

General Rule for FOS (Friend of the Sea) Certification  
Based on FOS (Friend of the Sea) 0001  
FOS Wild, FOS Aqua-Shellfish/Inland/Marine,  
FOS CoC, FF, FO, FM and O3.



PT. PCU Indonesia.

*Certification*

OFFICE: AD Premier Building, 8th Floor, suite 05-06

Jl. TB Simatupang, South Jakarta, 12550, Indonesia

Edition	Date	Log
1	01/06/2018	Initial
1.1	15/08/18	Adding reinstate statement

## Table of Contents

1. GENERAL .....	3
2. REFERENCE STANDARD .....	3
3. CERTIFICATION REQUIREMENT IN FOS .....	3
4. INITIAL CERTIFICATION .....	4
5. INITIAL, SURVEILANCE AND RECERTIFICATION AUDIT .....	5
6. FINDING (COMPLIANCE AND NON COMPLIANCE) .....	8
7. CERTIFICATES OF CONFORMITY AND ITS MANAGEMENT .....	8
8. SUSPENSION, WITHDRAWAL AND REINSTATEMENT OF CERTIFICATE .....	10
9. CONTRACT.....	12
10.COMPLAINT AND APPEALS .....	12

## FOS General Rule

### 1. GENERAL

- 1.1. This document describes the procedures of PT PCU Indonesia, herewith mentioned as PCU, for the Friend of the Sea certification and how Companies or Organization applying for certification (applicant) are able to obtain, use, suspended, withdrawn, and reinstate certification. Contracted applicants are mentioned as Clients.
- 1.2. This document is an addition to PCU Audit Regulation which can be obtained at <http://cucpublications.controlunion.com/Publications.aspx>, shall there be a contradiction with the requirement/statement, then this FOS General Rule document is applicable (as the PCU Audit Regulation is intended for all program e.g ASC, MSC, BAP, Globalgap, ISO etc.)
- 1.3. Certification is open for all companies and organizations in fisheries and aquaculture sector.
- 1.4. PCU will apply fee or cost for the certification services and PCU could guarantee the confidentiality, fairness, and equality.
- 1.5. PCU has right to refuse request from organization who want to apply for FOS certification program, if organization has issue violation of the law, or that have been the subject, or whose production or activities have been the subject, of restriction, suspension or proscription by a public authority.
- 1.6. Companies and organizations are allowed to apply FOS certification system for individual or group. Such information will be reviewed by application reviewer (during PIF) and PCU.
- 1.7. Detail of FOS standard could be find in the annexes of this document or FOS official website or as per request.

### 2. REFERENCE STANDARD

- 2.1. For Clients who are willing to obtain FOS certification system, they have to be audited and afterwards present satisfaction conformity based on FOS standard and requirements.
- 2.2. Documents, principles, and standards used during certification process are:
  - FOS Certification procedure FOS 0001
  - FOS Wild (Certification criteria for sustainable seafood from wild fisheries)
  - FOS Aqua inland r (Certification criteria for sustainable inland aquaculture)
  - FOS Aqua shellfish (Certification criteria for sustainably farmed bivalves)
  - FOS Aqua Marine (Certification criteria for sustainable aquaculture in sea)
  - FOS CoC rev.5 (Certification criteria for traceability of FOS products)
  - FOS-FF, FM, FO, O3: Certification criteria for fish feed, fishmeal, fish oil, omega 3 from sustainable fisheries.
  - Audit Guidance for FOS standard
  - PCU Audit Regulation
  - PCU Terms of Contract (included in Offer Letter)
- 2.3. To check updated standard of FOS, you can find at official FOS website. *Reference:* <http://www.friendofthesea.org/download.asp?ID=1>

### 3. CERTIFICATION REQUIREMENT IN FOS

- 3.1. The conformity to FOS standard will be verified during audit program that include initial audit, surveillance audit, renewal audit and certification decision.

