

# Certification and Accreditation Framework for the FISH Standard for Crew

# F · I · S · H



## STANDARD FOR CREW

Version 1.1

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## Responsibility for these Requirements

FISH (Fairness, Integrity, Safety, and Health) Standard for Crew (FISH SC) is owner of the *FISH Standard for Crew* and associated elements of the certification scheme. The Board of Directors of FISH SC is responsible for the *FISH Standard for Crew* and will review its contents on an ongoing basis. A record of amendments is shown below.

### *Amendment Record*

<b>Version No.</b>	<b>Date of Release</b>	<b>Effective Date</b>	<b>Description of Amendment</b>
Version 1.0	22 September 2022	22 September 2022	First publication.
Version 1.1	22 August 2024	1 August 2025	Amended to expand on requirements for surveillance of certificate holders and to update accreditation requirements (Part II).

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## Introduction

Seafood buyers want credible assurance that the fishers who produce their seafood are treated with dignity and respect, in accordance with the highest levels of ethics and social responsibility. The world's major harvesters have initiated a process to develop the Fairness, Integrity, Safety and Health (FISH) Standard for Crew<sup>1</sup>. The FISH Standard for Crew is aligned with internationally recognized best practice for decent, socially responsible working conditions in the seafood sector.

The FISH Standard for Crew is based on key international instruments in the fisheries labour sector, most notably the International Labour Organization (ILO) Work in Fishing Convention, 2007, Number 188 ([ILO C188](#)) and its guidance (ILO Guidance Number 199; [R199](#)). The Standard establishes a set of clear, measurable performance thresholds which are suitable for use in audits by third-party certification bodies (CBs). Its rigorous application as a certification standard will serve to identify and distinguish those vessel owners and seafood companies who demonstrate fair, socially responsible labour practices.

The objective of the present document is to establish a framework for implementing the FISH Standard for Crew. This framework incorporates key international normative references from ISO. It also builds upon current best practices in seafood certification by integrating essential components from the Global Benchmark Tool of the Global Sustainable Seafood Initiative ([GSSI](#)) and benchmarking requirements for the management of schemes developed by the Sustainable Supply Chain Initiative ([SSCI](#)).

In Part I of this document, requirements are set forth that CBs must follow when assessing vessel owners/companies against the FISH Standard for Crew. Part I also sets out competency criteria for CBs. These are the “certification requirements.”

In Part II, requirements are set out that must be followed by independent Accreditation Bodies (ABs) when verifying the competency of CBs in applying the FISH Standard for Crew. These are the “accreditation requirements.”

Part III is a placeholder which is reserved for chain of custody (CoC). At present the certification framework supporting the FISH Standard for Crew does not envision labelling seafood products so there is no need to create a CoC system. However, the Scheme Owner might revisit this possibility some day and provisions were included to investigate the feasibility of utilizing existing CoC systems.

Together the certification requirements (Part I) and the accreditation requirements (Part II) create a framework that serves as the foundation of the certification scheme for the FISH Standard for Crew.

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<sup>1</sup> FISH SC wishes to acknowledge the work of the United States-based At-sea Processors Association (APA) in developing the Certification and Accreditation Framework for the FISH Standard for Crew, as well as APA's contribution to the founding of the Certification Standard itself.

## Scope

This document sets out minimum requirements that certification bodies shall follow in assessing the conformity of vessel owners/companies against the FISH Standard for Crew. Accreditation Bodies may use this document to verify conformity of CBs with the requirements of the certification scheme for the FISH Standard for Crew.

This document also sets out the minimum requirements for accreditation bodies participating in the certification scheme for the FISH Standard for Crew. Independent reviewers as well as the Scheme Owner may use this document to verify the performance of accreditation bodies in relation to requirements of the certification scheme for the FISH Standard for Crew.

## Normative References

The following reference documents are normative. When a reference is cited in the text by date, only the edition cited shall apply. When a reference is cited in the text without date, then the latest edition/amendment of that referenced document shall apply.

ISO/IEC 17065:2012 Conformity assessment -- Requirements for bodies certifying products, processes and services. <https://www.iso.org/standard/46568.html>

ISO/IEC 17011:2004 Conformity assessment -- Requirements for accreditation bodies accrediting conformity assessment bodies. <https://www.iso.org/standard/67198.html>

ISO 19011:2018(E) Guidelines for auditing management systems.  
<https://www.iso.org/standard/70017.html>

*Fairness, Integrity, Safety and Health (FISH) Standard for Crew, Version 1.2, August 22, 2024.*  
<https://fishstandard.wordpress.com/>

In addition to the foregoing normative references, the *Auditor Guidance Manual for the FISH Standard for Crew* accompanies and supplements the FISH Standard for Crew. CBs and auditors should consult the Auditor Guidance Manual as a resource for additional clarification and/or guidance on implementation of the requirements of the FISH Standard for Crew. Similarly, some guidance elements are incorporated into this document. Where such elements occur, they are clearly identified as 'Guidance to CBs'.

## Terms and Definitions

Terms generally follow usage by ILO and ISO (e.g., ISO 9000:2005, ISO 17000:2004) although some definitions have been modified to better reflect scheme objectives. All terms are defined in the *Glossary of Terms* (Annex 1) and the *List of Acronyms* (Annex 2).

## Effective Date

The effective date for Version 1.1 of the Certification and Accreditation Requirements for the FISH Standard for Crew is 1 August 2025. All certification and accreditation related activities for the FISH Standard for Crew performed after this date shall follow Version 1.1 of the framework.

# PART I: CERTIFICATION

## 1 General Requirements for Certification Bodies

- 1.1 The CB shall receive approval from the Scheme Owner and enter into a memorandum of understanding (MOU) with the Scheme Owner before undertaking any certification activities related to the FISH Standard for Crew.
- 1.2 The CB shall be a legal entity.
- 1.3 The CB shall be accredited to the current version of ISO/IEC 17065 and the CB's scope of accreditation shall include the FISH Standard for Crew.
  - 1.3.1 The Scheme Owner may allow the CB a defined transition period to achieve the scope of accreditation specified in 1.3. The scope and duration of any such transition period shall be agreed in writing and it shall not be longer than two (2) years from the date of CB acceptance by the FISH Board.
- 1.4 The CB shall operate its FISH Standard for Crew Certification Programme in compliance with the requirements of ISO/IEC 17065.
  - 1.4.1 The CB's documented management system shall meet the requirements of Section 8 (Management system requirements) of ISO/IEC 17065:2012 and it shall be effectively implemented throughout the FISH Standard for Crew Certification Programme.
- 1.5 The CB shall maintain a written fee structure that is available on request.
  - 1.5.1 The fee structure shall provide enough detail for clients to reasonably estimate audit costs, regardless of applicant size or the complexity of its operations.
  - 1.5.2 The fee structure shall be non-discriminatory and it shall take into account the special needs of vessel owners/companies in developing countries and countries in transition.
- 1.6 The CB shall make a list of its Certificate Holders (CHs) publicly available.
- 1.7 The CB shall have documented procedures for evaluation of CHs with multiple vessels (i.e., 'group' procedures) under its FISH Standard for Crew Certification Programme.
- 1.8 The procedures referred to in 1.7 shall describe:
  - a. how audit sample size is determined and how representative samples are selected for audit (Section 2.3); and
  - b. how the selection of representative sites, vessels, records, and people for interview (Section 2.5) enables a robust inference about conformity with the FISH Standard for Crew over the full range of conditions present within the client's scope of operations.

- 1.9 As applicable, the CB shall meet ISO/IEC 17065:2012 requirements for external resources (Section 6.2.2) for any work relating to the FISH Standard for Crew Certification Programme that is sub-contracted to another party, and the CB shall have a legally binding contract with the party providing that outsourced service.
- 1.10 The CB shall have written procedures to ensure the safety and security of their auditors.
- 1.11 Complaints: The CB shall have a written, publicly available procedure for handling complaints that meets the requirements of Section 7.13 (Complaints and Appeals) of ISO/IEC 17065:2012.
- 1.12 Appeals: The CB shall have a written, publicly available procedure for handling appeals that meets the requirements of Section 7.13 (Complaints and Appeals) of ISO/IEC 17065:2012.

