"Achieving Outcomes by Building Capability"

The AgriBusiness Group™

SAFE Agricultural Trade Facilitation through economic integration in the Pacific Project (SAFE Pacific) project.

Final Report
Provision of Auditor Services and Their Training

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SAFE PACIFIC
Safe Agricultural trade Facilitation
through Economic integration in the Pacific

EUROPEAN UNION   Pacific Community Communauté du Pacifique

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Executive Summary

1. Introduction.

The Safe Agricultural Trade Facilitation through Economic integration (SAFE) in the Pacific project aims to increase export capacity and improve economic growth in 15 Pacific Countries. This report has been prepared to support a component of SAFE that is looking to strengthen the competitiveness of sustainable agricultural value-chains in the Pacific by working with Micro, Small & Medium Enterprise's (MSME), producer clusters and industry facilitators including the providers of market certifications.

2. Report Scope

This report has been prepared as part of project *task 2.0 Development/identification of the relevant auditing training for the identified certifications.* This report reflects the completion of the following outputs:

- o *Output 4 - Prepare a report defining the focal certification pathways and the associated roles, qualifications and requirements for the training and accreditation of auditors.*
- o *Output 5 – Prepare a training and auditor accreditation profile for each of the focal market certification programme.*

In addition this report undertakes further investigation into the focal market assurance programmes:

- o To clarify whether the use of local auditors for the focal market certification programmes can be used and if so under what conditions.
- o To review the overall feasibility and viability of establishing local auditors for the focal different market certification programmes.

3. Methodology.

The research undertaken as part 1 of this project reported in *Assessment of priority market certification programmes* identified the voluntary certification programmes that would be focused on by the project.

- o Food safety
- o Fairtrade
- o Rainforest Alliance
- o Organic
- o Sustainable Fisheries – Marine Stewardship Certification (MSC)

The information for this report was obtained from an internet and literature review.

4.Food Safety assurance

- o The management of food safety risks has been a major focus of regulators and industry for many years and the establishment of a food safety programme is a minimum requirement for market access.
- o There are a large number of food safety assurance programmes. Hazard Analysis and Critical Control Point (HACCP) systems are probably the most appropriate for MSME.
- o It is recommended that the scope of activity for the SAFE project is clarified following discussions with the PHAMA plus programme.
- o A possible next step following these discussions is to establish a relationship(s) with food safety certification bodies active in the SAFE countries to clarify the level of interest in the development of a local auditor capability. This should also clarify their auditor qualification and competence requirements.

- o Regionally active certified auditor training providers have been identified and as well it is anticipated that the food safety certification bodies may have their own training programmes.

5. Fairtrade certification
- o Fairtrade International has developed and owns Fairtrade standards which encompass environmental, social and economic requirements.   FLOCERT is the only certifier for Fairtrade producers.
- o There are provisions in the *Fairtrade International Requirement for Assurance Providers* that allow the use of contracted qualified auditors. Required qualifications include a minimum of one year auditing or 100 audit days to one or more standards for a recognised certification body or internationally recognised financial reporting standards.
- o The requirements for contract auditors to have a minimum 1-year auditing or 100 audit days may be difficult to comply with considering the comparatively small number of potential audits for Fairtrade in the Pacific.
- o It is recommended that contact is made with FLOCERT to discuss the possible opportunities for linkage with the SAFE project and the development of Pacific Fairtrade auditor capability. Preliminary discussions with *Fairtrade Australia New Zealand* would be useful to clarify their support for this.

6. Rainforest Alliance
- o The Rainforest Alliance has a well-established process for the training and approval of auditors.
- o The potential for the establishment of local auditors through the SAFE project to decrease auditing costs for Rainforest Alliance certification appears technically feasible however this would require close consultation with those accredited certification bodies that are active in the Pacific region.
- o The following issues in relation to the establishment of auditors have been identified:
    - o Auditors require a significant level of training as well as the need to complete a minimum number of audits. The small number of current Rainforest Alliance certified operations in the Pacific may make it difficult to sustain an auditor capacity.
    - o Auditing is a key component of the Rainforest Certification programme. Certification Bodies may be reluctant to subcontract these services especially considering the potential sanctions that could be placed on their overall business if these do not meet Rainforest Alliance certification requirements.
    - o [The costs associated with Rainforest Alliance certification](#) as well as the certification costs required by the recognised certification body should be reviewed to clarify the relative cost benefit of providing local auditors.
    - o It is recommended that contact is established with the following Rainforest Alliance recognised certification bodies to explore their interest in working with the SAFE project to develop local auditor capability; [Control Union BV;](#) Sustainable Development Services; [SCS Global Services; IMO Control India; Preferred by Nature.](#)

7. Organic certification
- o As established in the survey associated with the previous report there is strong interest from producers, processors and other stakeholders to obtain organic certification. Organic

certification is well established in most of the SAFE focal countries by at least 15 certification bodies.

- o The qualifications and competency requirements for organic auditors are loosely defined in the IFOAM Norms. More prescriptive requirements are defined by the market access regulations established for many markets and adopted by certification bodies that have recognition and access to these markets. Training requirements may however vary between certification bodies.

- o Many certification bodies provide their own auditor training. There are also a number of auditor training provided by organic sector organisations and private providers.

- o It is recommended that expressions of interest to work with the SAFE project are solicited from the certification bodies active in the Pacific. This can then inform the design of a auditor training programme – as well as the selection criteria for local auditors.

8. Fisheries certification

- o The Pacific region is mainly composed of oceans with plentiful seafood. The development of these resources in a sustainable way is a key strategy for economic development for many of the SAFE project focal countries. Marine Stewardship Certification (MSC) appears to be the main fisheries assurance programme adopted in the Pacific provide assurance on the sustainable management of fisheries .

- o The qualifications for auditors require a wide range of specialist technical qualifications relating to the sustainable management of fisheries in addition to auditing skills. This requirement makes it doubtful whether generic locally based auditors will meet the MSC and certification body requirements. Certification bodies include SCS Global Services, Control Union UK, Acoura Marine Limited.

- o It is suggested that contact is made with MSC accredited certification bodies active in the Pacific to clarify potential opportunities for the development of locally based certifiers. In addition it is suggested that links be established with regional organisations that are supporting the development of sustainable fisheries in the Pacific to clarify opportunities.

9. Next steps

- o Recommendations have been provided to follow-up the establishment of relationships with certification bodies involved in the delivery of the focal market certification programmes. It is suggested that the development of these relationships will clarify the level of interest in the establishment of a local auditor capability and subsequently the required qualifications and competence requirements for auditors.

1 Introduction

1.1 Background

The Safe Agricultural Trade Facilitation through Economic integration (SAFE) in the Pacific project aims to increase export capacity and improve economic growth. SAFE Pacific is part of a larger EU-funded *'Pacific Regional Integration Support'* (PRISE) programme and is implemented in 15 Pacific countries (Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor Leste, Tonga, Tuvalu, and Vanuatu).

The key focus of SAFE is to address the barriers in accessing export markets, enhance the production of value-added products and improve compliance with international standards. This project is a component of SAFE that is looking to strengthen the competitiveness of sustainable agricultural value-chains in the Pacific by working with Micro, Small & Medium Enterprise's (MSME), producer clusters and industry facilitators including the providers of market certifications. This project is associated with Output 2.3.2 of the SAFE project.

> Output 2.3.2 **Strengthen access to market certification (environmental, sustainable, organic etc.).** This is necessary because market certification is needed to access high value niche markets, it also promotes environmentally friendly production practices in a manner that can be effectively monitored. This will develop and sustain a network of locally based advisors and auditors for food safety and marketing certifications and assist businesses meet requirements for certifications. The project will involve training and technical assistance.

Project Scope

The project covers

- The certification of horticulture, agriculture, and seafood products.   There is also a focus on selected high-value products (Kava, coconut, coffee, and turmeric).
- Voluntary certification programmes for food safety and marketing certifications.
- The project will be implemented in all the 15 Pacific ACP Countries (Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor Leste, Tonga, Tuvalu, and Vanuatu)

This report has been prepared as part of project *task 2.0 Development/identification of the relevant auditing training for the identified certifications.* This report reflects the completion of Output 4 and 5 for the contracted activity for this project.

