

Friend of the Sea Standard

FOS - CoC

Criteria and Indicators for the Certification of the Traceability of Friend of the Sea products

FOS-FF, FM, FO and O3

Criteria and Indicators for the Certification of sustainable fish feed, fishmeal, fish oil and omega 3



Friend of the Sea

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REV	DATE	REASON	VALIDATION	APPROVAL
1	18/01/2013	First Issue	Paolo Bray	
2	28/05/2014	Second Issue	Paolo Bray	
3	23/07/2015	Standards update to accreditation requirements	Paolo Bray	
4	29/09/2016	Standards update to GSSI	Paolo Bray	
5	24/10/2016	FO and COC standards merge	Paolo Bray	

Foreword

Friend of the Sea (FOS) is a non-governmental organisation established in 2008, whose aim is to safeguard the marine environment and its resources incentivising a sustainable market and implementing specific protection and conservation projects.

The certification scheme of Friend of the Sea assesses fisheries and fish farms against sustainability criteria and indicators. To ensure compliance with the sustainability requirements, certification is granted by an independent body following a third party audit.

The following standards are intended to the certification of all seafood products, including fish feed, fishmeal, fish oil, and Omega 3 supplements produced with wild-caught and/or farmed seafood sourced from multiple FOS-approved producers. Please refer to fishery and aquaculture standards for the certification of raw materials.

Requirements are classified as Essential, Important or Recommendations, according to their level of importance.

Essential Requirements: 100% conformity to essential requirements is mandatory in order for the certification body to certify the organisation's product. Any lack of compliance with these requirements will generate a Major Non Conformity and the organisation has to undertake effective corrective actions, to be implemented within three months from the issuing of the Non Conformity. The organisation shall provide satisfactory evidence to the certification body of correction of all major non conformities. Six months are allowed exclusively for correction of requirements 2.1 and 2.2, in consideration of their more complex nature.

Important Requirements: 100% conformity to important requirements is mandatory in order for the certification body to certify the organisation's product. Any lack of compliance with these requirements is to be considered as a Minor Non Conformity and the organisation has to propose effective corrective actions (declaration of intents and implementation plan), to be submitted to the certification body within three weeks from the issuing of the non conformity. This proposal shall also include a timetable concerning the implementation of each correction measure. Each proposed corrective action shall be fully implemented within the following 12 months.

Recommended Indicators: Compliance with recommendations is not mandatory for the product to be certified. However compliance with recommendations will be verified during the audit and any deficiency will be included in the Audit Report as a recommendation. The organisation shall inform the certification body, during the following audit, regarding any corrective measures implemented.

Requirements which are not applicable to the audited organisation will be marked with 'N.A.'

Description of the Organisation

This document shall only be filled out by personnel of the certification body in charge of the audit. It shall be filled out in English.

a) NAME OF THE ORGANISATION TO BE AUDITED:

b) NAME OF THE ORGANISATION REQUESTING THE AUDIT:

c) IS THE ORGANISATION TO BE AUDITED PART OF A GROUP? IF SO, PLEASE SPECIFY THE NAME OF THE GROUP and ALL THE GROUP MEMBERS:

d) ADDRESS OF THE ORGANISATION TO BE AUDITED:

e) NAME AND CONTACTS OF THE PERSON WITHIN THE ORGANISATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR:

f) COMMON AND SCIENTIFIC NAME OF THE SPECIES TO BE CERTIFIED:

Common Name	Scientific Name

g) PRODUCTION/PROCESSING SITE(s) *(list name of ALL sites include in the scope of certification, type of production and location):*

h) SITES VISITED BY THE AUDITOR (if different from g):

i) DESCRIPTION OF THE PRODUCTION:

j) COMPANY'S ACTIVITY IN RELATION TO THE PRODUCTS TO BE AUDITED:
(please check appropriate ones):

- farming, fishing**
- fish feed production**
- fish oil production**
- pre – processor**
- end processor**
- import**
- export**
- distribution**
- other (description):**

k) LIST of Friend of the Sea certified SUPPLIERS (for processors and groups of processors only, including fish oil, fish feeds, fishmeal and omega 3):

l) DESCRIPTION OF THE FINAL PRODUCT (e.g. fresh, frozen, canned, other):

m) BRANDS OF FINISHED PRODUCTS (List brands under which the product is sold. If available include images):

n) DESCRIPTION AND LOCATION OF FREEZERS AND WAREHOUSES, IF ANY (For product traceability purposes):

o) TOTAL NUMBER OF EMPLOYEES:

p) ENVIRONMENTAL CERTIFICATIONS AND AWARDS:

q) ADDITIONAL INFORMATION:

- The Friend of the Sea project was introduced** *(If not, the Auditor shall provide a short description)*
- The organisation was informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products**
- The organisation has been provided with a document outlining the roles and qualifications of the staff carrying out the audit**
- The duration of the audit was agreed upon**
- The information included in the Preliminary Information Form (PIF) has been confirmed** (in case of changes to the PIF, an updated version has to be promptly provided):

CERTIFICATION BODY:	AUDIT TEAM:	AUDIT START AND END DATE:
SIGNATURE OF AUDITOR:	NAME OF THE PERSON IN CHARGE OF THE ORGANISATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT:	AUDIT CODE:

NOTES TO THE AUDITOR

- 1) The auditor shall fill out all fields in the checklist.
- 2) Checklist compilation guidelines are highlighted in the blue boxes.
- 3) The Auditor shall provide an explanation when requirements are not applicable.
- 4) The Auditor shall write YES when the organisation complies with a requirement and NO when it does not.
- 5) The Auditor shall comment and explain the positive or negative answers. Simple "YES," "NO," or "N.A." are insufficient.
- 6) Each relevant document shall be added to the final Audit Report in a separate and numbered attachment.
- 7) Photographic explanations added to the checklist or attached are appreciated.