## 2 Process Requirements for Certification Bodies

### 2.1 General Process Requirements

- 2.1.1 The CB shall apply the methodology specified in this document in addition to the requirements of ISO/IEC 17065.
- 2.1.2 The CB shall have documented procedures consistent with Section 7.11 of ISO/IEC 17065:2012 that specify the conditions under which certification may be suspended, terminated or withdrawn, in whole or in part, for all or part of the scope of certification.
  - 2.1.2.1 Procedures shall specify notification of the Scheme Owner of any suspensions, terminations or withdrawals within two (2) days of the determination.
- 2.1.3 The CB shall have written procedures for extending and reducing scope of certification.

### 2.2 Application Review, Confirmation of Scope and Defining the UoC

- 2.2.1 Before accepting an application, the CB shall ensure that the applicant is informed about:
  - a. general eligibility requirements as set out in the General Provisions of the FISH Standard for Crew and associated guidance;
  - b. the policy prerequisites set out in General Provision 8 of the Standard; and
  - c. requirements for CHs with multiple vessels as set out in Annex 4 of the FISH Standard for Crew and associated guidance.
- 2.2.2 The CB shall review the application to ensure that the applicant meets the definition of a CH (Annex 1).

2.2.3 Sufficient information should be collected during the application review stage to confirm the scope of certification being sought and to clearly define the Unit of Certification (UoC).

2.2.4 The UoC shall be defined by:

- a. Certificate Holder (CH);
- b. name, registration code, flag and category (large and/or small) of fishing vessel(s); and
- c. fishery jurisdiction.

2.2.5 The CB shall collect additional details about the scope of certification being sought to include the following information:

- a. fishery or fisheries sector and gear types used;
- b. activity;
- c. geography;
- d. vessel size(s);
- e. date of vessel construction or last major conversion<sup>2</sup>; and
- f. number of persons employed as fishers.

**Table 1.** Example UoC with additional details about the scope of certification.

<b>UoC Element</b>	<b>Example Value</b>
Certificate Holder	Company A
Vessel Name	F/V Catcher A
Vessel Registration No.	VIN D446###
Flag	U.S. flagged vessel
Vessel Category	Large
Fishery Jurisdiction	US Federal and State of Alaska Waters
<b>Additional Details about Scope</b>	<b>Example Value</b>
Fishery or Fisheries Sector and Gear Type(s)	BSAI Alaska Pollock trawl fishery
Activity	Catching and processing at sea
Geography	Operating exclusively in U.S. waters (Bering Sea & Aleutian Islands)
Vessel Size or Size Range	110 m LOA
Date of Vessel Construction	1983
Number of Fishers	80-100 FTE

<sup>2</sup>Dates are defined as in ILO C188 Annex III. Vessels built before November 17, 2017 may be exempt from four indicators in Principle 4 (see FISH Standard and Auditor Guidance Manual).

2.2.6 The CB shall confirm with the applicant the make-up of the proposed UoC and the desired scope of certification before an on-site audit is conducted.

2.2.6.1 For applications involving multiple vessels, the CB shall allow the applicant to decide which of its vessel(s) are put forward for certification.

**Guidance to CBs**

During application review, the CB should ensure that clients with multiple vessels are informed of the option to have their vessels assessed: 1) individually as single-vessel certifications; or 2) collectively as a multi-vessel group certification. Key considerations for clients may include vessel sampling rates, stratification, and CH compliance with the requirements of Annex 4 of the FISH Standard for Crew.

2.2.7 The CB shall identify the fishery jurisdiction and confirm with the applicant the applicable labour laws and regulations to be audited during assessment.

2.2.7.1 The CB should verify at this stage that there is evidence the applicant is legally authorized to fish within the identified jurisdiction(s).

2.2.7.2 Where an applicant's fishing operations occur in multiple fishery jurisdictions, the CB shall consider whether to split those elements into separate UoCs to ensure that national labour laws and regulations apply to certified fishing operations in the area(s) where fishing occurs (see Auditor Guidance Manual, General Provision 3).

2.2.8 The CB shall confirm with the applicant that there have been no convictions for forced labour or child labour in the UoC within the last 3 years.

**2.3 Audit Duration and Sample Size**

2.3.1 The CB shall have a written procedure for calculating minimum audit duration.

2.3.2 The procedure referred to in 2.3.1 shall address at least the following variables:

- a. applicant size and number of persons employed as fishers;
- b. the complexity of the applicant's operations;
- c. geographic location of the operation;
- d. fleet size;
- e. fleet composition (e.g., vessel sizes, vessel types);
- f. language(s) spoken by crew; and
- g. relevant certifications held (e.g., HACCP, MarPol) and the regulatory milieu.

2.3.3 As part of planning the initial audit of a client with multiple vessels, the CB should determine whether stratification is needed to ensure that audit samples represent relatively homogeneous groups of vessels in terms of their make-up, activities, or other essential attributes.

2.3.3.1 The CB shall exercise professional judgement in deciding whether there is reason for stratification within a proposed UoC. Written justification for decisions shall be retained.

2.3.4 The CB shall determine the number of vessels to audit (i.e., the sample size) by applying the appropriate formula from Table 2 after completing a risk analysis (Annex 4). Examples in Table 3.

**Table 2.** Formula to calculate audit sample size for a certification client with multiple vessels.

Low Risk	High Risk
$0.50 * \sqrt{n}$	$1.0 * \sqrt{n}$

Note: 'n' is the total number of vessels in the UoC or stratum. Values are rounded up to the nearest whole number.

**Table 3.** Sample size for fleets ranging between 1 and 100 vessels for Certificate Holders with multiple vessels that are either (A) high risk or (B) low risk.

A. High Risk (Coefficient = 1.0)	
Fleet Size	Sample Size
1	1
2 to 4	2
5 to 9	3
10 to 16	4
17 to 25	5
26 to 36	6
37 to 49	7
50 to 64	8
65 to 81	9
82 to 100	10

B. Low Risk (Coefficient = 0.50)	
Fleet Size	Sample Size
1 to 4	1
5 to 16	2
17 to 36	3
37 to 64	4
65 to 100	5

2.3.5 The CB shall select the specific vessels for audit using the following criteria, in order of priority:

- vessels with a prior history of abusive or unethical labour practices;
- vessel with a prior history of safety violations,
- vessel with a known or suspected high-risk factor;
- random choice; or
- auditor discretion.

2.3.6 The CB shall retain written justification for sample selection.

## 2.4 Evaluation

- 2.4.1 The CB shall evaluate the applicant by means of an audit programme that should align with guidelines presented in ISO 19011:2018(E).
- 2.4.2 The objective of the audit programme shall be to evaluate and confirm that the CH meets all applicable requirements of the FISH Standard for Crew across the entire UoC.
- 2.4.3 In formulating the audit programme, the CB shall consider the possibility of having the audit team conduct the FISH Standard for Crew audit in conjunction with another scheme audit (i.e., as a combined audit) if requested by the applicant and if practical to do so.

### Guidance to CBs:

When preparing an audit programme, the CBs may consult guidance in the *FISH Requirements Mapped onto Audit Methods* (a.k.a. the FISH “Roadmap”).

## 2.5 Desktop Study

- 2.5.1 The audit programme shall include an off-site document review step (i.e., a desktop study) which shall be completed prior to the on-site audit.
  - 2.5.1.1 The objective of the desktop study is twofold: to prepare for and maximize the efficiency of the on-site audit, and to reduce redundancies that may arise from independent and concurrent audit or inspection programmes.
  - 2.5.1.2 The CB shall ask the CH to provide information needed to conduct the desktop study, which may include:
    - a. supporting evidence showing implementation of policies that fulfil the policy prerequisites of the FISH Standard for Crew;
    - b. relevant documentation and records (e.g., procedures, quality manual, Fisher Work Agreements, etc.);
    - c. evidence of the applicant’s compliance with relevant federal and state laws and regulations (e.g., vessel safety certificates, certificates and records pertaining to labour practices and health & safety);
    - d. results from ongoing inspections programmes with relevance to the FISH Standard for Crew (e.g., marine surveys, vessel inspection reports, health and safety inspection reports, etc.);

- e. documentation that the vessel(s) has been inspected by a competent authority for compliance with the provisions of ILO Convention 188 as applicable;
- f. previous audit reports as applicable;
- g. results from relevant second-party audits (e.g., supplier audits, code of conduct audits);
- h. results from internal audit programs as applicable; and
- i. other information as may be deemed necessary by the CB.