> *Project task 2.1* **Output 4** *A report that defines the focal certification pathways and the associated roles, qualifications and requirements for the training and accreditation of auditors Prepare a report defining the focal certification pathways and the associated roles, qualifications and requirements for the training and accreditation of auditors.*
> and
> **Task 2.3 Output 5.** *A training and auditor accreditation profile for each of the focal market certification programme and an aggregated analysis of these to identify any common training/auditor accreditation requirements across the market certification programmes.*

This report also undertakes further investigation into the focal market assurance programmes to establish the following:

- o To clarify whether the use of local auditors for the focal market certification programmes can be used and if so under what conditions.
- o To clarify the qualifications and competence requirements for auditors for the focal programmes.

   o To identify possible auditor training providers.
   o To review the overall feasibility and viability of establishing local auditors for the focal market certification programmes.

## 1.2 Selection of Voluntary market certification programmes

The research undertaken as part 1 of this activity undertook an *Assessment of priority market certification programmes* for possible participation in the SAFE project. This research identified the following market certification programmes that operated in some of the Pacific countries and were potentially important for providing assurance for the priority high value crops that the SAFE project is reviewing Kava, coconut, coffee, and turmeric. The identified market certification programmes to be investigated to clarify opportunities for the establishment of local auditor capabilities to be developed by this project are:

   o Food safety
   o Fairtrade
   o Rainforest Alliance
   o Organic
   o Sustainable Fisheries – Marine Stewardship Certification (MSC)

Relevant results from the Output 1 survey of Pacific stakeholders to establish the level of awareness and interest in market certification programmes in the Pacific is provided below.

Response to the question to rank *The following benefits that you think are associated with the use of a market certification programme*

Table 1 Benefits associated with market certification programmes
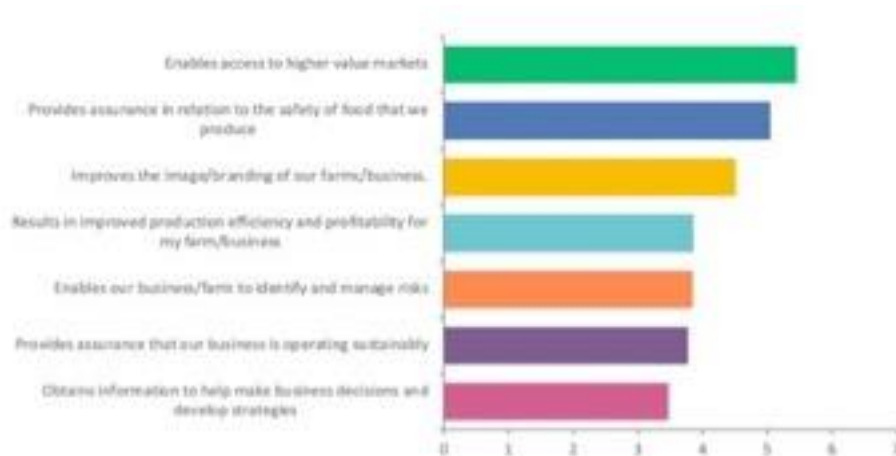
Enabling access to higher value markets was ranked (score 5.41) as the most significant benefit associated with the use of market certification programmes. This was followed by the provision of assurance in relation to the safety of food (score 5.11). Other important benefits were – Improves the image/branding of our farms/business (score 4.5) and enables our business/farm to identify and manage risks (score 3.88).

Table 2 provides responses on the respondent's knowledge of the market certification programmes that are active in their country.

Table 2 Awareness of market certification programmes operating in the respondents country
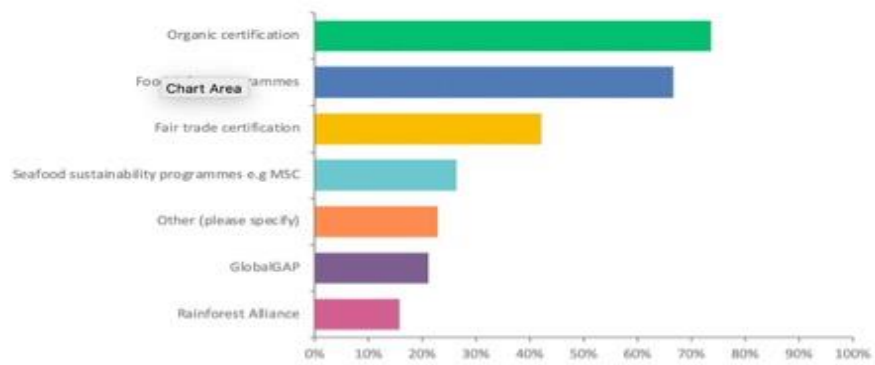
Organic certification was the market certification programme that identified the most with 75% of respondents reporting that organic certification programmes were active in their country. This was followed by food safety programmes (66%), Fairtrade certification (43%) and GlobalGAP 22%. Other schemes identified by 13 respondents included: retailer specific programmes, SEDEX, BRC. HACCP programmes were identified by 4 of these respondents and should be included as Food Safety programmes while other organic programmes (PGS, POETCOM) were identified by two respondents but should be included under organic certification.

2.0 Food Safety

2.1 Background

See background information in Report 1 *Final Report Assessment of priority market certification programmes* section 2.2.1 and 4.1.1.

Food safety management and assurance systems along supply chain ensure that food businesses can keep food safe. This set of preventative controls may include Good Agricultural Practices (GAP), Good Manufacturing Practices (GMPs), Good Hygiene Practices (GHPs) and Hazard Analysis and Critical Control Point (HACCP) systems. Small scale producers and traders in developing countries need support in planning and implementing food safety management programmes in line with internationally recognized standards. FAO promotes the application of preventive food safety management systems by food business operators along the food chain in line with Codex guidelines and recommendations. The management of food safety risks has been a major focus of regulators and industry for many years which has established food safety management regulations, assurance systems and expectations. Compliance with these is typically a requirement for access into both domestic and export high value markets.

Food Safety- Management Leadership and Support Organisations
The agencies with a global overview of food safety are the *United Nation's Food and Agriculture Organization* (FAO) and the *World Health Organization* (WHO). In 1963, the WHO and FAO published the Codex Alimentarius which guides food safety management internationally. Key documents include:
- o Draft guidelines for the utilisation and promotion of quality assurance systems
- o Guidelines for the design, operation, assessment and accreditation of food import and export inspection and certification systems

In addition to the regulatory requirements normalised by Codex there are also market expectations that have been normalised by organisations such as the *Consumer Goods Forum* (CGF). This international organisation brings consumer goods retailers and manufacturers together to collaborate to secure consumer trust and drive positive change, including greater efficiency and address issues such as including environmental and social sustainability, health, food safety and product data accuracy. Its member companies have combined sales of EUR 4.6 trillion and directly employ nearly 10 million people, with a further 90 million related jobs estimated along the value chain. Its Global Food Safety Initiative (GFSI) brings together retailers and brand owners (manufacturers) from across the CGF membership to oversee food safety standards for businesses.   GFSI's work in benchmarking and harmonization aims to foster mutual acceptance of GFSI-recognized certification programmes across the industry with the ambition to enable a "once certified, accepted everywhere" approach. Certification according to a GFSI-recognized certification programme can be achieved through a successful third party audit. Some GFSI resources
- o Global Food Safety Initiative Food Safety Auditor Competencies (2019)
- o Successfully transitioning to a New Model for the verification of auditor competence (2021)

Standard Setting Organisations
International Standards Organisation (ISO). ISO is an independent, non-governmental international organization with a membership of 167 national standards bodies. It brings together experts to share knowledge and develop voluntary, consensus-based, market relevant International Standards.. Some key ISO Standards related to food safety include:
- o Food Safety – ISO 22000:2018 Food Safety Management Systems. This sets out the requirements for a food safety management system and can be certified to it. It maps out what an organization needs to do to demonstrate its ability to control food safety hazards in

order to ensure that food is safe. It can be used by any organization regardless of its size or position in the food chain. The seven HACCP principles are included in ISO 22000.

- o 17021 Conformity assessment — Requirements for bodies providing audit and certification of management systems
- o 17065 Conformity assessment — Requirements for bodies certifying products, processes, and services

Pacific Intiatives

The *Pacific Horticultural and Agricultural Market Access' (PHAMA Plus) Program* is helping help Pacific Island countries manage regulatory aspects associated with exporting primary and value-added products. This encompasses gaining access for products into new markets, and helping to manage issues associated with maintaining and improving existing trade. Core countries assisted through PHAMA Plus are Fiji, Papua New Guinea, Samoa, Solomon Islands, Tonga, and Vanuatu[1]. Some of its activity is relevant to the SAFE project includes its work on supporting Hazard Analysis Critical Control Point (HACCP) accreditation for businesses and the provision of HACCP Train-the-Trainer course to build industry and government capacity. There are current discussions between the SAFE and PHAMA plus project to clarify roles and ensure that there is no duplication between the two programmes.

