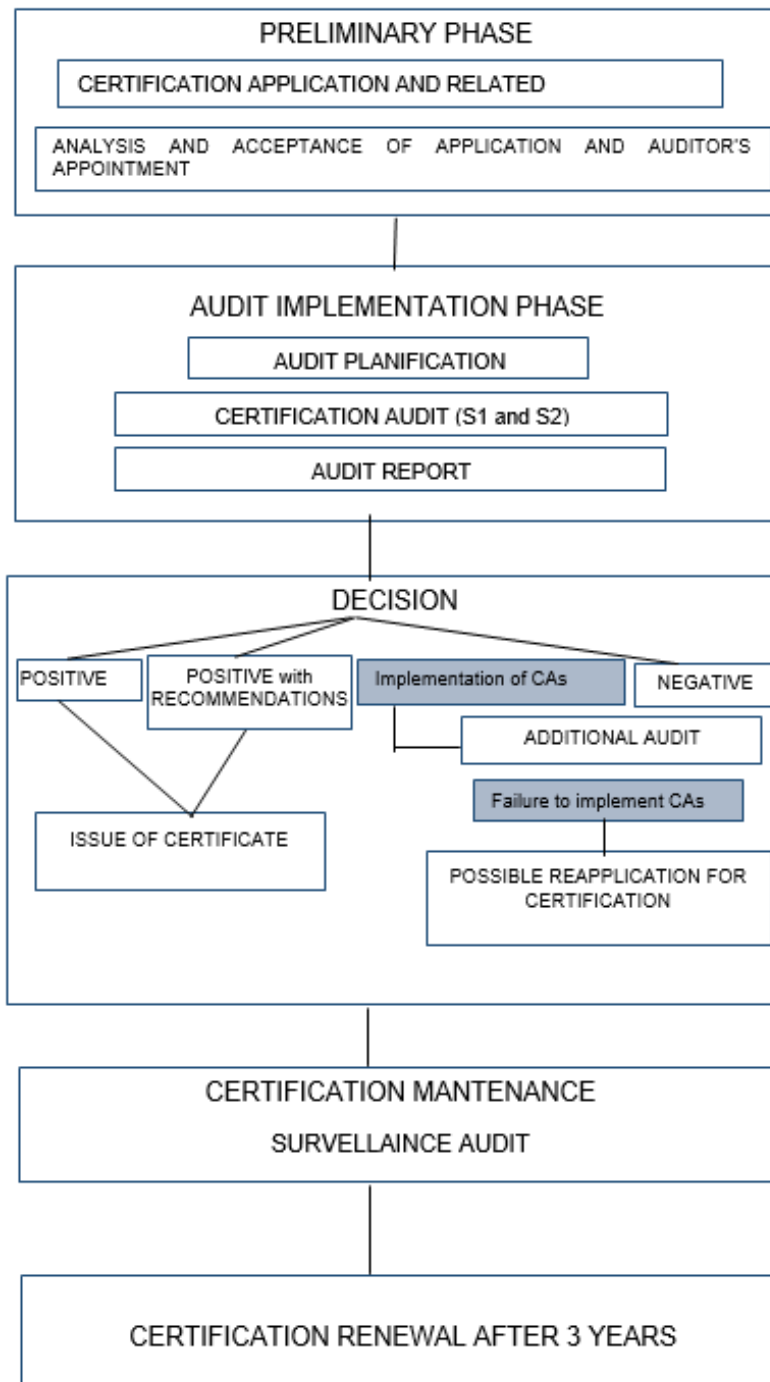


Fig. 1: Steps for issue and maintenance of the certification.



3.2 Certification of FOS- CoC

All companies processing certified products shall undergo a Chain of Custody (CoC) audit. FOS-CoC applies to each step of the supply chain.

In case of companies and/or subcontractors (service providers) only trading, distributing or storing certified tamper-proof, packaged products, the audit is not

necessary. On these products, FOS logo shall be used with clear reference to the certified producer.

The certification process for Chain of Custody (CoC) consists of three main stages detailed in section 3.1.

An outline of the sampling procedures for FOS-COC audits is given in Appendix A.

3.3. Subcontractors and suppliers

Subcontracted producers (*i. e.* fish farms, fishing vessels and processors) working on behalf of the CO and responsible for the production of the product to be certified, shall be included in the scope of certification.

The subcontractors of the CO shall be audited following the sampling procedures for FOS-Aqua, FOS-Wild, FOS-CoC, FOS-FF, FOS-FM, FOS-FO, FOS-O3 given in Appendix A.