## FOS General Rule

- 3.2. Based on FOS 0001 certification procedure, FOS will notify accreditation body, PCU, and clients in-case there is change within FOS standards, Certification and accreditation procedures. The Accreditation Body may require its observers to take part in the audits performed by PCU in order to ascertain whether the auditing methods applied by PCU comply with the relevant standards. The participation of these observers is agreed in advance between PCU and the Organisation. If the Organisation does not allow these observers to take part, the validity of its certificate is suspended.
- 3.3. Program audit Friend of The Sea consists of:
- Initial Certification Audit
  - Surveillance Audit
  - Re-certification audit
  - Other additional audits between initial and re-certification (if needed)

## 4. INITIAL CERTIFICATION

- 4.1. The first step of certification is application review, hence the organization wishes to apply can fill up FOS Application Form available on <http://cucpublications.controlunion.com> or VIA PIF in the FOS website, and submit to your CUC local offices. Applicant must fulfill all information required such as:
- Scope of certification applied
  - General information of the applicant (companies/organization)
  - Number of units/sites subject to certification, including its addresses/coordinates and the activities conducted in each units/sites. For FOS Wild it is mandatory to include number of vessels/fishing boat and its location (i.e. GPS coordinates)
  - Previous certificates (if any)
  - Company's legal doc such as permit, license etc.
- 4.2. The application shall be signed and acknowledged by legal representatives of the applicant.
- 4.3. Afterwards PCU will send offer letter to the applicants. Offer letter sent by certification body will be calculated based on application form and PIF that provided by the organisation. The method for the calculation of number man-days minimum required refer to FOS 0001 (appendix A) added with travelling time (days) and reporting (day). The number of man days needed to carry out the audit depends on the size of the client's scope and fishery being audited. The number of man-days may change, in-case there is change on the audit scope between in the contract/application form or PIF. Re-calculating man-days may happen during the audit. Sample of the visited farm/vessel/ponds according to FOS see Annex I.
- 4.4. If applicant accept the offer, the signed offer letter shall be submitted to CUC office. Applicant shall also submit business of registration and VAT registration number (if applicable) for the legal and financial information.
- 4.5. Before performing audit, PCU has to make sure the following:
- There is sufficient information in applicant's documents submitted
  - PCU has capacity/auditor to perform the audit by the agreed schedule
  - Documents required (e.g. General Management System) sent by client prior audit phase 1 started
  - Sampling and man-days calculation are conforming to requirement of FOS 0001

## FOS General Rule

### 5. INITIAL, SURVEILLANCE AND RECERTIFICATION AUDIT

#### 5.1. Initial

##### 5.1.1. Initial certification process of FOS consists of three main stages:

##### 1. Assessment; in The **assessment** phase consists of two phases:

###### ○ Preliminary phase (S1),

The preliminary phase (S1) aims to audit the documentation of the client's management system, review client's understanding of the regulations' requirements, and gather the necessary information about areas of interest of the management system, processes, and location of the clients'.

In this stage, PCU will send documents to clients, then clients shall full fill the documents with annexes (if needed). S1 can be performed partly in the office and partly at the organisation's site, or entirely off-site. Once S1 is completed with positive outcome, it is possible to proceed directly to S2.

###### ○ Audit implementation phase (S2)

During S2, on-site audit is required, the implementation and efficiency of the clients' management system is assessed. Assessment will include compliance of the management system to all the legislative requirements, activities of monitoring, measuring, reporting and reviewing according to FOS standard, links between regulation requirements, policy, objectives and goals of the client, internal audits and review by the client's management.

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

Final report will be uploaded or publish to official FOS website, in-case there are confidential information is classified, organization shall inform in advance to PCU then PCU shall notify FOS during sending final report. Final decision regarding the information that appear in the checklist is on FOS as scheme owner.

During the stage 2, client has to demonstrate that their management system for Friend of the Sea has been fully operational and effectively applies the documented procedures.

If in the onsite audit (stage 2), findings or nonconformities arise, please refer to point 6. The closure of the findings or nonconformities has to satisfy the requirements of Friend of the Sea certification; thus a certificate will be issued. Copy of the issued certificate and a summary audit report will be sent to Friend of the Sea association **within one month** since the issue of the certificate.

##### 2. Review

Draft Report will be reviewed by certifier and/or technical expertise. During this stage, if there are any non-compliance during audit, client shall send appropriate corrective action plan and/or implementation within the timeframe.

##### 3. Decision

**Basically certification decision will take place after 6 weeks after the audit.**

**Certifier shall make the decision of granting a certification within a maximum of 15 working days after closure of any out-standing NCs (if any during the audit). The decision is based on the**

## FOS General Rule

amount and type of NCs recorded, if any, during the audit, and on any other relevant information given.

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

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

The certification can only be granted after both auditor and certifier have accepted the corrective actions and their implementation times. Proposals to carry out CAs shall include statements of intent and an action plan.

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

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

The certifier can make the certification decision only after the full review of the audit documents by technical review member (except CoC).