2.2 Food safety certification and auditor training requirements
2.2.1 Food safety certifiers and certification

There are a large number of food safety programmes and intiatives active in the Pacific and the *Final Report Assessment of priority market certification programmes* explores these.

Previous projects have identified that together with GHP, HACCP is recognized as an appropriate and useful tool for enhancing the safety of food products and providing adequate food safety assurance for MSME in the Pacific. Certification systems for compliance with an agreed HACCP standard are implemented in many countries as part of voluntary or mandatory programmes. They can be linked to international schemes, such as British Retail Consortium (BRC) or the Safe Quality Food Standard. Certification requires sound standards to assess compliance including assessment of GHPs as well as HACCP. It also needs trained and qualified third party auditors. Certification may be required by international trade partners as proof of equivalence to regulatory HACCP requirements.

Table 3 provides a list of approved certification bodies providing food safety certification in Pacific countries. It is anticipated that there will be other certification bodies active in the region. It is noted that many countries in the SAFE project do not have certification bodies active in their country.

Table 3 Approved food safety certification bodies operating in the SAFE Pacific countries

Certifier	Cook Islands	FSM	Fiji	Kiribati	Marshal Islands	Nauru	Niue	Palau	PNG	Samoa	Solomon Islands	Timor Leste	Tonga	Tuvalu	Vanuatu
AsureQuality			■												■
Aus-Qual Pty	■									■					

BSI Group
SAI Global Cert Services
Integrated Quality Cert
Telarc
SGS Australia
Merieux NutriSciences Certification LLC
TQCS International Ltd
PWC compliance
HACCP Australia (Fiji) Limited

Sources

HACCP Australia has worked closely with the PHAMA plus programme and has an office in Fiji.

There are already many Pacific business and individuals with food safety certifications. Some of the main food safety schemes include:
1. Brand Reputation Compliance Product Certification Schemes (BRC)
2. Food Safety Management Systems Scheme
3. Food Safety System Certification 22000 (FSSC 2200)
5. SAFE Quality Food (SQF)

2.2.2 Auditor requirements
Auditor training requirements
Qualifications and requirements for training and accreditation of auditors depends on the food safety assurance programme that is being selected. Insights on HACCP certification insights on training and auditor requirements are provided in the following resources.

- o Food Quality and Safety Systems - A Training Manual on Food Hygiene and the Hazard Analysis and Critical Control Point (HACCP) System (FAO 1998)
- o *Regional framework for action on food safety in the Western Pacific. Manila: World Health Organization Regional Office for the Western Pacific;* 2018. Licence: CC BY-NC-SA 3.0 IGO.
- o Food-safety-certification-a-prerequisite-for-trade PHAMA 2011

2.3   Food safety auditor training providers and resources
There are a number of training providers for food safety auditors. Exemplar Global undertakes *Training Provider Certification* which provides a mechanism to identify suitable training providers. Some local companies with food safety training certification include:
Australia
- Auditor Training Online
- Food Safety Plus
- JLB
- RADAR Management Solutions
- SAI Global

New Zealand
- IQM Group NZ Ltd

2.4   Summary

- The management of food safety risks has been a major focus of regulators and industry for many years and the establishment of a food safety programme is a minimum requirement for market access.
- There are a large number of food safety assurance programmes. Hazard Analysis and Critical Control Point (HACCP) systems are probably the most appropriate for MSME.
- It is recommended that the scope of activity for the SAFE project is clarified following discussions with the PHAMA plus programme.
- A possible next step following these discussions is to establish a relationship(s) with food safety certification bodies active in the SAFE countries to clarify the level of interest in the development of a local auditor capability. This should also clarify their auditor qualification and competence requirements.
- Regionally active certified auditor training providers have been identified and as well it is anticipated that the food safety certification bodies may have their own training programmes.

3.0 Fairtrade certification
3.1 Background
See background information in Report 1 *Final Report Assessment of priority market certification programmes* section 2.2.2 and 4.1.3.

The World Fairtrade Organisation is the peak organisation representing all Fair Trade organisations. Fairtrade International is the largest of these and is a non-profit, multi-stakeholder association of 22 member organisations – three producer networks and 19 national Fairtrade organisations, including Fairtrade Australia and New Zealand. The Fairtrade International network ensures an equal share of trade benefits for farmers and workers in 75 countries through standards and certification, focused programmes and advocacy. Standards encompass social, economic and environmental requirements for smallholder farmers, plantations using hired labour, and traders, and guarantee a minimum price and premium on most goods for producers.

Fairtrade in the Pacific
Current production
The 2020 Fairtrade Australia New Zealand Annual report provided the following information on Fairtrade in the Pacific
- 21,313 Fairtrade households
- 113,002 Fairtrade beneficiaries
- A$1.97m received in Fairtrade premiums by Pacific Organisations in 2019
- A$37.8m in Fairtrade sales from the Pacific in 2019

The Fairtrade Finder Tool provides a directory of Fairtrade certified organisations/traders and licensees. In relation to Oceania it contains 385 results with 181 licensed and 204 non licensed organisations/traders. In relation to certification – 200 are not certified, 178 certified and 7 suspended. The certification scope and standard it records the following
- 2 producer contract producer – both for Cocoa and located in PNG
- 17 small producer organisation – 3 certified, 3 not certified 3 suspended 9 not licenced. All those with current certification were certified by FLOCERT.
    - Products - Coffee (9) – PNG (8), Solomon Islands (1)
    - Cane sugar (3) – Fiji (3)
    - Cocoa (3) – PNG (3)
    - Herbs, teas, spices (3)– PNG (1), Fiji (1), Tonga (1)
    - Oilseeds and oleaginous fruit (3) Fiji (1), Samoa (1), Tonga (1)

- 219 traders

In relation to the certification scope the main products certified are: coffee (151), Cocoa (43). Fairtrade Australia New Zealand (ANZ) also lists its activity in Timor-Leste in which it records work withs 3 coffee producer organisations. Details on its work in the Pacific is detailed here. Fairtrade ANZ licenses businesses in Australia and New Zealand to put the Fairtrade Certified™ mark on products that have been certified by Fairtrade International.

3.2   Fairtrade certification and auditor training requirements
3.2.1   Fairtrade certifiers and certification
Fairtrade International has developed and owns Fairtrade standards which encompass environmental, social and economic requirements.   FLOCERT is the only certifier for Fairtrade producers. It has 120 highly qualified auditors, carefully selected and trained by FLOCERT. FLOCERT has 6,000 customers in over 120 countries.

Fairtrade certification
Details on the Fairtrade certification and auditing process are detailed below. This was sourced from the Fairtrade website.
About the Certifiers
FLOCERT is the largest certifier for Fairtrade, responsible for the certification of all producers and most traders. FLOCERT operates a transparent, independent and globally consistent certification system. In addition to complying with Fairtrade's certifier requirements, it is accredited under ISO 17065, the leading international quality norm for product certifiers. A few national Fairtrade organizations (Australia/New Zealand, Canada and Japan) certify traders in those countries. All Fairtrade certifiers comply with Fairtrade International's Requirements for Assurance Providers and are monitored by an Oversight Committee, which reports to Fairtrade International's Board. Certifiers have auditors who are highly qualified, usually based in the countries and regions where they work, and familiar with local cultures, languages, and legal systems. All auditors are examined on their skills and receive annual training per Fairtrade requirements. To ensure auditor competence, quality and credibility, Fairtrade certifiers are required to ensure that auditors are fully impartial, there is regular rotation of auditors, auditor fees are solely paid by the certifier, and the audit report is fully documented for transparency.

3.2.2   Auditor requirements
The Fairtrade International Requirements   for Assurance Providers includes details on the requirements for auditors. Some key points if external auditors are to be engaged to undertake audits (as desired by the SAFE project) include the following.
*3.2.4 *The assurance provider has and implements a conflict-of-interest policy that describes how conflict of interests of audit and certification personnel are identified, disclosed, managed and prevented. The policy shall describe in particular how the risk of auditor impartiality is mitigated by adequate measures such as e.g. rotation of auditors or witnessing of audits. Note: The policy may be part of the assurance provider's Certification SOP.*

4.1.2 All personnel performing assurance activities, including auditors and certification personnel, shall meet the requirements set out in 4.2.
*4.1.3 *The assurance provider establishes, implements and maintains a procedure for management of competencies of personnel involved in the certification process including:*
4.1.3.1 Criteria for competence (see 4.2).
4.1.3.2 Procedures for initial and ongoing training.