Subcontracted activities that fall within the scope of the certification shall be declared during application, to allow the CBs to schedule inspections at these premises.

There shall be a contract between the CO and all subcontractors responsible for the production of the product to be certified, as the CO is responsible for the compliance of all subcontracting company with FOS standards. CBs are responsible for verifying the existence of those contracts before starting the certification process.

Suppliers are independently certified producers or processors that own a valid FOS certification. Suppliers do not need to be included in the scope of certification of a processor seeking FOS CoC certification when they own a valid FOS certification.

3.4 Certification of producer groups

The certification of producer or processor group is authorised when:

- 1) all producers or processors in the group belong to the same legal entity, and/or
- 2) all group members implement a common management system.

In the latter case, there shall be written contracts in force between each producer member and the legal entity of the producer group.

The group shall undertake internal inspections of all members, covering all products under the certification scope to ensure compliance with the certification requirements.

The internal inspections shall include minimum one internal audit of the management system and of one internal inspection covering 50% of all group members per year.

The group is the certificate holder once certified. If individual members of a producer or processor group leave the group, the certificate is not valid for that member, and its products cannot carry the label anymore.

New producers may be added to a certificate in effect, after internal inspection. It is the responsibility of the certificate holder to update the CB and FOS on any addition or change of group members. The newly added producers shall be audited during the subsequent inspection.

The CB does not inspect all producers or production sites, but just a sample. Hence, the CB shall assess whether the internal controls of the group are appropriate. The sampling procedures for producer members of producers groups are provided in Appendix A.

3.5 Non-conformities and corrective actions

Non-conformities (NCs) detected during the audit shall be reported by the auditor to the CO and to FOS. The CO is responsible to address and solve all NCs detected during the audit before the issue of the certification. The CO shall plan and implement corrective actions (CAs) in the appropriate timeframe (see section 3.5).

CBs are responsible for the communication of the NCs, for their implementation within the appropriate timeframe, and for their verification and approval. The auditor shall report any NCs in the audit report together with evidences of non-compliance. The CAs are considered completed for the purpose of certification only when their implementation is verified and approved by the auditor.

The CB shall report CAs and provide corrective action reports (CARs) and related evidences of CA implementation together with the audit report to FOS. FOS can provide templates of CAR on request.

3.6 Decision

The CB shall make the decision of granting a certification within a maximum of 15 working days after closure of any out-standing NCs. The decision is based on the amount and type of NCs recorded, if any, during the audit, and on any other relevant information given.

The requirement for COs to solve NCs before gaining certification depends on the level of the NC.

- **Essential requirements** COs shall be 100% compliant with essential requirements to be recommended for certification by the CB. Failure to comply with essential requirements is a major NC. To achieve certification, corrective actions (CA) shall be implemented within three months from the date of assessment of NCs. The company shall provide the CB with satisfactory evidence of correction of all Major NCs, if necessary, with additional audits.
- **Important requirements** COs shall be 100% compliant with important requirements for the company to be recommended for certification. Failure to comply with important requirements is a minor NC. Proposals to carry out CAs shall be submitted to the CB within maximum three weeks from the date of assessment of the NCs. In the proposal, the company shall include the timeframe for the implementation of each corrective action.

The certification can only be granted after the CB has accepted the corrective actions and their implementation times. Proposals to carry out CAs shall include statements of intent and an action plan. Certificates cannot be issued if there are outstanding NCs.

- **Recommended Indicators:** It is not compulsory for COs to comply with recommended indicators to achieve certification. Nonetheless, all the aspects related to these requirements shall be reviewed and any NCs will be highlighted in the audit report as a 'recommendation'. The company should consider the necessity of CAs and, during the next inspection, inform the CB about the CAs undertaken.

The Association Friend of the Sea shall be informed of audit outcomes alongside the complete audit report and a copy of any certificates.

3.7 Issue of certificates

The CBs issue the certificates. Certificates are valid for three years and shall include the following minimum information:

- FOS logo;
- The company name;
- The certified sites and/or list of certified vessels;
- The certification scheme (*FOS-Wild and FOS-Aqua*, FOS-FF, FOS-FM, FOS-FO, FOS-O3, CoC) with reference to the current standard version;
- The fishery subjected to certification, scientific name of the species, fishing method and fishing area for wild catch products, or the type of aquaculture production and farm sites for farmed products;
- The certificate number;
- Date of issue;
- Date of expiry;
- Date of audit

- Expected date of next surveillance or renewal audit;
- The name of the CB;
- Name and surname of the AGL;
- Signature or other authorisation defined by the responsible person;

In addition, each issued certificate shall include information about the national accreditation body (including accreditation number and name of the AB and CB).