1. Product certificate number - Each product assigned to any modules/standards of FOS-Aqua, FOS-Wild, FOS-FF, FOS-FM, FOS-FO, FOS-O3 AND CoC has to be named as shown in the "online certificate validation tool". Click "edit" after the product and then Copy and paste the "FOS certificate No" of the product from "online certificate validation tool "(Search) into "FOS Cert no" in CUSI and click "save".
2. Validity – same "valid from" and "valid to" dates of "online validation tool" (Search) have to be entered under the certification history of the project in CUSI.
3. In case of certificate transfers the expiry date of the succeeding certificate shall be the same as the expiry date of the preceding certificate.

### 5.2. Surveillance

Clients shall ensure their management system consistently conforms against Friend of the Sea standard requirements. The corrective action plans from previous audits must be implemented and the records shall be available to PCU.

- 5.2.1. Surveillance audit will be conducted after (about) 12 month from the date of certificate issued (exceptional cases might happen, under approval from scheme owner and/or certification procedure).
- 5.2.2. A surveillance audit shall be carried out by PCU to ensure certified companies maintain Friend of the Sea certification standards.
- 5.2.3. The surveillance audit of FOS-Wild and FOS-Aqua, FOS-CoC, FOS-FF, FOS-FM, FOS-FO, FOS-O3, shall be carried out within :

## FOS General Rule

1. The surveillance audit is conducted within 12 months after first certification. In case of justified impediments (e.g. delayed fishing season), surveillance audits can be postponed to maximum 6 months after the due date.
2. The surveillance audit is conducted within 18 months after renewal certification.
3. The client that has been certified by FOS/other CB (especially in 2015 or earlier), can do renewal certification to other CB, so their surveillance audit can start in 18 months (as it is renewal certifications) even the 1<sup>st</sup> CB has never been accredited.

### 5.3 Special audits

- 5.3.1 Extension of Scope; PCU will in response to an application for extension to the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.
- 5.3.2 Short-notice audit; CU reserves the right to conduct short notice audit. These audits are announced to the client 1 day before the actual visit takes place. The client can object against the audit team members but cannot object against the audit itself. The reasons for these short notice audits can be doubts derived from complaints, external notices or information, internal information gathered during previous audits or as a follow-up on suspended clients.
- 5.3.3 Re-assessment of non-conformity; Some non-conformities (or group of non-conformities) may need to be re-assessed by additional site visit. The auditor in consultation with the auditee decides when it is necessary. The certifier can overrule this decision, but the client must be informed.

### 5.4 Recertification (Renewal)

- 5.4.1 Renewal certificate (re-certification audit) will be conducted after 30 months after certificate issued or at least 3-month prior certificate expired.
- 5.4.2 Clients shall communicate to PCU to plan the activity and agree on an appointment date of audit. Application form shall be re-completed in order to identify if there are changes in the scope of the certification.
- 5.4.3 PCU shall audit the complete checklist (Essential, Important and Recommended requirements) of the applicable standard(s) during all audits. Renewal audits are mainly focused on the NCs identified during the certification audit and on the CAs. Audits also review any additions to the management system, fishing boats or aquaculture sites previously not sampled.
- 5.4.4 Depends on the non-conformities found in the re-certification audit, PCU shall verify if the corrective actions plan or the implementation has been applied by clients. This verification can be an onsite or desk-study audits by the auditors, by considering the level of non-conformities and the corrective actions proposed. All costs arise from the additional audit will be charged to client.
- 5.4.5 After all non-conformities are settled in satisfactory manner, PCU shall reissue the certificate of conformity.

## FOS General Rule

### 6. FINDING (COMPLIANCE AND NON COMPLIANCE)

- 6.1. During audit, PCU will review and auditing the compliance of the organization within FOS standard and requirement. There might be two types of findings, which consist of Compliance and non-Compliance with the FOS standard and requirement.
- 6.2. Non-conformities (NCs) that detected during the audit shall be reported by the certification body (auditor) to the Organisation and to FOS. Client is responsible to address, solve and close all NCs detected during the audit in appropriate timeframe. Client shall plan and implement corrective actions (CAs) in the appropriate timeframe as well.
- 6.3. Grading of non-conformities:
- Major NC (Essential requirements),  
Client shall be 100% compliant with essential requirements to be recommended for certification by PCU. To achieve certification, corrective actions (CA) shall be implemented within three months from the date of assessment of NCs. Organization shall provide satisfactory evidence of correction of all Major NCs, and if necessary, with additional audits.
  - Minor NC (Important requirements),  
COs shall be 100% compliant with important requirements for the company to be recommended for certification. Proposals to carry out CAs shall be submitted to the CB within maximum three weeks from the date of assessment of the NCs. In the proposal, the organization shall include the timeframe for the implementation of each corrective action. The certification can only be granted after the CB has accepted the corrective actions and their implementation times. Proposals to carry out CAs shall include statements of intent and an action plan. Certificates cannot be issued if there are outstanding NCs.
  - Recommended Indicators: It is not compulsory for COs to comply with recommended indicators to achieve certification. Nonetheless, all the aspects related to these requirements shall be reviewed and any NCs will be highlighted in the audit report as a 'recommendation'. The company should consider the necessity of CAs and, during the next audit, inform the CB about the CAs undertaken.
- 6.4. Suspension of the certification may result from certain major non-conformities or minor non-conformities which can compromise the client's management system. If this happens, an additional audit must be performed within the NCs deadline in order to check the corrections and corrective actions proposed by client. All costs arise from the additional audit will be charged to client.