2.5.2 The CB shall satisfy itself that the scope of information reviewed in the desktop study is broadly representative of the make-up of the UoC.

## **2.6 On-site Audit**

- 2.6.1 The audit programme shall include evaluation of the CH via an on-site audit.
- 2.6.2 The CB shall coordinate with the CH to determine an appropriate time and place for the on-site audit so that auditors will have access to crew and other key personnel (captains, HR managers) for interviews, as well as access to vessels and/or other facilities of relevance to the operation.
  - 2.6.2.1 Significant obstacles or delays shall be noted in the audit report.
- 2.6.3 During the on-site audit, the audit team shall conduct a review of key sites, processes, equipment, documents and records, and shall use appropriate methods such as conducting interviews with relevant personnel and making direct observations of vessels, accommodations, processing areas, offices or other relevant facilities.

### **Guidance to CBs:**

Taking photographs can be a valuable way for auditors to record objective evidence of conformity or non-conformity with scheme requirements. The FISH scheme does not require that auditors use photo-documentation. Nonetheless, auditors may use photography during the audit and they may include such photographic evidence in the audit report. If photography is used, the CB should be respectful of the privacy of people involved and ensure that reproduction of photographic images does not undermine confidentiality arrangements.

## **2.7 Interviews**

- 2.7.1 Auditors shall conduct interviews with a range of relevant personnel to collective objective evidence sufficient to fulfil the audit objectives.
- 2.7.2 At a minimum, interviews shall be conducted with the vessel captain, a management representative (if not the captain), and members of the crew.

2.7.2.1 Sample size for crew interviews shall be calculated by taking the square root of the vessel's total number of crew and rounding up.

2.7.2.2 The selection of individuals for interview shall reflect the diversity of fishers employed on the vessel(s) and should be prioritized based on consideration of:

- ethnicity and/or country of origin of fishers;
- the duration of a fisher's service with the vessel/company;
- the role of a fisher as worker representative or union leader (if applicable); and
- other demographic attributes (e.g., age, gender, religion, etc.) that may be indicative of a potentially vulnerable subpopulation of fishers.

2.7.2.3 Fishers should be interviewed individually and also in groups if practical.

2.7.3 The interview process should generally follow guidance in ISO 19011:2018(E) and shall take into account the potential for language or cultural barriers to arise.

2.7.3.1 Fishers shall be interviewed in their own language using an interpreter if necessary.

2.7.3.2 Supervisors and vessel owners or their representatives shall not act as interpreters.

2.7.4 Auditors shall conduct interviews with fishers outside the presence of captains or vessel owners.

2.7.5 The audit team shall ensure that information from fisher interviews remains unattributed during processing and reporting of audit results.

**Guidance to CBs:**

As part of preparations for conducting interviews, the CB may consult sample questions in the *FISH Interview Questionnaire*.

**2.8 Time Line for Closing Meeting, Summary of Findings and Corrective Action Plans**

2.8.1 At the end of the on-site audit, the audit team shall have a closing meeting with the client or its representatives to present audit findings.

2.8.2 Within 15 days of the closing meeting, the CB shall send the client a written summary of findings from the audit.

2.8.3 The written summary of findings shall provide detailed information about identified non-conformities<sup>3</sup> and it shall summarize overall performance level (OPL) as described below in Section 2.10.

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<sup>3</sup> Audit findings may be formatted as Non-Conformity Reports.

- 2.8.4 The CB shall allow the client up to 5 days to review the accuracy of the written summary of findings and/or to seek clarification on its contents, after which time the summary of findings will be considered to have been agreed between CB and client.
- 2.8.5 The CB shall request that the client develop corrective action plans (CAPs) to address all identified non-conformities and submit CAPs to the CB within 21 days of the date on which the summary of findings was agreed.
- 2.8.6 Before accepting CAP submissions, the CB shall be satisfied that the proposed corrective actions are sufficient to resolve identified non-conformities. If CAP submissions are deemed to be unsatisfactory, the CB may extend the review period up to 15 days and shall ask the client to revise and resubmit CAPs.
- 2.8.7 The CB shall conclude its review of proposed corrective actions and accept the client's CAPs within 21 days of the date on which the summary of findings was agreed, or within 36 days of said date if the review period was extended as per 2.8.6.

## **2.9 Non-Conformities**

- 2.9.1 The CB shall have a written procedure for handling non-conformities (NCs) which covers:

- a. the identification and grading of NCs;
- b. raising NCs to the attention of the CH;
- c. requesting root cause analysis of NCs;
- d. requesting corrective actions, action plan and timeframes to resolve NCs;
- e. verifying the effectiveness of corrective actions taken;
- f. the actions to be taken by the CB in the event of unresolved NCs; and
- g. the CB's process for handling appeals of NCs.

- 2.9.2 Three types or 'grades' of non-conformity are recognized:

- a. Minor NC;
- b. Major NC; and
- c. Critical NC.

- 2.9.3 The grading of NCs into Minor, Major and Critical shall be based on the overall performance level of the auditee as reflected in the level of conformity with Standard requirements as described in Sections 2.9.5 to 2.9.17 and Section 2.10.

2.9.4 Notwithstanding 2.9.3, the lead auditor shall have the discretion to assign a higher grade to an audit finding if there is a significant risk associated with that finding. Justification shall be given in the audit report.

2.9.5 Detection of a non-conformity that poses an imminent danger to fishers shall be graded as a Critical NC. An imminent danger is one in which:

- the threat is likely to result in death or serious physical harm to fishers;
- and the hazard is immediate or likely to occur over such a short timeframe that it effectively precludes intervention by the relevant agency or authority.

2.9.6 The CB shall have procedures addressing how the auditor should react when a hazard is found that poses an imminent danger to fishers. The procedure shall, among other things, require the auditor to:

- inform affected fishers;
- instruct the CH to take steps to eliminate the imminent danger; and
- inform relevant authorities as applicable.

2.9.7 Forced labour and child labour are in direct violation of the FISH Standard. An audit finding that provides clear evidence of child labour or forced labour shall be graded as a Critical NC and shall remain open until all requirements for corrective and remedial actions, as set out in Indicators 1.1.7 and 1.2.7, have been fulfilled.

2.9.7.1 At initial audit: Detection of forced labour or child labour shall preclude certification of the applicant.

2.9.7.2 At surveillance/re-certification audit: Detection of forced labour or child labour shall cause immediate suspension of the Certificate Holder.

2.9.7.3 Other information sources: Regardless of timing, if objective evidence surfaces showing there was a conviction for forced labour or child labour in the UoC within the last 3 years, it shall preclude certification of an applicant and it shall cause immediate suspension of a certified client.

#### **Guidance to CBs**

CB procedures should address how auditors are to respond when they detect a Critical NC for imminent danger (2.9.5 to 2.9.6), forced labour (2.9.7), or child labour (2.9.7). In line with best practice, the auditor should complete the audit so that the Critical NC can be presented to the client in a closing meeting and documented in an audit report. However, some situations may force the auditor to respond by aborting or terminating the audit. For example, audit termination may be justified if a threat to worker/auditor health prevents the safe completion of the audit. Also note that FISH requires CBs have procedures in place to ensure the safety of their auditors (1.10).

2.9.8 If, during the course of a single audit, three (3) or more NCs are identified within any one Criterion, then those NCs shall be graded as one Major NC.

2.9.9 If a Minor NC from a previous audit has not been resolved within the prescribed timeframe, then the grading of that NC shall be elevated to a Major NC.

2.9.10 If during the course of a single audit, ten (10) or more NCs are identified within any one Principle, then a Critical NC shall be raised against the UoC.