4.1.3.3 Regular monitoring of performance and competence of auditors and assurance personnel, including a program for calibration. The monitoring process includes witnessing audits.

4.2 General qualification requirements

Requirements for Assurance Personnel

4.2.1 *The assurance provider verifies that qualification criteria have been met prior to engaging an individual as an auditor or assurance personnel, and periodically assesses whether competency criteria have been met including periodic on-the-job evaluation. In the case of auditors this includes witness audits.

4.2.2 *The assurance provider provides initial training to auditors and assurance personnel as needed for their respective positions and organizes a periodic training and calibration program of auditors and other assurance personnel. Training and calibration also include information and trainers from Fairtrade International, where deemed necessary by the assurance provider or the scheme owner.

Qualification criteria

4.2.5 All auditors and other assurance personnel shall meet the qualification criteria set out in table A1 or possess a demonstrable equivalent competence.

Area	Criteria
Work experience (applicable to auditors and other assurance personnel)	At least two years of work experience in a field related to the content of the standard being evaluated or in assurance of other schemes.
Auditing experience (applicable to auditors only)	**Contract auditor** Minimum of one year auditing or 100 audit days to a) one or more standards for a recognised certification or auditing body, or b) internationally recognised financial reporting standards. **Staff auditor** As for a contract auditor or at least six months' work experience at an assurance provider in the certification department at Officer/ Analyst level **Assessors for on-the-job evaluation of auditors** a) At least 50 Fairtrade audit days performed. Auditors with a vast experience in auditing other schemes or experienced assurance provider staff might be exempted from this rule. b) External auditors shall have had at least two evaluations by responsible managers over more than six months with excellent results. Staff members must have passed one evaluation with excellent results.
Fairtrade system training (applicable to auditors and other assurance personnel)	All scopes: Have received training on relevant Fairtrade standards and audit methodologies from the assurance provider. Producer audit scope: audit methodologies training shall include social interview techniques.

Table A.1: Auditor and other assurance personnel qualification criteria

Competency criteria

4.2.6 All auditors and other assurance personnel shall meet the competency criteria set out in Table A2 as applicable.

Table A2: Auditor and other assurance personnel competency criteria

Area	Criteria
Language skills (applicable to auditors only)	Shall be able to hold an interview in the language of the audit.
Communication (applicable to auditors and other assurance personnel)	Able to express ideas and concepts clearly. Able to express findings in written reports clearly and concisely. Able to interview individuals from workers/members to senior management /directors in a way that encourages their confidence and enables them to answer questions.
Time management (applicable to auditors only)	Capable of managing time before and during audits so audit plans are realized.
Personal attributes (applicable to auditors only)	Able to display the attributes of an auditor as set out in the ISEAL Assurance Code and additionally a commitment to the social and environmental goals of Fairtrade.
Knowledge of Fairtrade system (applicable to auditors and other assurance personnel)	Able to demonstrate knowledge of and competence in the application of Fairtrade Standards and Fairtrade Standard Guidance as well as all applicable procedures and policies of the assurance providers.

4.3 Outsourcing

*4.3.1 *If the assurance provider outsources (subcontracts) part of the assurance activities to other auditing bodies, the assurance provider:*

4.3.1.1 Remains responsible for all outsourced activities.

4.3.1.2 Has a legally binding contract with the subcontracted body or personnel, including provisions for confidentiality, conflicts of interest and qualification requirements for personnel.

4.3.1.3 Has procedures and records to assess and monitor the outsourced services.

Note: Assurance providers can rely, in parts, on external bodies e.g. accreditation bodies, for the monitoring. However, they remain responsible and should be aware of all aspects not fully supervised by the external body as not included in the accreditation scope. They need to periodically monitor performance according to their applicable procedures (under the scope of their Fairtrade certification and audit SOPs) and policies e.g. by occasional shadow audits, review of audit reports or other measures.

3.3 Fairtrade auditor training resources

The Fairtrade International Requirements for Assurance Providers document refers to training resources for auditors however these have not been sighted. Fairtrade International has also developed a number of training modules for farmers and workers in Fairtrade certified organizations and their partners to support compliance with Fairtrade Standards and achieving development impact in their communities. It is anticipated that FLOCERT will have established training programmes for auditors.

3.4 Summary

- o Fairtrade International has developed and owns Fairtrade standards which encompass environmental, social and economic requirements.   FLOCERT is the only certifier for Fairtrade producers.
- o There are provisions in the *Fairtrade International Requirement for Assurance Providers* that allow the use of contracted qualified auditors. Required qualifications include a minimum of one year auditing or 100 audit days to one or more standards for a recognised certification body or internationally recognised financial reporting standards.
- o The requirements for contract auditors to have a minimum 1-year auditing or 100 audit days may be difficult to comply with considering the comparatively small number of potential audits for Fairtrade in the Pacific.

4.0 Rainforest Alliance
4.1 Background
See background information in Report 1 *Final Report Assessment of priority market certification programmes* section 2.2.2 and 4.1.5

4.2 Rainforest Alliance certification and auditor training requirements
4.2.1 Rainforest Alliance certifiers and certification
The Rainforest Alliance certification programme is illustrated in Figure 1.

Figure 1 Rainforest Alliance certification programme. Source Rainforest Alliance

The scope of the Rain Forest Alliance is covered in 2 Sustainable Agriculture Certification Standards
- 2020 Sustainable Agriculture Standard: Farm requirements
- 2020 Sustainable Agriculture Standard: Supply chain requirements

Key components and insights on the Assurance System in relation to the use of auditors include the following points:
- Certification bodies. Rainforest Alliance have a process to authorize certification bodies to carry out audits. The list of certifiers is here. Certifiers are authorised for geographic regions. Certification body authorization for Pacific countries is detailed in Table 4.

Table 4 Geographical Scope for Rainforest Alliance approved certification bodies

Country	Authorised Certification Body
Australia	**Control Union BV**
	Ecocert
	IMO Control India
	INDOCERT Preferred by Nature
	SCS Global Services
East Timor	**Control Union BV**
	Sustainable Development Services (SDS)
Fiji	**Control Union BV**
New Zealand	**Control Union BV**
	Ecocert
	IMO Control India
	Preferred by Nature
	SCS Global Services
Papua New Guinea	CERES
	Control Union BV

	Sustainable Development Services (SDS)
	Ecocert
	IMO Control India
	Preferred by Nature
Solomon Islands	**IMO Control India**
	SCS Global Services

Table Key

- **Rainforest Alliance authorised Certification Body for Farm and Supply Chain certification**
- Rainforest Alliance authorised Certification Body for only Supply Chain certification

Rainforest Alliance [Rules for Certification Bodies](#) - includes the following relevant requirements in relation to the use of auditors:

Chapter 2: Rules for Certification Bodies Personnel

2.1.2 *All CB personnel roles may be carried out by hired workers, independent contractors and consultants provided they meet the requirements set for the corresponding role and scope.*

2.1.4 *CB personnel may request approval for any given role without having to start in a more junior position, provided they meet the corresponding 2020 Rainforest Alliance Rules for CB personnel requirements.*

2.1.5 *All CB audit team and certifiers shall meet at least once a year (virtually or physically) to carry out calibration activities or sessions.*

2.1.6 *The program management team shall have a procedure in place to assess auditors' performance and competence at least on an annual basis. The procedure shall allow CBs to demonstrate that their auditors comply with the requirements outlined in this document. The procedure may include (but is not limited to) assessments, witness activities, interviews, etc.*

Audit team

Trainee - A trainee is an auditor candidate that has yet to attain a higher auditor classification.

2.1.13 *Trainees shall be supervised by the lead auditor during the auditing process and shall not make any decisions, identify findings or non-compliances independently.*

Auditor - An auditor is a CB personnel who conducts audits within the audit team and can be a contributing author of audit reports.

2.1.14 *Auditors shall be under the direction of the lead auditor during the audit process. If an audit is conducted by a single auditor rather than an audit team, the auditor shall meet the same competency requirements as those defined for a lead auditor.*

Lead auditor A lead auditor may lead or carry out any of the audits described in the Rainforest Alliance Certification and Auditing Rules for the scope in which they are qualified and approved.