After the first certificate issue, the CB shall issue the certificate at each subsequent inspection (*i.e.* surveillance and renewal audits) reporting the most recent audit date.

The validity of the certificate can be extended beyond three years for a maximum period of 60 days after the certificate's expiry date, to allow for certification renewal. If the renewal audit is not conducted within the extension time, the new certificate will be issued reporting the new date of certification. The validity may only be extended if there is a valid reason, which shall be recorded in the audit report.

3.8 Publication of the audit report of FOS-Wild and FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3 and of CoC

The CB shall produce a summary audit report using the checklist relative to the appropriate standard. It is the CB's responsibility to use the most updated version of the standards. The current version of all standards are available on FOS's website.

The report shall be approved by the CB and sent to the Association Friend of the Sea once the certification process is concluded. All FOS Wild reports are made publicly available through the Association Friend of the Sea website, at the discretion of the certified company.

3.9 Use of the Friend of the Sea logo

The Friend of the Sea logo can be used by the certificate owner on its own or together with other labels.

The Association Friend of the Sea manages the rights of use of the Friend of the Sea logo. The CB is in charge of checking the use of the logo granted to the CO. For a more detailed outline of the requirements when using the Friend of the Sea logo, refer to the document '*Friend of the Sea logo use guidelines*' – available at www.friendofthesea.org

Uses of the logo different from those stated in the document '*Friend of the Sea logo use guidelines*' shall be approved by the Association Friend of the Sea in advance.

3.10 Maintenance and renewal of certification

3.10.1 Surveillance audit

A surveillance audit shall be carried out by the CB to ensure certified companies maintain Friend of the Sea certification standards. Where possible and subject to fishery restrictions surveillance audits shall be carried out within 18 months from each renewal audit. The first surveillance audit of *FOS-Wild and FOS-Aqua*, *FOS-CoC*, *FOS-FF*, *FOS-FM*, *FOS-FO*, *FOS-O3*, shall be carried out within 12 months from the certificate issue.

In case of justified impediments (e.g. delayed fishing season), surveillance audits can be postponed to maximum 90 days after the due date.

The CB shall carry out unannounced audits for a minimum of 10% of the certified producer groups and multi-sites the CB has certified, during the three years of validity of the certificates. The CB may inform the CO and this notification will not exceed two working days in advance of the intended visit. Audits shall follow the UNI EN ISO 19011 regulation.

Sampling procedures are listed in Appendix A.

3.10.2 Renewal audit

Certification renewal audits shall be carried out at the end of the certificate's period of validity, *i. e.* three (3) years.

The CB shall inspect the complete checklist (Essential, Important and Recommended requirements) of the applicable standard(s) during all audits.

Renewal audits are mainly focused on the NCs identified during the certification audit and on the CAs. Audits also review any additions to the management system, fishing boats or aquaculture sites previously not sampled.

Audits shall follow the UNI EN ISO 19011 regulation. Sampling procedures are listed in Appendix A.

3.11 Certification suspension and cancellation

During a certification contract, the CB can suspend the CO's certification for the following reasons:

- a) a wrong or misleading use or advertisement of the certification by the company;
- b) the company refuses or hinders the audit activities;
- c) the company fails to meet the financial obligations defined by the contract with the CB;
- d) the audit detects particularly serious NCs;

- e) the company fails to carry out any CAs following particularly serious NCs detected by the CB;
- f) unlicensed use of the Friend of the Sea logo or failure to pay the annual fee for the logo use (when applicable).

The CB shall inform the CO about the time period within which the CAs shall be undertaken. In the event of a suspension of certification, the Association Friend of the Sea shall be notified.

A suspension can be revoked after an additional audit whose outcome provides evidence all NCs have been corrected. This shall take place within 90 days, otherwise the certification is revoked. The costs of the additional audit shall be covered by the CO. In the time period between the suspension of the certification and the cancellation of the suspension, the product will not be considered compliant to the Association Friend of the Sea standards.

The revocation of certificate causes the immediate prohibition of the use of the certificate by the company and/or the withdrawal of all certificates of membership. The decision of revocation and the related reasons shall be communicated to the company and the Association Friend of the Sea.