1 Traceability

No.	Requirement	Level	Y/N	Comments
1.1	The organisation identifies each product and each batch uniquely.	Essential		
1.2	A specific traceability system exists, ensuring that the product audited respects all the requirements of this standard and that there is no possibility of mixing with non-certified products	Essential		
1.3	The organisation provides detailed identification of the origin of products, including vessel name, fishing area and fishing gear, or country of origin and production method for farmed product.	Essential		
1.4	The organisation carries out minimum once a year a training course for the employees involved in the maintenance of the Chain of Custody, to achieve and maintain an appropriate knowledge.	Important		

1.5	The organisation checks the functionality of the traceability system at least once a year.	Important		
1.6	A product recall procedure exists and is tested minimum once a year.	Important		
1.7	The organisation demonstrates that all Chain of Custody requirements reported in the CoC standard are met by all its subcontractors.	Important		
1.8	The organisation shall keep records documenting compliance to all Chain of Custody requirements for a period that exceeds the shelf life of the certified product and the periodicity between audits.	Important		
1.9	The company is using Friend of the Sea logo only in association with products, whose raw material is supplied by Friend of the Sea certified suppliers. The auditor shall list the approved suppliers	Essential		
1.10	The latest annual revenue declared by the organisation shall be verified by the auditor.	Essential		

2 Management System

The following requirements only apply to producers and processors groups.

No.	Requirement	Level	Parameters and information	Y/N	Comments
2.1	There is documentation that clearly demonstrates that all the group members belong to the same management system.	Essential	The auditor shall collect the documental evidence		
2.2	The group undertakes internal inspections of all members, covering all products under the certification scope to ensure compliance with the certification requirements.	Recommended	The auditor shall collect the documental evidence		
2.3	Records of the internal audit and follow up of corrective actions resulting from the internal audit shall be maintained and available	Recommended	The auditor shall collect the documental evidence		

The Auditor shall verify the compliance with the requirements through documental evidence and on-site observation.

3 SOCIAL ACCOUNTABILITY

No.	Requirement	Level	Parameters and information	Y/N	Comments
3.1	The organisation shall respect human rights, complying to the following requirements:				
3.1.1	compliance with national regulations and ILO on child labour	Essential	Refer to ILO: http://www.ilo.org/global/standards/lang-en/index.htm		
3.1.2	pay the employees adequate salaries compliant at least with minimum legal wages	Essential	Minimum wages vary depending on the country. The auditor shall verify that the organisation knows the minimum wage.		
3.1.3	grant employees access to health care	Essential			
3.1.4	apply safety measures required by the law	Essential			
3.2	The organisation should be SA8000 certified.	Recommended			

The Auditor shall verify the compliance with the requirements through documental evidence (work contract samples) and on-site observation.

The following requirements only apply to FISH FEED, FISHMEAL, FISH OIL, and OMEGA 3 products.

4 GMO

No.	Requirement	Level	Y/N	Comments
4.1	The use of genetically modified organisms is prohibited	Essential		

5 SOURCE of FISH OIL and FISHMEAL INGREDIENTS

No.	Requirement	Level	Y/N	Comments
5.1.	<p>Fishmeal, fish feed, fish oil, and omega 3 ingredients shall derive from the following:</p> <ul style="list-style-type: none"> -Fish by-products from fish processing and or/aquaculture and/or discards; -Friend of the Sea certified fisheries or fleets; -Friend of the Sea certified suppliers of raw material. <p>The auditor shall list all the suppliers and collect evidences that only the products resulting from certified suppliers are processed by the organisation</p>	Essential		
5.2.	Fish by-product shall not come from a species listed under 'Vulnerable' or worse categories on the IUCN Red list (www.iucn.org)	Essential		

Traceability Test

Audits shall include a traceability test at the beginning and at the end of a minimum of one batch of the finished product, including suitable mass budgets, bills, invoices and relevant documents to prove the origin of the product and its conformity to the standard.

Please report the traceability test performed, specifying the relevant data collected.

Further comments:

CONCLUSIONS:

The Auditor shall fill out the following fields

- The organisation COMPLIES with Friend of the Sea requirements**

- The organisation DOES NOT COMPLY with Friend of the Sea requirements**

MAJOR NON CONFORMITIES (to be corrected within 3 months)

List major non conformities

MINOR NON CONFORMITIES (corrective plan to be produced within 3 weeks and correction within 1 year)

List minor non conformities

RECOMMENDATIONS (to be communicated within the next inspection)

List recommendations