2.1.15 *The lead auditor shall:*

1. *Be responsible for the writing of the audit report and is the principal author.*
2. *Represent the CB and the audit team during the audit.*
3. *Select competent audit team members to carry out the audit.*
4. *Direct and manage the audit team during and after the audit.*
5. *Provide guidance and on-the-job training to trainees.*
6. *Provide evidence to the certifier to be used as a basis for the certification decision.*

Requirements for the approval of audit personnel are covered in section 2.2 of the document.

2.2 PERSONNEL APPROVAL REQUIREMENTS

Approval requirements outline compulsory competencies for CB personnel who wish to be authorized to provide certification services to their clients under the Rainforest Alliance 2020 Certification Program. Approval requirements are divided into two categories:

- **Requirements for all personnel** *are core, good auditing practices and are formulated as compliance criteria (yes/no) applicable to all roles. These are independent of CB's scope requests or approvals.*
- **Requirements per roles** *are a set of requirements corresponding to the Standard's scope that applies to a given member of personnel—Farm and/or Supply Chain Standard—and position within the CB structure, e.g. scheme manager, auditor, etc.*

2.2.1 *CB personnel shall meet the corresponding approval requirements to be eligible for the Rainforest Alliance Certification Program CB personnel approval.*

2.2.2 *CB personnel shall always meet the List of Requirements for all personnel (see Table 2).*

2.2.3 *A single audit may be taken into consideration to comply with different audit experience requirements provided the audit scope is relevant for all corresponding topics such as social, G.A.P./organic, supply chain and environmental audit experience.*

Audit team categories

The audit team refers to the CB personnel who perform audits for a CB (as employees or independent contractors). The categories have a sequential logic, each building upon the previous category.

2.2.4 *An approved CB may work with a lead auditor or an audit team.*

2.2.5 *For CB personnel to proceed to the next category, they shall comply and remain compliant with the previous category requirements. This does not apply to technical experts who provide services and support to the audit team.*

Table 8: Trainee Requirements for Farm and Supply Chain Scopes

No.	Approval Requirements	Requirements to Maintain Authorization	Scope Farm	Scope Supply Chain
1	Successful completion of a minimum of **8 hours** of face-to-face or online training on **auditing principles and the Rainforest Alliance certification process**	Successfully participated in a **4-hour** minimum, yearly face-to-face or online refresher training on **auditing principles and the Rainforest Alliance Certification process**	X	X
2	Successful completion of post-high school (post-secondary school) training in fields with a primary focus in, or any combination of, corporate social responsibility, agriculture, horticulture or a food-related discipline whose primary focus is any combination of an industrial process, quality control, food safety, or hygiene traceability[14]. OR At least **3** years of relevant working experience in the mentioned fields	Having participated in at least **2** audits or at least **5** audit days as a trainee per year in the applicable **commodity category processing systems** and/or **supply chain standards**		X
3	Successful completion of post-high school (post-secondary school) training in fields with a primary focus in or any combination of agriculture, natural resources, environmental sciences, social sciences, rural development or similar OR At least **3** years of relevant working experience in the mentioned fields	Having participated in at least **2** audits or at least **5** audit days as a trainee per year related to applicable **commodity category production**	X	

Auditor

Table 9: Auditor Requirements for Farm and Supply Chain Scopes

No.	Approval Requirements	Requirements to Maintain Authorization	Scope Farm	Scope Supply Chain
1	In-depth knowledge of applicable national and local laws and regulations as well as how to interpret their application during the audit[15]	A minimum of **1** audit or **3** audit days as a trainee or auditor per year related to **social standards** such as (but not limited to) Rainforest Alliance or UTZ, Fairtrade, GRASP, SA8000, SMETA	X	X
2	**In the last 4 years:** Having participated in at least **3** audits **or** at least **8** audit days of audit as a trainee or auditor in **social standards**, such as (but not limited to) Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA OR Being an APSCA Certified Social Compliance Auditor		X	X
3	Successful completion of **24 hours** of basic or advanced **social auditor training** such as (but not limited to) SA8000:2014, SMETA, ETI	Successfully participated in a yearly refresher face-to-face or online training for a minimum of **12 hours** on **auditing social topics** related to the Rainforest Alliance Certification program. This course may be developed and provided internally by an approved CB instructor or an external training provider.	X	X
4	Successful completion of **4 hours** of training on **traceability** in applicable commodity category processing systems. The training should include foundational knowledge as well as practical training on applicable traceability systems.	Successfully participated in a **2-hour** minimum, yearly face-to-face or online training refresher on **traceability in the Rainforest Alliance Certification program**		X
5	**In the last 4 years:** Having participated in at least **5** audits **or** at least **13** audit days as a trainee or auditor in applicable **commodity category producing systems and/or supply chain standards** such as (but not limited to) the Rainforest Alliance, UTZ, ASC/ MSC, BRC, FSC, GFSI, HACCP, IFS, ISO 9001(scope 1 or 3), ISO 22000 (scope B or C), RSPO OR Having participated in at least **5** audits **or** at least **13** audit days as a trainee or auditor related to **applicable commodity category GAP and/or organic agriculture and/or environmental standards** such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA8000, SMETA	At least **2** audits or **5** audit days per year related to applicable **commodity category producing/processing, supply chains, GAP, and/or environmental standards**		X
6	**In the last 4 years:** Having participated in at least **5** audits **or** at least **13** audit days as a trainee or auditor related to **applicable commodity category, producing GAP and/or organic agriculture and/or environmental standards** such as (but not limited to) GLOBAL GAP, national standards (relevant scopes), Organic, UTZ, Rainforest Alliance, Fairtrade, GRASP, ISO 1401, SA8000, SMETA		X	

Table 10: Lead Auditor Requirements for Farm and Supply Chain Scopes

No.	Approval Requirements	Requirements to Maintain Authorization	Scope	
			Farm	Supply Chain
1	Successful completion of an in-depth **40**-hour ISO 9001 lead auditor course **OR** ISO 22000 course **OR** ISO 14001 course	Successfully participated in a **16-hour minimum** yearly face-to-face or online training refresher on **auditing social topics** related to the Rainforest Alliance Certification program	X	X
2	Successful completion of an in-depth 16-hour **ISO 19011** lead auditor course		X	X
3	Successful completion of **40 hours**[14] of basic or advanced **social auditor training** such as (but not limited to) SA8000, SMETA, ETI		X	X
4	**In the last 4 years:** Having participated in at least **8** audits **or** at least **20** days as a (witness) auditor in **social standards** such as (but not limited to) UTZ, Rainforest Alliance, Fairtrade, GRASP, SA8000, SMETA **OR** Being an APSCA Certified Social Compliance Auditor	A minimum of **4** audits or **10** audit days as a (witness) auditor or lead auditor per year in **social standards** such as (but not limited to) Rainforest Alliance, UTZ, Fairtrade, GRASP, SA8000, SMETA	X	X

Tables 11 and 12 include additional Lead Auditor requirements for the Farm and Supply Chain scopes.

Lead auditor for social topics
2.2.6 *In addition to the requirements set in Table 13, lead auditors for social topics shall meet the requirements for the lead auditor listed in Table 10, and 11 and/or 12 if applicable.*

[Certification and Auditing Rules](#)
This includes the following requirements:

> *2.1.11 The CB shall ensure that only personnel meeting the requirements in the RA Rules for Certification Bodies are authorised to carry out the assigned tasks in the audit and certification process and that such personnel are competent to identify evidence nonconformities.*
> *2.1.12 The CB audit team shall always during the audit observe the conflict on interest rule and refrain from consultancy work (see Annex AR8: Support permitted and not permitted during an audit).*
> *2.1.13 The CB shall ensure that its personnel who are involved in the certification process of a CH do not perform any consultancy activities for that CH during the period from 2 years prior to the first audit date to 2 years after the last audit date.*

4.2.2 Auditor requirements

There are training requirements for Rainforest Alliance auditors. These need to be undertaken by a **Certification Body Instructor**. This is covered in the following sections of the [Rules for Certification Bodies](#).

CB instructor
A CB instructor conducts capacity-building activities for CB personnel who are involved in the Rainforest Alliance auditing process.