4 MINIMUM QUALIFICATIONS OF AUDITING STAFF FOR FOS-Aqua, FOS-Wild, FOS-FF, FOS-FM, FOS-FO, FOS-O3 AND CoC

The qualifications of auditors of FOS-Wild/FOS-Aqua and FOS-FF/FOS-FM/FOS-FO/FOS-O3/CoC are independent of each other.

Auditing staff for FOS-Wild/FOS-Aqua, FOS-CoC and FOS-FF/FOS-FM/FOS-FO/FOS-O3 shall have the following minimum knowledge and experience;

- a) Knowledge of Friend of the Sea documentation related to the certification scheme under assessment, achieved through successful completion of a course officially recognised by Friend of the Sea. Auditing staff shall attend a FOS refresher training every second year.
- b) Knowledge of the UNI EN ISO 19011 standard and proficiency in the related techniques and methodologies. Particularly, the CB shall ensure that the auditing staff complete a course on this subject of at least 8 hours;
- c) Knowledge of the processes related to the certification scheme under assessment and sufficient knowledge of the related products/services, including legal requirements.

These skills may be concentrated in one single auditor or they can be distributed among several staff members of the AG.

- d) Shall have a high school diploma or equivalent and for the following certification criteria have:
- FOS-Aqua: minimum one year work experience in the Technical or Production Department of an aquaculture company,
 - FOS-Wild: minimum one year work experience in the Technical or Production Department of a fishing company or a seafood processing company,
 - FOS- FF, FM, FO e O3: minimum two years work experience in auditing in the food industry.

Alternatively, the auditing staff shall have one of the following university degrees: Biology, Marine Biology, Chemistry, Veterinary, or similar degree in food technology or food safety, and should carry out the following as a trainee auditor:

- FOS-Aqua: three audits of aquaculture sites (Friend of the Sea or in alternative Global GAP Aquaculture, BAP, GAA or ASC audit experience),
- FOS-Wild: three audits of fishing activities (Friend of the Sea or in alternative MSC audit experience),
- FOS- FF, FM, FO and O3: three audits of food processing activities.

In all cases, the candidate shall have successfully completed at least one audit as 'auditor in training' of the standard he/she is being qualified for (FOS-Aqua, FOS-Wild, FOS- FF, FM, FO and O3) under the supervision of a qualified auditor.

These requirements also apply to the AGL. In addition, the AGL shall have successfully completed a minimum of one audit as 'AGL in training' for the standard he/she is being qualified for (FOS-Aqua, FOS-Wild, FOS- FF, FM, FO and O3) under the supervision of a qualified AGL.

4.1 General requirements for CoC

The auditors in charge of CoC shall have the knowledge and experience listed in section 4 (a, b, c, and d) and shall have completed at least five (5) CoC audits as a trainee for FOS-CoC or in alternative Global GAP, ASC, MSC, BAP, GAA, ISO 22000.

5 STANDARDS INTRODUCTION AND REVISION

FOS shall notify ABs, CBs, and COs any change to standards, certification and accreditation procedures. The updates are sent to all FOS accredited CB as official communications. It is the responsibility of the CBs to inform their staff of such updates.

When a new version of the current certification standards is revised by the competent AB, the COs are allowed a transitional period of minimum 12 months from the date of publication of the standard to come into compliance. During this period both standards versions are considered valid, while the new version becomes compulsory at the end of the transitional period, as defined for that standard revision.

In case of modifications that require considerable investments by the COs, the length of the transitional period can be extended.



APPENDIX

Appendix A - Sample's temporal and spatial distribution

A1 Certification of FOS-Wild

The number of man days necessary to carry out the audit depends on the size of the company and fishery being audited.

If the fleet meets all the following similarities, only the square root (see Table 1) of the total number of vessels supplying the company to be certified shall be inspected:

- All fishing vessels use the same fishing method,
- All fishing vessels use the same catching capacity per vessel ($\pm 40\%$);
- All fishing vessels operate in the same fishing area (intended as FAO or ICES area, depending on the reference area for the assessment of the stock status of the species under consideration);
- All fishing vessels are managed uniformly by the same shipowner or under the same regulation;

To ensure that costs are kept to a minimum the number of vessels to be inspected is determined using the calculation in Table 1.

Table 1. The number of vessels to be inspected based on the total number of vessels under audit.

Total number of vessels	Sample size
up to 30	$x = \text{SQRT}(n \text{ vessels})$
31-300	$x = 0.8 * \text{SQRT}(n \text{ vessels})$
301-3.000	$x = 0.6 * \text{SQRT}(n \text{ vessels})$
3.000-10.000	$x = 0.4 * \text{SQRT}(n \text{ vessels})$
over 10.001	$x = 0.2 * \text{SQRT}(n \text{ vessels})$

Where:

- x represents the minimum number of vessels, rounded up to the nearest integer, to be audited, and
- n indicates the total number of fishing vessels that supply the CO under assessment.