2.9.11 If during the course of an audit of a client with a single vessel, five (5) or more Major NCs are identified in total, then it shall trigger a Critical NC raised against the UoC.

2.9.11.1 If multiple vessels are audited, then the number of Major NCs that cause a Critical NC to be triggered shall be adjusted upwards according to the rejection numbers in Table 4.

**Table 4.** Acceptance number and rejection number vs. the number of vessels audited.

Number of Vessels Audited	Number of Major NCs Observed	
	Acceptance Number (Critical NC Not Triggered)	Rejection Number (Critical NC Triggered)
1	4	5
2 to 3	5	6
4 to 5	6	7
6 to 8	7	8
9 to 13	9	10
14 to 20	11	12
20 or more	14	15

Adapted from ISO 2859:1999

2.9.12 If a Major NC from a previous audit has not been resolved within the prescribed timeframe, then the grading of that NC shall be elevated to Critical NC.

2.9.13 CB follow-up on Critical NCs shall be as follows:

- If a Critical NC is raised at initial audit, certification shall not be awarded until a successful re-audit of the CH has been completed.
- If a Critical NC is raised at surveillance audit, certification shall be suspended until a successful re-audit of the CH has been completed.
- If a Critical NC is raised at re-certification audit, re-certification shall not be awarded until a successful re-audit of the CH has been completed.
- The minimum time before scheduling a re-audit shall be six (6) months.

2.9.14 CB follow-up on Major NCs shall be as follows:

- a. If a Major NC is raised at initial audit or re-certification audit, the CB shall request that a corrective action plan (CAP) is provided within 21 days of the date the summary of findings was agreed, and the CB shall verify effective implementation of corrective action(s) within 90 days of the date the CAP was accepted or else the applicant cannot be recommended for certification or re-certification and a re-audit will be required.
- b. If a Major NC is raised at surveillance audit, the CB shall request that a CAP is provided within 21 days of the date the summary of findings was agreed, and the CB shall verify effective implementation of corrective action(s) within 90 days of the date the CAP was accepted or else the NC will be elevated to a Critical NC.
- c. the review of effectiveness of corrective actions described in (a) and (b) above shall be undertaken by a person from the CB who meets competency requirements of a technical reviewer as set out below in 2.11.4a.

2.9.15 For a Minor NC detected during initial audit, surveillance audit, or re-certification audit, the client shall provide the CB with a corrective action plan within 21 days of the date the summary of findings was agreed.

- a. If the CB determines that the proposed corrective action plan is satisfactory, then the client shall be recommended for certification or recertification.
- b. If the CB determines that the proposed corrective action plan is unsatisfactory, then the CB shall inform the client of its determination and allow the client up to an additional 15 days to develop and submit a satisfactory corrective action plan or else a full re-audit will be required.

2.9.16 The CB shall perform follow-up evaluation of all Minor NCs within twelve months of CAP acceptance in order to verify that the CH has effectively implemented corrective actions.

2.9.16.1 Evaluation may rely on an off-site method such as a desktop review of submitted objective evidence or interviews conducted remotely.

2.9.17 After follow-up evaluation of a Minor NC, the CB shall either:

- a. close-out the Minor NC if the CB has determined that corrective actions were effective at resolving the finding; or
- b. elevate the grading to a Major NC if the CB has determined that the actions were ineffective at resolving the finding.

## **2.10 Overall Performance Level**

2.10.1 Audit findings shall be used to calculate the Overall Performance Level (OPL) of the auditee.

2.10.2 For the purposes of calculating OPL, the following shall apply:

- a. the data set shall encompass audit findings from all phases of the assessment including the desktop study and all on-site and/or remote audit activity for each UoC;
- b. auditor observations, recommendations, and/or opportunities for improvement shall be excluded from the data set;
- c. each audit finding shall be raised against a single Indicator and should make clear reference to that Indicator;
- d. when an audit finding is replicated across samples (i.e., when the same NC is found on two or more vessels within the UoC), it shall be considered a single, discrete audit finding with respect to criterion-level performance;
- e. if stratified sampling is used, results from all strata shall be pooled for OPL calculations, although this should not preclude the CB from examining differences between strata;
- f. sub-criteria for Occupational Safety and Health (Criterion 3.2) and Galley and Other Facilities (Criterion 4.7) shall be treated as full criteria when calculating criterion-level performance as indicated in the *FISH Worksheet*; and
- g. Annex 4 shall be treated as a principle when calculating principle-level performance and its subsections shall be treated as full criteria when calculating criterion-level performance.

2.10.3 OPL shall be reported in the summary of findings and the audit report.

**Guidance to CBs:**

CBs may summarize overall performance level using the tools and tables provided in the *FISH Worksheet: Criterion-Level Performance* and/or the *FISH Audit Report Template*.

## 2.11 Audit Report

2.11.1 The format and content of audit reports shall follow Annex 3.

**Guidance to CBs:**

Audit reports may be prepared using the *FISH Audit Report Template*.

2.11.2 The audit report shall clearly state the CB's determination in regards to certification of the CH.

2.11.3 The audit report shall be prepared within 30 days of the date of CAP acceptance, although the CB may extend this time line up to 90 days after the date of CAP acceptance if doing so is justified because of scheduled follow-up actions related to non-conformities.

2.11.4 Audit reports shall undergo a technical review that is consistent with the requirements of Section 7.5 of ISO/IEC 17065:2012 and, in addition, the CB shall ensure that:

- a. the designated technical reviewer is competent in the subject area as demonstrated by meeting the requirements of Annex 5 or having the equivalent of five years of experience in social compliance auditing and/or management system auditing;
- b. the process includes review of supporting material (e.g., auditor notes, checklists) to confirm that all applicable requirements of the standard were evaluated;
- c. the report clearly presents objective evidence in support of any identified non-conformities; and
- d. corrective actions to resolve any identified non-conformities are specified.

2.11.5 Technical review of the audit report shall be initiated within 30 days of the date of CAPs acceptance or, if applicable, at the end of the 90-day period as may be required for NC follow-up (see 2.11.3), and the review should be completed within 15 days of initiation.

2.11.6 A completed audit report shall be provided to the CH.

2.11.7 The CB shall make its audit reports available to the Scheme Owner upon request for the purpose of periodic review of consistency in reporting among CBs.

## **2.12 Certification Decision**

2.12.1 Certification decisions shall comply with the requirements of Section 7.6 of ISO/IEC 17065:2012.

2.12.2 The CB shall inform the Scheme Owner of all certifications within five (5) days of making the certification decision.

## **2.13 Certificates**

2.13.1 The CB shall issue a certificate that clearly indicates the scope of certification and other relevant details of certification, including:

- a. name and address of Certificate Holder;
- b. Unit of Certification;
- c. names of all vessels entitled to use the certificate;
- d. name, version number, and publication date of the FISH Standard for Crew used;
- e. logo and web address of the FISH Standard for Crew;
- f. date of certificate issue and the date of certificate expiry; and

g. signature of issuing officer.

2.13.2 Each certificate shall have a unique certificate registration code.

2.13.2.1 Certificate registration codes shall be in the format 'FISH-####' where the 'FISH' does not change and '####' is a unique four-digit number.

2.13.2.1 The CB shall request the unique four-digit number from the scheme owner.

2.13.3 Certificates shall be valid for a maximum of three (3) years from the date of issue.

2.13.4 The CB shall inform the CH it has the right to make claims about certification only in accordance with the policies of the Scheme Owner.

## **2.14 Surveillance**

2.14.1 The CB shall have a written procedure for periodic surveillance and monitoring of CHs.

2.14.2 Surveillance of CHs shall be conducted at sufficiently close intervals to verify continued compliance with requirements of the FISH Standard for Crew.

2.14.3 CB procedures for determination of surveillance audit frequency shall:

- a. explicitly consider risk;
- b. address timelines for NC follow-up; and
- c. include a rationale for the surveillance interval chosen.