> ***2.1.18*** *CB instructors shall always comply with all requirements set for the lead auditor in addition to the ones stated for instructors.*
> ***2.1.19*** *CB instructors shall only perform training on their approved scope which shall correspond to their approved scope as lead auditors.*
> ***2.1.20*** *CB instructors are not obliged to deliver training on ISO standards; however, they are accountable for its quality.*

Typically training is provided by the Certification Body – however training can be provided by an external training provider. The use of an external training provider is covered in the following sections

*2.1.24 Internal training courses may be developed and delivered by an external training provider unless stated otherwise. An **external training provider** is a contracted individual or organization that carries out training and development activities for the CB personnel.*

2.1.25 External training providers shall:

1. *Have sufficient knowledge, experience and skills on the topics for which they are hired to train.*
2. *Have demonstrable experience in the corresponding sector, commodity and/or topic.*
3. *Be supervised by an authorized CB Instructor.*

The training requirements for instructors is outlined in the following section of the **Rules for Certification Bodies.**

Instructor

Table 14: Instructor Requirements for Farm and Supply Chain Scopes

No.	Approval Requirement	Requirement to Maintain Authorization	Scope Farm	Scope Supply Chain
1	Have successfully completed the **Rainforest Alliance CB instructor training**[19]	Successfully participated in the yearly **Rainforest Alliance CB instructor training**	X	X
2	Successful completion of a **certified** ISO 9001 lead auditor course **OR certified** ISO 22000 lead auditor **OR Certified** ISO 14001 course provided by an **ISO accredited agency** such as (but not limited to) IRCA, RABQSA, RAC, SAATCA, CRBA, ICA approved	Deliver **2** internal training sessions or at least **16** hours per year to auditors on **good auditing practices, social standards, relevant commodity category producing/processing, supply chains, and/or environmental standards** such as (but not limited to) GLOBALGAP, national standards (relevant scopes), Organic, Fairtrade, ISO 14001, UTZ, the Rainforest Alliance, GRASP, SA8000, SMETA	X	X
3	**In their entire professional life:** Deliver **8** training sessions **or 24 hours** training for auditors on good auditing practices and environmental and/or social standards such as (but not limited to) GLOBALGAP, national standards (relevant scopes), Organic, Fairtrade, GRASP, ISO 14001, UTZ, the Rainforest Alliance, SA8000, SMETA		X	X
4	**In their entire professional life:** Having participated in at least **40** audits or at least **60** days as a lead or witness auditor or auditor for **Voluntary Sustainability Standards**	A minimum of **7** audits or **18** audit days per year as a lead or witness auditor or auditor for **Voluntary Sustainability Standards**	X	X
5	Successful completion of a total **40 hours** of in-depth **social auditor training** such as (but not limited to) SA8000, SMETA, ETI	Successfully participated in a yearly refresher training of a minimum of **20** hours of face-to-face or online training on **social auditing**	X	X

4.3 Possible auditor training providers

It is anticipated that auditor training would be undertaken by approved instructors within Rainforest Certification Bodies that the SAFE programme establishes relationships with. There appears that there are also external instructors that could be used however these have not been identified.

Rainforest Alliance also provides a wide range of guides and resources to support certification bodies and auditors including:

- [Auditor verification protocol](#) - provides guidance on recommended verification methods per requirement that authorized certification bodies can use to assess compliance for the Rainforest Alliance's 2020 Farm and Supply Chain Standards.

4.4. Summary

o The Rainforest Alliance has a well-established process for the training and approval of auditors.
o The potential for the establishment of local auditors through the SAFE project to decrease auditing costs for Rainforest Alliance certification appears technically feasible however this would require close consultation with those accredited certification bodies that are active in the Pacific region.
o The following issues in relation to the establishment of auditors have been identified:

- o Auditors require a significant level of training as well as the need to complete a minimum number of audits. The small number of current Rainforest Alliance certified operations in the Pacific may make it difficult to sustain an auditor capacity.
- o Auditing is a key component of the Rainforest Certification programme. Certification Bodies may be reluctant to subcontract these services especially considering the potential sanctions that could be placed on their overall business if these do not meet Rainforest Alliance certification requirements.
- o The costs associated with Rainforest Alliance certification as well as the certification costs required by the recognised certification body should be reviewed to clarify the relative cost benefit of providing local auditors.
- o It is recommended that contact is established with the following Rainforest Alliance recognised certification bodies to explore their interest in working with the SAFE project to develop local auditor capability.
  - ▪ Control Union BV
  - ▪ Sustainable Development Services
  - ▪ SCS Global Services
  - ▪ IMO Control India
  - ▪ Preferred by Nature

5.0 Organic certification
5.1 Background

See background information in Report 1 *Final Report Assessment of priority market certification programmes* section 2.2.2 and 4.1.2. It is understood that POETCom have existing considerable knowledge on organic certification and auditor qualifications and skills. Information is provided to support this.

5.2 Organic certification and auditor training requirements
5.2.1 Organic certifiers and certification

There are a number of organic certification bodies active in the Pacific – these are summarised in Table 5 – listing organic certification bodies that are recognised by the EU as well as the International Organic Accreditation Service (IOAS). It is probable that there are other organic certification bodies active in the Pacific however this does provide an insight of some of the key certification bodies.

Table 5 Organic recognised certifiers by SAFE countries

Certifier	Cook Islands	FSM	Fiji	Kiribati	Marshal Islands	Nauru	Niue	Palau	PNG	Samoa	Solomon Islands	Timor Leste	Tonga	Tuvalu	Vanuatu
A Cert									1						
Agreco			1						1, 2	1	1		1		
Australian Certified Organic	1, 2		1, 2						1				1		2
AsureQuality															2
Bioagricert			1												

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BioGro NZ			1		1, 2		1,2						1, 2
CERES							1	1		1			
Control Union	1		1				1	1	1	1	1	1	1
Ecocert			1				1		1				1
IMO						1, 2							
Kiwa BCS			1				1						
NASAA	1,2	1, 2	1	1,2	1, 2	1, 2	1, 2	1,2	1, 2	1, 2	1,2	1	1, 2
OneCert							1,2						
Soil Assn							1						
Southern Cross			1, 2				1,2				1		1, 2

Sources

1. EU Organic Farming Information System list of recognised control bodies and control authorities for the purpose of equivalence[2]

2. IOAS database

IFOAM Accredited

5.2.2 Auditor requirements

The IFOAM Accreditation Requirements for Bodies Certifying Organic Production and Processing is included in the IFOAM Norms.

This includes relatively loose guide on personal engaged in organic certification activities.

1.6 Financial and Personnel Resources

1.6.1 The certification body shall have the financial stability and personnel resources necessary for the effective operation of a certification system.

1.6.2 The certification body personnel shall have the necessary education, training, technical knowledge and experience for performing functions relating to the type, range and volume of work performed.

1.6.3 Personnel, including contracted inspectors, shall only be assigned to inspection and certification work that is appropriate to their skills.

1.6.4 Personnel shall have job descriptions describing their duties and responsibilities.

1.6.5 Personnel shall have documented work instructions for complex or critical certification and inspection functions.

1.6.6 The body responsible for certification decisions shall ensure that all certification decisions are based on its competence in all areas for which certification is granted.

1.6.7 The certification body shall require all persons involved in the certification process, including any committee or board member to sign a contract or other document by which they commit themselves to the rules and procedures of the certification body.

1.6.8 The certification body shall have a documented training policy, including initial and ongoing training, for all personnel, including contracted inspectors, and committee members, that is sufficient to ensure continued competence and consistency.

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[2] https://ec.europa.eu/agriculture/ofis_public/pdf/CBListAnnexIV.pdf Report generation date : 26/01/2022.

1.6.9 The certification body shall ensure that before undertaking inspection, new inspectors have successfully completed a training course in inspection of organic operations and undergone a defined on-site apprenticeship period.

1.6.10 Personnel records shall be up to date and shall include: position held, qualification, experience, training, and address.

1.7 Outsourcing

1.7.1 The integrity, competence and transparency of any outsourced components of the certification system remain the responsibility of the certification body.

1.7.3 When a certification body outsources work related to certification to a contracted third party, an agreement covering the arrangements shall be drawn up. This shall include the obligation to comply with all relevant aspects of these requirements.

1.7.4 The certification body shall demonstrate how it verifies that any contracted inspection work is done competently and complies with these requirements.

1.7.5 The certification body shall maintain a list of contracted third parties

Organic certification programmes have established more specific requirements in relation to the training and qualification of auditors such as the [USDA National Organic Program – Auditor Criteria](.).

