

Circular 3

Normative for Certification Bodies

April 24th, 2019.

Effective from April 24th, 2019, this document supplements FOS 0001 version 9.2 and other FOS normative documents for all accredited Certification Bodies. This document applies to all CBs assessing companies against Friend of the Sea seafood standards (FOS-Wild, FOS-Aqua Marine, FOS-Aqua Inland, FOS-Aqua Shellfish, FOS-CoC – FF, FM, FO & O3). Friend of the Sea requires CBs to:

1. Specify in the audit report, section "Additional information", what type of audit is being conducted (initial, surveillance, additional or recertification) and, in the case of multi-site audits, specify also the method for calculation of places inspected.
2. File full audit reports at their office and make these reports available to relevant parties upon request.
3. Specify in the contract with certified companies the possibility of excluding commercially sensitive information before making audit reports publicly available as per in **FOS 0001 version 9.2 — Section 3.8 Publication of the audit report of FOS-Wild and FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3 and of CoC.**
4. Have clear procedures for receiving, processing and investigating complaints concerning and from certified companies, as well as appeals of non-compliances of certification decisions in relation to the Standards valid at the time of the audit.

5. Report non-conformities according to the template provided by Friend of the Sea (dated April 23rd, 2019). Proprietary or other templates may be used only with the prior written approval by Friend of the Sea.

6. Provide, within 30 days from the date of the present document, a Curriculum Vitae of all the auditors currently assessing companies against Friend of the Sea seafood standards. In the case of new auditors, their CV shall be provided prior to their first audit. Specific template provided by Friend of the Sea shall be used (Auditor Curriculum Vitae – dated April 23rd, 2019).

7. Provide, within 45 days from the date of the present document, a Competence Assessment of all the auditors currently assessing companies against Friend of the Sea seafood standards. The Competence Assessment shall include the following items:
 - 7.1. An assessment of knowledge and skills for each fundamental area the auditor will be expected to be working;
 - 7.2. An assessment of knowledge of pertinent fishery and/or aquaculture Programs and the ability to access and be able to apply relevant laws and regulations;
 - 7.3. An assessment of the personal attributes of the auditor, to ensure they conduct themselves in a professional manner;
 - 7.4. A period of supervision to cover the assessment fishery and/or aquaculture principles, specific audit techniques and specific category knowledge;
 - 7.5. A documented sign off by the certification body of the satisfactory completion of assessment requirements.

8. Provide every two years, starting from the date of the first submission, an updated Competence Assessment of all the auditors currently assessing companies against Friend of the Sea seafood standards.

9. Consider, in **FOS 0001 version 9.2**, the following information for the respective sections:

9.1. Section 3.5 Non-conformities and corrective actions: In the page 11, the information “The CO is responsible to address and solve all NCs detected during the audit before the issue of the certification” shall be interpreted as:

9.1.1 In the case of **Major NCs**: The company requesting the certification shall be 100% compliant with essential requirements to be recommended for certification by the certification body. The certificate cannot be granted if the company has a major NC that is not closed.

9.1.2 In the case of **Minor NCs**: To be recommended for certification by the certification body, the company shall:

- a. Elaborate a corrective action plan to come into compliance with all important requirements:** within maximum three weeks from the date of assessment of the NCs, the company shall submit a proposal to carry out the corrective actions to the satisfaction of the certification body. In the proposal, the company shall include the timeframe for the implementation of each corrective action, considering that all minor NCs must be closed before the surveillance audit. The proposal shall be analysed by the certification body regarding its consistency and feasibility. If accepted, the certificate can be granted.
- b. Resolve all minor NCs reported in the corrective action plan which are verified in the surveillance audit:** the company must have complied with the approved proposal. If the approved proposal has not been fully implemented, the certificate is suspended until the resolution of any remaining minor NCs.

9.2. Section 3.8 Publication of the audit report of FOS-Wild and FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3 and of CoC: In the page 14, the information “at the discretion of the certified company” shall be interpreted as: the possibility of excluding commercially sensitive information before making audit reports publicly available.



9.3. Appendix 4 – Certification of FOS CoC: In the page 25, the information “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” shall be interpreted as: Companies with multiple sites, operating under a single entity, shall be audited in all types of audits (initial, surveillance, additional and recertification) applying the square root of the total number of sites according to the Table 3.

9.4. Appendix 5 – Certification of producers and processors groups: In the page 26, procedures for auditing methods and frequency of audits shall take into consideration risk factors.