2.14.4 The CB shall assign the CH to one of the following five surveillance schedules:

- a. Schedule A - Two on-site audits at approximately 12 months and 24 months after the date the certificate is issued.
- b. Schedule B - One off-site audit at approximately 12 months after the date the certificate is issued and one on-site audit at approximately 24 months after the date the certificate is issued.
- c. Schedule C - Two off-site audits at approximately 12 months and 24 months after the date the certificate is issued.
- d. Schedule D - One on-site audit approximately 18 months after the date the certificate is issued.
- e. Schedule E - One off-site audit approximately 18 months after the date the certificate is issued.

2.14.5 Assignment to a given surveillance schedule (Schedule A, B, C, D, or E) shall be consistent with the analysis of the risk factors given in Table 5 for CH performance and composition.

2.14.5.1 The CB shall not assign the CH to a category of reduced risk (Schedule B or C), low risk (Schedule D), or very low risk (Schedule E) if the CH was involved in child labor, forced labor, or has otherwise had a critical NC raised within the last three years.

Table 5. Surveillance schedules and risk factors.

	Schedule A (normal risk)	Schedule B (reduced risk)	Schedule C (reduced risk)	Schedule D (low risk)	Schedule E (very low risk)
Eligible UOC types	All	multi-vessel	single vessel	multi-vessel	single vessel
Audit Frequency	12 mo	12 mo	12 mo	18 mo	18 mo
Audit Type	on site/on site	on site/off site	off site/off site	on site	off site
Risk Factors					
UOC Risk Score (Appendix 4)	> 27 or unknown	≤ 27	NA	≤ 27	NA
Continuity of management since last audit	Unknown or other	No major change	No major change	No major change	No major change
Continuity of operations since last audit	Unknown or other	No major change	No major change	No major change	No major change
Results of OSH Review since last audit	Unknown or other	Unknown or other	Unknown or other	No major safety issues identified in OSH review	No major safety issues identified in OSH review
Results of Internal Audit (IA) since initial or recertification audit	Unknown or other	Unknown or other	Unknown or other	IA completed for > 50% of vessels. No major performance issues identified.	IA completed. No major performance issues identified.
Outstanding NCs from last audit	One or more open NC	One or more open NC	One or more open NC	No open NCs	No open NCs
Open NC that requires on-site verification (e.g., crew interviews)	one or more open NC	None	None	NA	NA

- 2.14.6 Regardless of the risk considerations set out in 2.14.4 and 12.14.5, the assigned surveillance schedule shall not constrain the CB from considering new information and, if necessary, conducting an on-site audit and/or a short-notice audit if the CB determines that it is necessary to do so.
- 2.14.7 In response to a credible allegation that the CH is not in conformity with the Standard, the CB shall conduct a short-notice or unannounced surveillance audit.

## **2.15 Change in Scope**

- 2.15.1 The CB shall review requests from CHs for changes in scope (e.g., adding vessels to or removing them from the UoC) and may seek further information as needed.
- 2.15.2 Before adding a new vessel to the UoC, the CB shall satisfy itself through desk review or on-site audit that such a change does not undermine compliance of the CH with the FISH Standard for Crew.

## **2.16 Re-Certification**

- 2.16.1 Re-certification shall be based on a full re-evaluation of each CH i.e., it shall entail repeating the processes for an initial audit as described in sections 2.3 to 2.12.
- 2.16.2 For re-certification of a CH with multiple vessels, the sampling requirements for initial evaluations (Sections 2.2 and 2.3) are applicable with the exception that the CB shall prioritize selection of vessels not previously audited by the CB.
- 2.16.3 To allow for continuity, the CB shall initiate each re-certification with sufficient lead time to enable completion of the re-certification process prior to expiry of the existing certificate and in any event not less than 101 days before certificate expiry.
- 2.16.4 The CB shall inform the Scheme Owner of all re-certifications within five (5) days of making the certification decision.

## **2.17 Changes Affecting Certification**

- 2.17.1 The CB shall have written procedures to ensure that the CB notifies applicant and certified clients of changes or revisions to FISH Standard for Crew scheme requirements. Procedures for change notification shall, at a minimum, indicate:
  - a. the timeframe for the CB to notify CHs, whether applicant or certified, of the change;
  - b. the manner in which the CB will provide notification to CHs;
  - c. how the CB will bring to the attention of the CH any changes that may affect ongoing compliance of the CH with the FISH Standard for Crew; and

- d. the mandatory transition period, as specified by the Scheme Owner, during which time the CH must attain full compliance with new or revised scheme requirements.

2.17.2 The CB shall verify implementation of changes by its clients and shall take actions as required including those identified in section 7.10 of ISO/IEC 17065:2012 or as may be specified by the Scheme Owner.

## **2.18 Certification Agreement**

- 2.18.1 The CB shall have a legally enforceable contract or 'certification agreement' for the provision of certification services to its clients.
- 2.18.2 The CB's certification agreement shall comply with the requirements of section 4.1.2 of ISO/IEC 17065:2012.
- 2.18.3 The CB's certification agreement shall contain a provision which specifies that incorrect or misleading use of the FISH logo or FISH claim shall be dealt with by suitable action from the CB and may result in suspension or withdrawal of the certificate.
- 2.18.4 The certification agreement shall contain a provision allowing the CB to conduct short-notice or unannounced surveillance audits in response to credible allegations that the CH is not in conformity with the Standard.

### 3 Resource Requirements for Certification Bodies

#### 3.1 Management of Competence

- 3.1.1 The CB shall establish, implement and maintain procedures for the management of competence of personnel involved in FISH Standard for Crew certification processes.
- 3.1.2 The CB's system for management of competence referred to in 3.1.1 shall address the requirements set out in sections 3.2 to 3.7 below.
- 3.1.3 Notwithstanding 3.1.1 and 3.1.2, the Scheme Owner may allow the CB a defined transition period to meet the competence criteria set out in sections 3.2 to 3.7.
  - 3.1.3.1 The scope and duration of the transition period shall be agreed in writing between Scheme Owner and CB, and it shall not be longer than two (2) years.

#### 3.2 Competence Criteria

- 3.2.1 The CB may set its own competence criteria for lead auditors and other personnel involved in certification processes but these criteria shall be in addition to - not substituted for - the competence criteria set by the Scheme Owner.
- 3.2.2 At a minimum, CB competence criteria for lead auditors shall address the requirements of Annex 5.
- 3.2.3 At a minimum, CB competence criteria for other personnel involved in FISH Standard for Crew certification processes shall be set to ensure that they have the necessary education, training, technical knowledge and experience for their roles.
  - 3.2.3.1 Audit Teams: In line with the transitional arrangements provided for in clause 3.1.3, the CB may put forward a multi-person audit team to fulfil the lead auditor requirements of Annex 5 until such competencies can be developed in single individuals.

#### 3.3 Training Requirements

- 3.3.1 Lead auditors shall meet social compliance audit training requirements as set out in Annex 5.
- 3.3.2 Lead auditors shall successfully complete training in the FISH Standard for Crew.
  - 3.3.2.1 Training programmes for the FISH Standard for Crew shall receive prior approval of the Scheme Owner.
- 3.3.3 In addition to the training requirements referred to in 3.3.1, 3.3.2 and 3.3.3, the CB shall identify any further training that lead auditors or other personnel may need and the CB shall make such training available to them as necessary.
  - 3.3.3.1 Further training may be needed if the auditor works in a region where some types of labour abuse are known to be high risk.

### **3.4 Competence Assessment**

- 3.4.1 The CB shall perform competence assessments of lead auditors and other personnel involved in FISH Standard for Crew certification processes on an ongoing basis.
- 3.4.2 The competence assessments referred to in 3.4.1 shall include an evaluation of:
  - a. knowledge and interview skills relevant to the specific role(s) to which he or she will be assigned;
  - b. knowledge of social and labour issues of relevance to the fishery sector and region;
  - c. ability to access and apply laws and regulations relevant to the fishery sector; and
  - d. personal attributes to ensure that conduct is professional and follows ISO 19011.
- 3.4.3 The CB shall include a period of supervision (i.e., witnessed audits) to assess lead auditor competency in applying the FISH Standard for Crew, relevant audit techniques, and sector knowledge.

### **3.5 Formal Authorization**

- 3.5.1 There shall be a documented sign-off to indicate the lead auditor or other involved person meets competence criteria and is formally authorized by the CB for his or her assigned role.