Other criteria for organic inspectors has been identified in the following

IOIA inspector accreditation programme requires applicants to have:

- o Commitment to organics
- o Education
- o Work and life experience
- o Inspection experience (at least 2 years and 10 inspections)
- o Continuing education

Additional criteria are the requirement to submit a current resume and evaluation letters from all the certifiers for which they have worked, plus attending inspector training at least every 3 years. Once accredited, applicants may apply for renewal every 3 years, again meeting minimum criteria of ongoing inspector training, continuing education, a minimum number of inspections performed in the category, and an updated resume.

5.3 Organic auditor training resources and providers

Some organic programmes specify specific training requirements for organic auditors include the such as the following from the USDA NOP auditor criteria

a. ISO 19011 Section 4 Principles of Auditing and Section 6 Audit Activities

b. Successfully completed a RABQSA or IRCA Certified ISO 9001 Lead Auditor Course

c. ISO/IEC 17011 Conformity Audit General Requirements for accreditation bodies accrediting conformity audit bodies

d. ISO/IEC 17065 – General requirements for bodies operating product certification systems

Training providers

- o IOAS offers training to personnel from government authorities, accreditation bodies and certification bodies on conformity assessment in organic agriculture, management of organic certification, and other custom courses as requested.

- IFOAM Organic Academy is closely attuned to the needs of the sector and has been developing training courses tailored to the specific needs of a wide range of clients for the last 8 years.
- The International Organic Inspectors Association (IOIA) has a training academy with a range of courses for training organic inspectors. It also provides an accreditation service for organic inspectors – for crops, livestock and processing. IOIA use the IFOAM/IOIA International Organic Inspection Manual as the basic text for all 100-level entry level inspector courses.
- Organic certifiers such as NASSA provide internal training to inspectors/auditors.
- There are also a number of experienced private trainers.

5.4 Summary

- As established in the survey associated with the previous report there is strong interest from producers, processors and other stakeholders to obtain organic certification. Organic certification is well established in most of the SAFE focal countries by at least 15 certification bodies.
- The qualifications and competency requirements for organic auditors are loosely defined in the IFOAM Norms. More prescriptive requirements are defined by the market access regulations established for many markets and adopted by certification bodies that have recognition and access to these markets. Training requirements may however vary between certification bodies.
- Many certification bodies provide their own auditor training. There are also a number of auditor training provided by organic sector organisations and private providers.
- It is recommended that expressions of interest to work with the SAFE project are solicited from the certification bodies active in the Pacific. This can then inform the design of a auditor training programme – as well as the selection criteria for local auditors.

6.0 Fisheries
6.1 Background

See background information in Report 1 *Final Report Assessment of priority market certification programmes* section 2.2.2 and 4.1.5

The selection of seafood market certification schemes needs to take into consideration the market acceptance of the scheme as well as the integrity of the certification scheme. The Consumer Goods Forum - *Sustainable Supply Chain Initiative* (SSCI) is an important benchmark for market acceptance. The SSCI has developed criteria for the At-Sea Operations of sustainability programmes scope developed through an ongoing collaboration with the Global Sustainable Seafood Initiative (GSSI). GSSI has benchmarked 9 certification schemes. The purchase of products from these schemes in prioritised by *Consumer Goods Forum* members which makes selection of these schemes important for future market access. Certified schemes include: Marine Stewardship Council (MSC); GlobalGAP and ASC.

The MSC was identified as the main fisheries certification programme in the Pacific. It is part of the Consumer Goods Forum - *Sustainable Supply Chain Initiative* (SSCI) At-Sea Operations of sustainability programmes scope developed through an ongoing collaboration with the Global Sustainable Seafood Initiative (GSSI) where MSC was benchmarked 9 certified schemes. The

purchase of products from these schemes in prioritised by *Consumer Goods Forum* members which makes selection of these schemes important for future market access.

There are a number of initiatives in the Pacific to protect and sustainable manage Pacific fisheries – these include:
- o Pacific Islands Forum Fisheries Agency (FFA). This includes the development of a Regional Roadmap for sustainable Pacific Fisheries (SPC, FFA)
- o Pacific Trade Invest
- o Australia Aid projects and information on Pacific strategies and plans
- o FAO Fisk4ACP

Pacific analysis
The MSC certified fisheries are listed and provide details on the various MSC certified fisheries and their certification status. Some MSC certified Pacific fisheries include:

Assessment name	Conformity Assessment Body
American Samoa EEZ Albacore and Yellowfin Longline Fishery	Control Union Pesca Ltd
Fiji albacore tuna longline	Lloyds Register (Acoura)
PNA Western and Central Pacific skipjack and yellowfin, unassociated / non FAD set, tuna purse seine	Lloyds Register (Acoura)
French Polynesia albacore and yellowfin longline fishery	Control Union Certifications B.V. (CU)
WPSTA Western and Central Pacific skipjack and yellowfin free school purse seine	Scientific Certification Systems
AAFA and WFOA North Pacific albacore tuna	MRAG Americas, Inc (MRAG)
SZLC CSFC & FZLC FSM EEZ Longline Yellowfin and Bigeye Tuna	Control Union Pesca Ltd
Fiji albacore tuna longline	Lloyds Register (Acoura)
PNA Western and Central Pacific skipjack and yellowfin, unassociated / non FAD set, tuna purse seine	Lloyds Register (Acoura)

6.2   Fisheries certification and auditor training requirements
6.2.1   Fisheries sustainability certifiers and certification
The MSC certification process is summarised in this document. The MSC Fisheries Standard sets out requirements that a fishery must meet to enable it to claim that its fish come from a well-managed and sustainable source. Independent Certification Bodies are approved to conduct MSC assessment and make a final determination if the fishery meets the MSC Fisheries Standard.   Certification bodies are responsible for:
- establishing the fishery assessment team
- taking the fishery client through the assessment according to the MSC Fisheries Certification Process
- issuing the fishery certificate
- conducting surveillance audits and evaluations for the duration of the fishery certificate.

To obtain accreditation, a CAB must meet the requirements set out in the MSC Certification Requirements. This ensures certification remains robust, credible and meets best practice guidelines for standard-setting organisations as set out by ISEAL and the FAO. The accreditation process is managed by ASI.

MSC accredited CAB are listed here. Some that appear to be active in the Pacific include:

- Scientific Certification Systems SCS Global Services
- Control Union UK
- Acoura Marine Limited

6.2.2 Auditor requirements

The MSC Fisheries Certification Process (FCP) v2.2 and the annexes define the process requirements for CABs to assess fisheries against the MSC Fisheries Standard. The FCP consists of the assessment process (Sections 1-7) and process annexes (PA-PF).   Key sections relating to the selection and use of auditors include:

> *7.6.1 The CAB shall form an assessment team (hereafter "team") for a fishery assessment, comprising a team leader and a minimum of 1 additional team member, that meets the qualifications and competency requirements specified in Table PC1, Table PC2 and Table PC3 and in line with the requirements in the General Certification Requirements (GCR).*
> *a. If the team will use the RBF, as determined by reference to Table 3, at least 1 team member shall have received MSC training in the use of the RBF as detailed in Table PC3.*
>
> ***Annex PC: Fishery team leader, team member, team and peer reviewer qualifications and competencies –normative***
> *PC1 Fishery team leader, team member, team and peer reviewer qualifications and competencies*
> *PC1.1 Scope*
> *PC1.1.1 This annex sets out additional requirements to the MSC General Certification Requirements (GCR) for fishery team leader, team member and team qualifications and competencies which the CAB shall verify in accordance with the GCR.*

The qualifications for the following roles are summarised in Table 6 and extracted from the associated tables

> Table PC1.2 Fishery team leader qualifications
> Table PC2: Fishery team member qualifications
> Table PC3: Fishery team qualifications