If the fleet does not meet the above-mentioned similarity requirements, the auditor shall inspect the square root of each subgroup of homogeneous vessels, as outlined in Table 1.

The method for the calculation of the number of man-days required is outlined in Table 2.

Table 2. The calculation of man-days for the audit of FOS - Wild

Audited item	<i>In situ man-days</i>
Fishing boat	0.25 (2 hours)
Chain of Custody	0.5 (4 hours)
Social accountability	0.5 (4 hours)

A day of assessment is comprised of 8 hours, excluding travel time. Assessment times that are higher (maximum 100% higher) or lower (maximum 50% lower) than those defined by Table 2 shall be recorded and justified.

Other factors may affect assessment times:

- a) Possible integration with ISO 9001 and/or ISO 14001 standards;
- b) Management complexity, as reported by the CB through the collection of information about the company;
- c) Complexity of the environmental legislation and regulations, e. g. simplifications due to a very restrictive legislation, with strict controls of single properties, complications due to a lax legislation and rare controls;
- d) Complexity of the organisation, e. g. simplifications due to the existence of documents and controls by the Public Administration, *i. e.* application of the principle of subsidiarity; complications of the controls due to the complex organisation of CO;
- e) Other factors, such as delays in fishing vessels returning to port and during transshipment operations.

Exceptional cases

1. Audit in remote areas:

When the onsite audit is not immediately possible because of remote geographical location or temporal constrictions of the fishing activity, a documental audit can be considered acceptable only if the vessels to be audited are equipped with full time closed circuit TVs (CCTVs) system on board and digital logbooks, that can provide the evidence of standard compliancy. The CO shall also engage to undergo onsite audit during the fishing season or as soon as the fishing vessels return to port.

Off-site documental audits may be carried out when the fishing vessels do not land for periods longer than 6 months or when the landing ports are located in areas that are not accessible for the auditing staff.

2. Unavailability of vessels:

In the case of unavailability of vessels at port (*e. g.* due to delays in landing or other impediments), the CB shall perform remotely the complete audit of the unavailable

vessels included in the sample to inspect. This implies the review of all the documents and supporting evidences requested by the standard (e. g. fishing licences, boat registrations, logbooks, procedures) for all the vessels in the samples. The complete inspection of vessels shall be performed during the following audit (i. e. surveillance or recertification).

A2 Certification of FOS-Aqua

The number of working days necessary to carry out an audit is proportional to the number of aquaculture sites and the number and complexity of the processing factories to be inspected.

If all aquaculture sites operate within the same environmental management system and same farming practices, the number of sites inspected will be the square root of the total number of sites, as outlined in Table 3.

Table 3. Calculation of the number of aquaculture sites to be inspected.

Total number of sites	Sample size
up to 30	$x = \text{SQRT}(n \text{ sites})$
31-300	$x = 0.8 * \text{SQRT}(n \text{ sites})$
301-3.000	$x = 0.6 * \text{SQRT}(n \text{ sites})$

Where:

- *x* is the minimum number of sites, rounded up to the nearest integer, to be audited, and
- *n* indicates the total number of sites that supply the CO under assessment.

If the sites do not meet the above-mentioned similarity requirements, the auditor shall inspect the square root of each subgroup of homogeneous sites, as outlined in Table 3.

The method for the calculation of working days is outlined in Table 4.

Table 4 Method for quantification of working days for the audit of FOS - Aqua

Audited item	<i>in situ</i> working days
Aquaculture site	1 (8 hours)
Chain of Custody	0.5 (4 hours)
Social accountability	0.5 (4 hours)

A day of assessment is comprised of 8 hours, excluding travel time.

Assessment times that are higher (maximum 100% higher) or lower (maximum 50% lower) than those defined by Table 4 shall be recorded and justified.

Other factors may affect assessment times:

- a) Possible integration with ISO 9001 and/or ISO 14001 standards;
- b) Management complexity, as reported by the CB through the collection of information about the company;
- c) Complexity of the environmental legislation and regulations, e. g. simplifications due to a very restrictive legislation, with strict controls of single properties; complications due to lax legislation and rare controls;
- d) Complexity of the organisation, e. g. simplifications due to the existence of documents and controls by the Public Administration, i. e. application of the principle of subsidiarity; complications of the controls due to the complex organisation of CO;
- e) Other factors.