### **3.6 Maintenance of Competence**

- 3.6.1 The CB shall ensure that lead auditors maintain sector and scheme knowledge.
  - 3.6.1.1 Scheme knowledge shall be maintained through 'refresher' training in the FISH Standard for Crew at least once every two (2) years and following every major scheme revision.
- 3.6.2 The CB shall implement a continuing professional development programme for its auditors to keep them informed of developments in best practice and social and labour issues in fisheries.
- 3.6.3 The CB shall implement an auditor calibration programme to ensure consistency among auditors.

### **3.7 Records of Competence**

- 3.7.1 The CB shall keep records sufficient to demonstrate that all lead auditors and other involved personnel fulfil competence requirements.

3.7.2 Records of competence shall include:

- a. name and address;
- b. previous employer(s) and position held;
- c. educational qualification and professional status;
- d. experience and training;
- e. the assessment of competence;
- f. performance monitoring;
- g. authorizations held within the CB; and
- h. date of the most recent updating of each record.

## PART II: ACCREDITATION

### 4.1 General Requirements for Accreditation Bodies

- 4.1.1 The AB shall enter into a memorandum of understanding (MOU) with the Scheme Owner before undertaking any accreditation activities related to the FISH Standard for Crew Certification Scheme.
  - 4.1.1.1 The MOU shall specify that the AB will notify the Scheme Owner within two (2) days of any negative determination about a CB's accreditation status (i.e., suspension, termination or withdrawal of accreditation) in relation to the FISH Standard for Crew Certification Scheme.
- 4.1.2 The AB shall comply with the requirements of the current version of ISO/IEC 17011.
  - 4.1.2.1 AB compliance with ISO 17011 may be demonstrated by:
    - (a) a certificate of conformity or comparable certification documents; or
    - (b) an audit report or its equivalent showing that the AB has successfully undergone an independent peer review against the requirements of ISO 17011.
- 4.1.3 The AB shall undergo external audits or independent performance assessments at regular intervals not to exceed 48 months.
  - 4.1.3.1 Reviews of AB performance referred to in 4.1.3 shall encompass the FISH Standard for Crew Certification Scheme.
  - 4.1.3.2 Audit reports or assessment reports resulting from review of AB performance shall be made available to the Scheme Owner upon request.
- 4.1.4 The AB shall be a member of the International Accreditation Forum (IAF) and a signatory to the IAF Multilateral Recognition Arrangement (MLA).
- 4.1.5 The AB shall have policies and procedures in place to ensure that the organization is operated in a non-discriminatory manner.
- 4.1.6 The AB shall ensure that all qualified CBs are afforded access to accreditation regardless of their size or country of origin/operation, and irrespective of the number of existing accredited CBs.
- 4.1.7 The AB shall publish information about its organizational structure.
- 4.1.8 The AB shall publicly disclose its sources of support including information on financial and other types of support received from public and/or private entities.

4.1.9 The AB shall have written, publicly available procedures for complaints and appeals that meets the requirements of Section 5.9 (Complaints) and Section 7.10 (Appeals) of ISO/IEC 17011:2004 or comparable requirements from a more recent edition of ISO/IEC 17011.

## 4.2 Process Requirements for Accreditation Bodies

### **Scheme-Specific Requirements**

4.2.1 As part of the accreditation process, the AB shall verify that CBs are in compliance with all scheme-specific requirements as set forth in the *Certification & Accreditation Requirements for the FISH Standard for Crew* (i.e., this document).

4.2.2 In addition to 4.2.1, the AB shall verify that CBs fulfil scheme-specific requirements as may be set out by the Scheme Owner in contracts or MOUs entered into by the CB in relation to certification services associated with the FISH Standard for Crew.

4.2.3 The verification activities of the AB referred to in 4.2.1 and 4.2.2. shall be in addition to the AB's assessments which are necessary to verify CB conformity with the AB's own accreditation requirements or applicable ISO requirements (e.g., assessment of CB conformity with ISO/IEC 17065).

4.2.4 Should the Scheme Owner modify the requirements of the FISH Standard for Crew Certification Scheme, the AB shall give CBs a transition period to attain compliance with those new or revised requirements.

4.2.5 The AB shall implement defined timeframes for transition periods that comply with specifications given by the Scheme Owner.

### **AB Assessments**

4.2.6 The AB's accreditation procedures for the FISH Standard for Crew Certification Scheme shall specify that audits of the CB are conducted at all relevant office locations including:

4.2.6.1 The head office of the CB, where head office is defined as the location taking overall responsibility for oversight and management of the CB's FISH Standard for Crew Certification Programme; and

4.2.6.2 Any affiliate office where CB activities are identified by the AB as having high risk.

4.2.7 The AB's accreditation procedure for the FISH Standard for Crew Certification Scheme shall include on-site assessment of CB performance in the field.

4.2.7.1 Assessment of CB performance in the field shall involve the AB 'witnessing' one or more of the CB's auditors performing audits of Certificate Holders.

- 4.2.8 The AB shall prepare assessment reports summarizing the results of its accreditation assessments of CBs in the area of the FISH Standard for Crew Certification Scheme.
- 4.2.9 The AB shall make its assessment reports available to the Scheme Owner upon request.

### 4.3 Resource Requirements for Accreditation Bodies

- 4.3.1 The AB shall have a sufficient number of competent personnel to handle the volume of work associated with a FISH Standard for Crew scope of accreditation.
- 4.3.2 The AB shall describe the qualifications, experience and competence that is required of its assessors, experts and any other personnel who will be assigned to perform accreditation activities within the FISH Standard for Crew scope of accreditation.
- 4.3.3 The description in 4.3.2 shall address:
  - 4.3.3.1 minimum requirements for education, training on the FISH Standard for Crew, technical knowledge and experience relative to the role/activities performed;
  - 4.3.3.2 minimum requirements for education, training, technical knowledge and experience in social compliance auditing; and
  - 4.3.3.3 specific knowledge that is required of AB assessors with respect to social issues and labour practices in the fisheries and seafood processing sectors.
- 4.3.4 The AB shall keep records sufficient to demonstrate that assigned personnel fulfil the qualifications, experience and competence described in 4.3.2.

## PART III: CHAIN OF CUSTODY

The FISH Standard for Crew is intended primarily as a tool for business-to-business communication. The Scheme Owner intends that CHs will be entitled to make a claim about their operational processes rather than making claims about their products. Consequently, the FISH Standard for Crew Certification Scheme does not have a Chain of Custody (CoC) Standard or CoC Certification System for assessing the integrity of the supply chains of participating vessel owners and companies. Nonetheless, it may be worthwhile to consider the role of CoC systems now because the FISH Standard for Crew might be expanded in the future to include traceability systems. Therefore, a provisional section on CoC is set out below to explore the possibility of utilizing existing CoC systems as a basis for traceability in the FISH Standard for Crew Certification Scheme.

### **5.1 Gather Information on Existing CoC Systems**

- 5.1.1 At the request of the Scheme Owner, the CB shall gather information from its clients about their existing CoC systems to help assess the diversity of systems that are already in place.
- 5.1.2 The information gathered in 5.1.1 may include client data about:
  - a. current certifications for Chain of Custody and/or traceability;
  - b. results from second-party audits (i.e., supplier audits) relating to CoC and traceability;
  - c. requirements imposed by regulators, buyers or other groups relating to CoC; and
  - d. reports or other evidence from relevant inspections (e.g., food safety).
- 5.1.3 The information gathered in 5.1.1 shall be kept confidential between CB and Scheme Owner.

### **5.2 Determine the Feasibility of using Existing CoC Systems**

- 5.2.1 At the request of the Scheme Owner, the CB should cooperate with efforts (e.g., pilot studies) to explore the feasibility of using the existing CoC systems among CHs as a basis for establishing Chain of Custody requirements for the FISH Standard for Crew Certification Scheme.