### 7. CERTIFICATES OF CONFORMITY AND ITS MANAGEMENT

#### 7.1. VALIDITY

- 7.1.1. Friend of the Sea certificate of conformity will be valid until 3 years starting from the date of approval of the initial certification or recertification proposal.
- 7.1.2. Certificate will be issued after NC closure sent by organization (corrective actions implemented and/or proposal CA send according to timeframe) subsequently NC closure has been settled/approved by auditor and certifier.
- 7.1.3. Certificate issued shall contain information on national accreditation that acquired by certification body (PT PCU Indonesia) as per National Accreditation body requirements or term and conditions.
- 7.1.4. The validity of the certificate can be extended beyond three years for a maximum period of 60 days after the certificate's expiry date, to allow for certification renewal. If the renewal audit is



## FOS General Rule

not conducted within the extension time, the new certificate will be issued reporting the new date of certification. The validity may only be extended if there is a valid reason, which shall be recorded in the audit report.

### 7.1.5. The certificate contains:

- FOS logo
- The following text: “THIS CERTIFICATE MAINTAINS ITS VALIDITY ONLY IF SIGNED BY THE CERTIFICATION BODY AUDITOR CONFIRMING COMPLIANCE, FOLLOWING EACH SCHEDULED SURVEILLANCE AUDIT”
- The company name;
- The certified sites;
- The certification scheme (FOS-Wild and FOS-Aqua, FOS-FF, FOS-FM, FOS-FO, FOS-O3, CoC) with reference to the current standard version;
- The fishery subjected to certification, scientific name of the species, fishing method and fishing area for wild catch products, or the type of aquaculture production and farm sites for farmed products;
- The certificate number;
- Date of issue;
- Date of expiry;
- Date of audit
- Expected date of next surveillance or renewal audit;
- The name of the CB;
- Name and surname of the AGL;
- Signature or other authorization defined by the responsible person;

## 7.2. PUBLIC INFORMATION

7.2.1. Client can access the program audit (dates of planned surveillance and re-certification) and reports in CIS (Client Information System). The password of CIS user will be sent to a registered email. Documents can also be requested through regular email to PCU.

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

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

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

7.2.5. In the event that changes are made to documents or regulations, PCU shall inform the client concerned in writing about the changes and about the day they come into effect.

7.2.6. The website of PCU (<https://cucpublications.controlunion.com>) shows the Friend of the Sea certified clients with information of:

- Name of clients
- Number of clients registration
- Address of clients
- Subprograms certified

Other documents not available on the website can be requested to PCU office or by sending an inquiry to [jakartacertification@controlunion.com](mailto:jakartacertification@controlunion.com) or [friendofthesea@controlunion.com](mailto:friendofthesea@controlunion.com).

## FOS General Rule

### 7.3. CHANGES OF CERTIFICATION SCOPE

- 7.3.1. Client can request of change of certification scope by updating the application form and other required documents. Changes of the scope may or may not involving additional audit as examined by PCU.
- 7.3.2. The changes or modifications to legal, commercial, or ownership status, organization structure and management, contact address and sites, scope of application and activities, processes, and other modifications shall be assessed and approved by PCU prior being included in the scope of certification.

### 7.4. LOGO USE

- 7.4.1. The Friend of the Sea registered trademark can only be used on Friend of the Sea certified products with a valid certificate and promotional materials.
- 7.4.2. The use of indications that refer to the certified production method is only allowed after the concerned scope certificate has been issued and use of labels and logo is approved by FOS association.
- 7.4.3. Use of labels and logos must be according to Friend of the Sea Logo Use Guidelines document (latest version: Rev.10 2016).
- 7.4.4. Control Union is not issuing license for use of labels and logo. Certified clients shall contact Friend of the Sea association for the license.
- 7.4.5. It is not obligatory for Friend of the Sea certified clients to use Control Union logo as certifying CB in the labels and logo. CU logo can only be used in If desired to use CU logo, please refer to Annex of CU logo guidance of PCU Audit Regulation. A separate approval form applies.
- 7.4.6. Use of labels and logo shall be evaluated during the audit.