Exceptional cases

In case the inspection of offshore plants is not possible due to adverse weather conditions, a documental audit may be considered acceptable if the CO is able to provide evidence of compliance to all requirements related to the production site management. The CO shall also engage to undergo onsite audit during the following surveillance audit.

A3 Certification of FOS-FF, FM, FO and O3

The number of working days necessary to carry out the audit is proportional to the number of certification items and, above all, to the number of suppliers involved in the sourcing process, and to the source(s) of the product.

If all processing sites operate within the same environmental management system, the number of sites inspected will be the square root of the total number of sites.

The minimum audit time required for FOS certification - FF, FM, FO and O3 are summarised in Table 5.

Table 5. Minimum audit time required for FOS certification - FF, FM, FO and O3

Audited item	<i>in situ</i> working days
Product source and use of GMO, Chain of Custody per processing site	0.5 (4 hours)

Social Accountability	0.5 (4 hours)
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A day of assessment is comprised of 8 hours, excluding travel time.

All processing sites shall be audited during the period of validity of the certificate (three years).

Assessment times that are higher (maximum 100% higher) or lower (maximum 50% lower) than those defined by Table 5 shall be recorded and justified.

Other factors may affect assessment times:

- a) Possible integration with ISO 9001 and/or ISO 14001 standards, and
- b) Management complexity, as reported by the CB through the collection of information about the company.

A4 Certification of FOS CoC

The number of working days necessary to carry out the audit is proportional to the number of certification items and, above all, to the number of suppliers involved in the sourcing process, and to the source(s) of the product.

If all processing sites operate within the same environmental management system, the number of sites inspected will be the square root of the total number of sites.

The minimum audit time required for FOS CoC certification is summarised in Table 6.

Table 6. Minimum audit time required for FOS CoC certification

Audited item	<i>in situ</i> working days
Chain of Custody	0.5 (4 hours) per processing site
Social Accountability	0.5 (4 hours)

All processing sites shall be audited for CoC during the period of validity of the certificate (three years).

A5 Certification of producers and processors groups

The number of man days necessary to carry out the audit depends on the size of the producer group being audited and of its members.

If all members of a fishery group meet the homogeneity criteria defined for fishing fleets (A1), only the square root (see Table 1) of the total number of vessels supplying the company to be certified shall be inspected.

In the case of a group of aquaculture producers, the number of producers/sites to be audited is equivalent to the square root of the current number of producers/production sites operating with the same environmental management system.

For inspection timing, refer to paragraphs A1 to A4.

The CB shall inspect the complete checklist (Essential, Important and Recommended requirements) of the applicable standard(s) during all audits.

Surveillance Audits

The duration of the surveillance audit shall be 1/3rd of the duration of the certification audit, and shall be greater than 0.5 days. One third of the fishing vessels/farm sites/processing sites inspected during the first certification shall be visited during the surveillance audits. These shall be selected amongst those that were not inspected during the previous audit(s), when possible.

Renewal Audits

Renewal Audits shall have a duration of 2/3rds of the initial certification audit. Two thirds of the fishing vessels/farm sites/processing sites inspected during the first certification shall be inspected during the renewal audits. These shall be selected amongst those that were not inspected during the previous audit(s), when possible.

Additional Audits

Additional audits (*i. e.* unplanned audits due to the detection of serious NC's) can have a shorter duration that shall be proportional to the importance of the NC or to the specific case, and shall be justified by the CB.

COs that have been certified before official accreditation of FOS schemes shall be verified by means of a first certification audit at renewal.

APPENDIX B Summary of FOS seafood standards, versions, scope and validity.

Standard	Current version	Scope	Valid from	Compulsory from
FOS Wild	Rev. 3.1 18/10/17	Wild catch fisheries	25/10/2017	15/02/2018
FOS CoC	Rev. 5 24/10/16	Chain of Custody	15/02/2017	15/02/2018
FOS FO, FF, FM, O3	Rev. 5 24/10/16	Fish oil, fish feed, fishmeal, omega 3	15/02/2017	15/02/2018
FOS Aqua Marine	Rev. 2 03/11/14	Marine aquaculture	03/11/2014	03/11/2015
FOS Aqua Inland	Rev. 3 18/10/16	Inland (pond and tanks) aquaculture	18/10/2016	18/10/2017
FOS Aqua Shellfish	Rev. 3 16/06/2016	Shellfish aquaculture	16/06/2016	16/06/2017