## Annex 1. Glossary of Terms

<b>Acceptance Number</b>	The maximum number of observed major non-conformities in an audit sample that will not trigger raising a major NC against the UoC represented by the audit sample.
<b>Accreditation</b>	Third-party attestation about the competency of a CB to assess conformity against specified standards.
<b>Accreditation Body (AB)</b>	An organization that provides accreditation of CBs for specified standards and scopes.
<b>Appeal</b>	Request by a party to reconsider a determination made by an organization. In the context of certification, an appeal is a request from a client for reconsideration of any adverse decision made by the CB in relation to the client's desired certification status.
<b>Audit</b>	Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
<b>Audit Criteria</b>	Set of policies, procedures or requirements used as a reference against which audit evidence is compared.
<b>Audit Evidence</b>	Records, statements of fact or other information which are relevant to the audit criteria and verifiable. Can be qualitative or quantitative.
<b>Audit Finding</b>	Results of the evaluation of the collected audit evidence against audit criteria. Audit findings may indicate conformity or nonconformity or lead to the identification of opportunities for improvement.
<b>Audit Programme</b>	Arrangements for a set of one or more audits planned for a specific time frame and directed towards a specific purpose.
<b>Auditor</b>	Person who conducts an audit.
<b>Certificate Holder (CH)</b>	The individual(s) assuming overall responsibility for meeting the requirements of the FISH Standard for Crew and providing liaison with the Certification Body. The term applies to both applicant and certified entities. The Certificate Holder may be a vessel owner, a vessel operator, a company appointee, a fishermen's association representative, or another third-party with delegated authority for the UoC.
<b>Certification Body (CB)</b>	An independent body providing conformity assessments and certification services. Also known as Conformity Assessment Body or CAB.
<b>Certification Agreement</b>	A legally enforceable agreement between CB and client for the provision of certification services.
<b>Certification Requirement</b>	Mandatory requirement for CBs
<b>Certification Scheme</b>	A certification system to which the same specified requirements, specific rules and procedures apply.
<b>Certified Claim</b>	A claim about certification that may be made by a Certificate Holder having met the FISH Standard for Crew.
<b>Company</b>	A commercial enterprise that owns/operates one or more fishing vessel. May be the object of certification (i.e., the Certificate Holder).
<b>Competence</b>	Ability to apply knowledge and skills to achieve intended results. Note: Ability implies the appropriate application of personal behaviour during the audit process.

<b>Corrective Action</b>	Action taken to eliminate the cause of a non-conformity or other undesirable situation.
<b>Crew</b>	The full complement of fishers employed onboard a fishing vessel.
<b>Days</b>	Refers to calendar days unless otherwise indicated.
<b>Fisher</b>	Any person who is employed or engaged by the vessel owner/company to work in any capacity on board a fishing vessel including persons who are paid on the basis of a share of the catch. Fishers may be employed on a permanent, part-time or seasonal basis. Excluded from this definition are pilots, fisheries observers, naval personnel, and other persons in the permanent service of government, as well as shore-based persons carrying out temporary work aboard a fishing vessel such as vendors and technicians. A fisher may also be the owner/operator of the fishing vessel.
<b>Fishing Vessel (Vessel)</b>	A ship or boat used or intended to be used for commercial fishing.
<b>Fishing Vessel Operator (Vessel Operator)</b>	A person or organization other than the fishing vessel owner who has assumed responsibility for the operation of that fishing vessel from the owner. Where the FISH Standard for Crew specifies that the fishing vessel owner is responsible for meeting a requirement, the fishing vessel operator, if applicable, shall assume responsibility for meeting said requirement unless otherwise specified and regardless of whether any other organization or person has assumed responsibilities on behalf of the fishing vessel owner. The fishing vessel operator may also be a fisher on board the vessel.
<b>Fishing Vessel Owner (Vessel Owner)</b>	The legal owner of a fishing vessel. A fishing vessel owner may be the object of certification (i.e., the Certificate Holder). The fishing vessel owner may also be a fisher on board the vessel.
<b>FISH Standard for Crew Certification Programme</b>	A programme operated by an accredited CB for the purpose of evaluating organizations against the requirements of the FISH Standard for Crew.
<b>FISH Standard for Crew Certification Scheme</b>	A framework for the implementation of the FISH Standard for Crew consisting of certification requirements, accreditation requirements, guidance materials, and other associated scheme documents.
<b>FISH Standard for Crew</b>	See Standard
<b>FISH SC</b>	Organization that owns the <i>FISH Standard for Crew</i> certification scheme.
<b>Imminent Danger</b>	A condition or practice in the workplace that creates a danger which could reasonably be expected to cause death or serious physical harm to fishers immediately or before the imminence of such danger can be eliminated through intervention by the relevant agency or authority.
<b>Initial Audit</b>	Full audit of an uncertified vessel owner/company to determine the extent of conformity with the FISH Standard for Crew. An initial audit is the basis for initial certification of a vessel owner/company by a CB.
<b>Management System</b>	System to establish policy and objectives and to achieve those objectives. Note: A management system of an organization can include different management systems, such as a quality management system, a financial management system or an environmental management system.
<b>Member</b>	A vessel owner, vessel operator, company or other person or entity who has a legal or contractual link with the Certificate Holder.
<b>Member Vessel</b>	A fishing vessel owned or operated by a Member. Member vessels are identified in the Unit of Certification.
<b>Memorandum of Understanding (MOU)</b>	Formal agreement between two or more parties to establish official partnerships. MOUs are not legally binding but carry a degree of seriousness. 'Memorandum of Agreement' (MOA) is a synonym.
<b>Non-Conformity (NC)</b>	The non-fulfilment of a requirement.

<b>Re-Certification Audit</b>	Full audit of a certified vessel owner/company to determine the extent of conformity with the FISH Standard for Crew. A re-certification audit is the basis for re-certification of a vessel owner/company by a CB.
<b>Rejection Number</b>	The minimum number of observed major non-conformities in an audit sample that will trigger raising a major NC against the UoC represented by the audit sample.
<b>Scheme Owner</b>	The organization owning a certification scheme. FISH SC is Scheme Owner of the FISH Standard for Crew certification scheme.
<b>Scope of Certification</b>	The specific products and processes for which certification is sought or granted and the standard to which they comply.
<b>Suspension</b>	The process of making certification temporarily invalid for all or part of the scope of certification.
<b>Standard</b>	The Fairness, Integrity, Safety and Health (FISH) Standard for Crew; FISH Standard for Crew.
<b>Termination</b>	Process for voluntary cancellation of certification.
<b>Unit of Certification (UoC)</b>	A concise delineation of the unit to be certified. The UoC is comprised of the Certificate Holder, fishing vessel(s), and applicable jurisdiction.
<b>Withdrawal</b>	Process of revoking or cancelling a certification in full.
<b>Worker</b>	A synonym of 'Fisher'.

## Annex 2. List of Acronyms

AB	Accreditation Body
APA	At-Sea Processors Association
APSCA	Association of Professional Social Compliance Auditors
CAP	Corrective Action Plan
CB	Certification Body
CH	Certificate Holder
CoC	Chain of Custody
FISH	Fairness, Integrity, Safety, and Health
FISH SC	Owner of the FISH Standard for Crew certification scheme
GSSI	Global Sustainable Seafood Initiative
IAF	International Accreditation Forum
IEC	International Electrotechnical Commission
ILO	International Labour Organization
ISO	International Organization for Standardization
MLA	IAF Multilateral Recognition Arrangement (MLA)
MOU	Memorandum of Understanding
MSC	Marine Stewardship Council
NC	Non-Conformity
OPL	Overall Performance Level
QMS	Quality Management System
SMETA	Sedex Members Ethical Trade Audit
SOC	Standard Oversight Committee
SSCI	Sustainable Supply Chain Initiative