Table 6 MSC Auditor qualifications

	Fishery team leader	Fishery team member	Fishery team qualification and competency criteria
1. General **Qualifications**	a. Degree or equivalent in business, economics, science or technical subject (e.g. supply chain and logistics management, food/seafood science and fisheries science), or b. 3 years' experience in the fisheries sector related to the tasks under the responsibility of the team leader.	a. University degree in fisheries, marine conservation biology, natural resources environmental management or relevant field (e.g. economics, mathematics, statistics), or b. 3 years' management or research experience in a marine conservation biology, fisheries, natural resources or environmental management position.	**1. Fish stock assessment** a. 3 years' or more experience of applying relevant stock assessment techniques being used by the fishery under assessment, or b. Primary authorship of 2 peer-reviewed stock assessments of a type used by the fishery under assessment. **2. Fish stock biology/ecology** 1. 3 years' or more experience working with the biology and population dynamics of the target species or species with similar biology.
2. Understanding of MSC Fisheries Standard and relevant MSC Certification Process requirements **Qualifications**	a. Review any updates to the MSC Fisheries Program Documents at least annually. b. Pass the MSC's fishery team member training course at least every 5 years. c. Pass new versions of the compulsory online training modules when new versions of the MSC Fisheries Standard are published prior to undertaking assessments against the new MSC Fisheries Standard. d. Pass new online training modules on modifications to the MSC Fisheries Standard before undertaking assessments using these modifications such as enhanced bivalves, salmon and other	a. Review any updates to the MSC Fisheries Program Documents at least annually. b. Pass the MSC's fishery team member training course at least every 5 years. c. Pass new versions of the compulsory online training modules when new versions of the MSC Fisheries Standard are published prior to undertaking assessments against the new MSC Fisheries Standard. d. Pass new online training modules on modifications to the MSC Fisheries Standard before undertaking assessments using these modifications such as enhanced bivalves, salmon and other	**3. Fishing impacts on aquatic ecosystems** a. 3 years' or more experience in research into, policy analysis for, or management of, the impact of fisheries on aquatic ecosystems including at least two of the following topics: i. Bycatch. ii. Endangered, threatened, or protected (ETP) species. iii. Habitats. iv. Ecosystem interactions. **4. Fishery management and operations**

	modifications that may be developed in the future.	*modifications that may be developed in the future.*	*a. 3 years' or more experience as a practising fishery manager and/or fishery/policy analyst/consultant.*
3. Assessment experience **Qualifications**	*a. Have undertaken 2 MSC fishery assessment or surveillance site visits as a team member in the last 5 years.* *b. For new fishery team leaders only: have undertaken an assessment as team leader that will be witnessed by an MSC-appointed accreditation body as part of a CAB's initial accreditation audit.*		**5. Current knowledge of the country, language and local fishery context** *a. Knowledge of a common language spoken by clients and stakeholders, and one of the following:* *i. 2 years' fishery work experience in the country or in a relevant fishery in the last 15 years.*
4. Communication and stakeholder facilitation skills **Qualifications**	*a. Experience in applying different types of interviewing and facilitation techniques.*		*ii. 2 assignments in the country or region in which the fishery under assessment is based in the last 10 years.* *iii. Primary authorship of at least 1 published paper in a journal or grey literature in the last 5 years on a fishery issue in the country or region in which the fishery under assessment is based.* 6. Understanding of the CoC Standard and CoC Certification Requirements 7. Use of the Risk-Based Framework (RBF) (when applicable)

The [General Certification Requirements](#) (GCR) for Conformity Assessment Bodies (CABs) contain mandatory requirements for all CABs that carry out assessments and audits of fisheries or supply chain organisations who wish to make a claim that products they are selling are from well -managed and sustainable sources. Requirements in relation to the use of personal are detailed in section 6.1.

> *6.1.1 The CAB shall ensure that all CoC auditors, Group CoC central office auditors, fishery team leaders, and assessment team members:*
>> *a. Have signed the 'MSC Audit Personnel Code of Conduct' (available on the MSC website) confirming that they will comply with the Code.*
>> *b. Conform to the competency and qualification criteria listed in CoCCR Section 5 and Annex PC of the FCP, as appropriate for CoC audits, Group CoC audits, and fishery assessments.*
>
> *6.1.2 The CAB shall use one or more of the verification mechanisms in each qualification and competency criterion listed in Tables 1 and 2 of the CoCCR and Tables PC1, PC2, and PC3 of the FCP to verify that all CoC auditors, fishery team leaders, and team members comply with the qualification and competency criteria.*
>> *6.1.2.1 For the MSC training courses, the pass mark in examinations shall be 70% for new and existing CoC auditors and fishery team leaders and members.*
>> *6.1.2.2 CoC auditors and fishery team leaders and members shall have a maximum of 3 attempts to obtain the pass mark.*
>> *6.1.2.3 The CAB shall provide a contact to the MSC to whom the results of the examination will be sent.*
>> *6.1.2.4 If any CoC auditors, fishery team leaders or members fail to obtain the pass mark for a training course after 3 attempts, the CAB shall contact the MSC to agree on a training action plan for these individuals.*
>> *a. The auditor, team leader, or team member shall not conduct MSC CoC audits or fishery assessments until the auditor, team leader, or team member has completed the plan and successfully passed the previously failed module.*

The CAB shall ensure that:
> *2. All fishery team leaders have the qualifications and competencies detailed in Table 1 below in addition to those listed in Table PC1 in the FCP.*
> *3. Fishery team leaders mentor and/or train all fisheries team members in their assessment teams to ensure they are familiar with third-party management system conformity assessment auditing techniques.*

> **Guidance 6.1.3.c**
> *Fishery team leader activities for mentoring and/or training of their fishery team members should ensure that all such team members are familiar with the key concepts of third-party auditing techniques in advance of conducting any fishery assessments. Evidence will be expected to show how the CAB has actively ensured such familiarity on a timely basis, as needed for each team member. This should involve:*
> - *Initial training inputs from the team leader on auditing techniques for new auditors, based on ISO 19011, particularly Section 6 (Performing an audit) and Annex B (Additional guidance for auditors planning and conducting audits).*
> - *The opportunity for the team leader to review and provide feedback on the performance of their team members.*

[MSC Guidance to the Fisheries Certification Process](#) to provided help CABs interpret the Fisheries Certification Process (FCP) provides further details on auditor qualifications in Annex GPC Fishery team leader, team member, team and peer reviewer qualifications and competencies – Guidance.

6.3   Possible auditor training providers

The MSC supports Conformity Assessment Bodies (CABs) with training, technical help and interpretation of our Standards. Information is available [here](#). As detailed in Table 6 MSC Auditor qualifications there a range of technical skills that auditors are required to have.

6.4   Summary

- The Pacific region is mainly composed of oceans with plentiful seafood. The development of these resources in a sustainable way is a key strategy for economic development for many of the SAFE project focal countries. The MSC certification has been adopted to help the sustainable management of some of these fisheries .
- The qualifications for auditors require a wide range of specialist technical qualifications relating to the sustainable management of fisheries in addition to auditing skills. This requirement makes it doubtful whether generic locally based auditors will meet the MSC and certification body requirements. Certification bodies include SCS Global Services, Control Union UK, Acoura Marine Limited.
- It is suggested that contact is made with MSC accredited certification bodies active in the Pacific to clarify potential opportunities for the development of locally based certifiers. In addition it is suggested that links be established with regional organisations that are supporting the development of sustainable fisheries in the Pacific to clarify opportunities.

7.0 Aggregated analysis to identify any common training/auditor accreditation requirements

The following table lists market certification bodies active in the Pacific.

Table 7 Analysis of Market Certification bodies active in the Pacific

	Food Safety	Fairtrade	Rainforest Alliance	Organic	Seafood MSC
Certification Body					
A Cert				✓	
Acoura Marine Limited.					✓
Agreco				✓	
Australian Certified Organic				✓	
AsureQuality NZ	✓			✓	
Aus-Qual Pty	✓				
BSI	✓				
Bioagricert				✓	
BioGro NZ				✓	
CERES				✓	
Control Union	✓		✓	✓	✓
Ecocert				✓	
Fairtrade International		✓			
HACCP Australia (Fiji) Limited	✓				
IMO			✓	✓	
Integrated Quality Cert	✓				
Kiwa BCS				✓	
Merieux NutriSciences Certification LLC	✓				
NASAA				✓	
OneCert				✓	
Preferred by Nature			✓		
PWC compliance	✓				
TQCS International Pty Ltd	✓				
SAI Global Cert Services	✓				
Soil Assn				✓	
Southern Cross				✓	
Sustainable Development Services			✓		
SCS Global Services			✓		✓
SGS Australia	✓				
Telarc	✓				

Recommendations have been provided to follow-up the establishment of relationships with certification bodies involved in the delivery of the focal market certification programmes. It is suggested that the development of these relationships will clarify the level of interest in the establishment of a local auditor capability and subsequently the required qualifications and competence requirements for auditors