UoC

Unit of Certification

## Annex 3. Format and Content of Audit Reports

Report Section	Content
1. Summary Information	The list of summary information should include: <ul style="list-style-type: none"> <li>- CB name, point of contact for FISH Standard for Crew certification, and contact details;</li> <li>- Report completion date;</li> <li>- Report authors;</li> <li>- Audit type (initial, surveillance, recertification);</li> <li>- Audit notice (announced, short notice/semi-announced, unannounced)</li> <li>- CH name, point of contact, and contact details;</li> <li>- Certificate code (if issued);</li> <li>- Date of certificate issue and expiry (as applicable); and</li> <li>- Description of the UoC.</li> </ul>
2. Synopsis	A concise summary of the most important features of the audit including a brief description of the CH, scope of the audit, significant findings & conclusions, and the CB's determination with respect to certification.
3. Audit Objective	The audit objective should be stated e.g., To verify the CH meets all applicable requirements of the FISH Standard for Crew across the entire UoC.
4. Audit Scope	An explicit description of the scope of certification. Scope should be aligned with the UoC as identified on the certificate.
5. Background	A description of the CH, its main activities, and its management systems as they relate to the FISH Standard for Crew.
6. Audit Process	A detailed description of the audit process. This section should specify: <ul style="list-style-type: none"> <li>- the standard used with date and version number;</li> <li>- qualifications of the lead auditor and members of audit team;</li> <li>- the audit itinerary and audit participants;</li> <li>- all sites and vessels that were visited as part of the audit;</li> <li>- audit duration and number of persons interviewed and</li> <li>- the rationale for stratification of sampling if applicable.</li> </ul>
7. Detailed Findings	Positive outcomes of the audit A description of each non-conformity with: <ul style="list-style-type: none"> <li>- the applicable requirement(s) of the FISH Standard for Crew;</li> <li>- grading (minor, major or critical NC) with supporting rationale; and</li> <li>- timeframe for resolution of the finding(s).</li> </ul>
8. Overall Performance Level	Calculated levels of performance are reported for: <ul style="list-style-type: none"> <li>- critical issues (child labour, forced labour, imminent danger);</li> <li>- principle-level analysis;</li> <li>- criterion-level analysis; and</li> <li>- relative to the acceptance/rejection numbers.</li> </ul>
9. Minimum Age	As applicable, details about any workers under 16 years of age that may be employed and the nature of work that they perform on the fishing vessel.
10. Determination	The certification determination should be stated clearly. If applicable, extensions or reductions in scope of certification should be identified. The CB's certification decision-maker (person or committee) should be identified.
11. Risk Assessment	Append a copy of the completed risk assessment (Annex 4).



## Annex 4. Risk Analysis for Certificate Holders with Multiple Vessels

CBs should enter a single score for each risk factor into the right-hand column and then calculate the total risk score. The lowest possible risk score is 9, the highest is 45, and the midpoint is 27. Scores less than or equal to 27 are considered low risk while scores of 28 or greater are considered high risk.

No.	Risk Factor	Risk Value	Score (R.V.)
1	Ownership Arrangement		
	Single owner	1	
	Multiple owners	5	
2	Organizational Structure of CH		
	Single Company with a Board of Directors	1	
	Trade Association with a Board of Directors	3	
	Fishing cooperative or another arrangement without Board oversight	5	
3	Type of Quality Management System (QMS)		
	Central QMS is in place, all vessels are subject to internal audits	1	
	Intermediate or weakly established QMS, some internal auditing of vessels	3	
	No formal QMS, no formal system for conducting internal audits of vessels	5	
4	Breadth of the programme for internal audits against the FISH Standard for Crew		
	All vessels have received an internal audit against the FISH Standard for Crew	1	
	Most vessels have received an internal audit against the FISH Standard for Crew	3	
	Fewer than half of the vessels have received an internal audit against the FISH Standard for Crew	5	
5	Findings from internal audits of vessels against the FISH Standard for Crew		
	Internal audits of all vessels against FISH Standard for Crew revealed no critical NCs and no system-wide issues of concern.	1	
	Internal audits of most vessels against the FISH Standard for Crew revealed no critical NCs and no system-wide issues of concern.	3	
	Other situation – fewer than half of the vessels were subject to an internal audit against FISH Standard for Crew and/or the internal audits revealed critical NCs or indicated there may be system-wide issues of concern.	5	
6	Known risks associated with the UoC or region of operation		
	Independently assessed <sup>4</sup> as a low or moderate risk fishery or area	1	
	Independently assessed as a high-risk fishery or area	3	
	Independently assessed as a critical risk fishery or area	5	

<sup>4</sup> Independent assessment of the risks associated with the UoC/region of operation may come from governmental agencies (e.g., Task Force on Human Trafficking in Fishing in International Waters; Bureau of International Labor Affairs List of Goods Produced by Child Labor or Forced Labor), online risk assessment tools (e.g., the forthcoming Seafood Slavery Risk Tool), or another resource that is considered to provide relevant and reliable information. The CB should be able to justify its decision regarding selection of resource base for independent risk assessment.

7	Prior history of forced labour violations <sup>5</sup>		
	There have been no successful prosecutions of the CH nor any vessel within the UoC for a forced labour violation in the last five years.	1	
	The CH or a vessel within the UoC was successfully prosecuted for a forced labour violation within the last five years.	5	
8	Reliance on recruitment services		
	Recruitment services are not used within the UoC or the use of recruitment services is rare within the UoC.	1	
	Use of recruitment services is not common within the UoC although some participants may use such services. No participants rely exclusively on recruitment services for the hiring and placement of fishers.	3	
	Most UoC participants use recruitment services. Some may be entirely reliant on recruitment services for the hiring and placement of fishers.	5	
9	Typical duration of fishing voyages <sup>6</sup>		
	< 30 days	1	
	30 to 90 days	3	
	> 90 days	5	
		Total =	

<sup>5</sup> See section G7.4 of the MSC Fisheries Certification Requirements and Guidance (Version 2.0, 2014) for further discussion of how to define a forced labour violation.

<sup>6</sup> 'Typical duration of fishing voyage' is an estimate of the number of days that a fisher would spend at sea on a typical fishing trip. In most cases, the CH will be able to estimate the duration of a typical fishing trip based on prior experience with fishing vessels departing from and returning to a home port. In other cases, the timing of embarkation and/or disembarkation of crew members may be driven by other factors such as scheduled ports of call. As per FISH guidance to GP 4 (FISH Auditor Guidance Manual), CHs should be able to justify their calculations.

## Annex 5. Lead Auditor Competence Requirements

Category	Requirement
1. Experience	<p>The lead auditor shall have experience with social compliance auditing which meets the following:</p> <ul style="list-style-type: none"> <li>- at least one (1) year of social compliance audit experience; and</li> <li>- a minimum of 100 social compliance audit days</li> </ul> <p>OR</p> <ul style="list-style-type: none"> <li>- at least two (2) years of related audit experience*; and</li> <li>- a minimum of 50 social compliance audit days; and</li> <li>- a minimum of 150 total audit days of related audit experience.</li> </ul> <p>*Related audit experience includes all audits with a substantial social compliance component and also includes experience in the auditing of management systems, environmental systems, and health and safety systems. It may also include experience with vessel inspections and/or investigations relating to labour and/or health and safety issues.</p>
2. Qualifications	<p>The lead auditor shall have at least one of the following qualifications:</p> <ul style="list-style-type: none"> <li>- APSCA Certified Social Compliance Auditor (APSCA CSCA);</li> </ul> <p>OR</p> <ul style="list-style-type: none"> <li>- APSCA Associate Social Compliance Auditor (APSCA ASCA);</li> </ul> <p>OR</p> <ul style="list-style-type: none"> <li>- A comparable qualification as a social compliance auditor that is recognised by the FISH Board of Directors as being substantially equivalent to APSCA-certified or APSCA-associate status.</li> </ul>
3. Training	<p>Completion of a lead auditor training course based on ISO 19011 or ISO 9001</p> <p>AND</p> <p>Completion of an approved FISH Standard for Crew training course</p> <p>AND</p> <p>One of the following:</p> <ol style="list-style-type: none"> <li>1) Completion of a recognized social compliance auditor training course (SA8000, SMETA or equivalent)</li> </ol>

	<p>OR</p> <p>2) Completion of classroom training with an APSCA Member Firm or an APSCA-approved organization.</p>
4. Knowledge	<p>The lead auditor shall have demonstrable knowledge of:</p> <ul style="list-style-type: none"> <li>- human rights abuses which may be high risk in the sector or region;</li> <li>- applicable local and national labour laws and regulations; and</li> <li>- fishing operations as relevant to the sector and region.</li> </ul>