## 8. **SUSPENSION, WITHDRAWAL AND REINSTATEMENT OF CERTIFICATE**

### 8.1. SUSPENSION

- 8.1.1. The validity of FOS certificate may be suspended as indicated in general contract and in the following specific cases (also mention at FOS 0001 certification procedure):
  - Wrong or misleading use or advertisement of the certification by the company,
  - The company refuses or hinders the audit activities,
  - The company fails to meet the financial obligations defined by the contract with the CB,
  - Certification fee was not paid by client.
  - The audit detects particularly serious NCs
  - The company fails to carry out any CAs following particularly serious NCs detected by the CB
  - Unlicensed use of the Friend of the Sea logo or failure to pay the annual fee for the logo use (when applicable).
  - During the audit, there are change in the scope of the current certificate but not approved by FOS.
- 8.1.2. In the event of a suspension of certification, the Association Friend of the Sea will be notified by PCU.
- 8.1.3. During the period of suspension, the producer will be prohibited from using the FOS Logo/Trademark, license/certificate or any other type of document that is in anyway linked to FOS in relation to the suspended product/certificate. This is included in the NC suspension letter.

## FOS General Rule

### 8.2. REINSTATEMENT AND WITHDRAWAL

- 8.2.1. Suspension can be cancelled or revoked by PCU after closure of all the nonconformities, or if necessary an additional audit has been conducted and provides evidence that all NCs have been corrected. The status of certification thus being reinstated to its original validity.
- 8.2.2. If there is no next higher grade, the certificate must be suspended with immediate effect. To reinstate the certificate, a new audit (can be desk audit) must be done prior to the decision to reissue the certificate:
- Verification of activities including monitoring; Verification activities can include requesting traceability or purchase/sale records for review or conducting short-notice or unannounced audits.
  - Prior to accepting that corrective action has been effective, perform an on-site verification audit and at a later date perform a second on-site unannounced audit.
  - Verify the effectiveness of the corrective action once informed its completion. If the verification of the effectiveness of the corrective actions to address the reason for suspension in the required timeframe cannot be concluded, CUP will withdraw the certificate.
  - Verified that your company has addressed the reason for suspension.
- 8.2.3. This mechanism shall take place within 90 days after the suspension, otherwise the whole certification or certain scope of certification (which is affected by the NCs) is withdrawn. The costs of the additional audit shall be paid by the client.
- 8.2.4. In the time period between the suspension of the certification and the cancellation of the suspension, the product will not be considered compliant to the Association Friend of the Sea standards.
- 8.2.5. Withdrawal of certification and termination of the contract shall be issued if:
1. No corrective actions after 90 days of suspension
  2. When the client is found with fraud and/or lack of trust to comply with FOS Requirements
  3. When producer/producer group cannot show evidence of implementation of effective corrective action after a declared suspension.
  4. When there is a contractual non-conformity.
- 8.2.6. Termination of the contract must be officially communicated to the client.
- 8.2.7. Any organization wish to reapply the certification after being withdrawn, shall apply the certification from the initial procedures again.

### 9. **Cancellation (Withdrawal by CU) –shall be as following;**

- 9.1. When the client is found with fraud and/or lack of trust to comply with FOS Requirements
- 9.2. When producer/producer group cannot show evidence of implementation of effective corrective action after a declared 90 suspension.
- 9.3. When there is a contractual problem (annual fee not paid etc.).
- 9.4. Cancellation of the contract has to be officially communicated to the client. This is may done by sending the CUSI Resignation letter to the client.

## FOS General Rule

### 10. CONTRACT

- 10.1. Offer letter as contract will be valid, after signed by both party (PCU) and organization (client). Contract could be reviewed by organization after Certification body send official offer letter to organization.
- 10.2. All clients and PCU are bind with Terms of Contract included in annexes of offer letter.

### 11. COMPLAINT AND APPEALS

- If you wish to submit a complaint to PCU, please use this form.
- For certain programs separate dispute protocols are in force as specified in the applicable contract: i.e. FSC, MSC (see also specific organisations website).
- For certain programs additional dispute protocols are in force as specified in the applicable contract: i.e. BRC (see also specific organisations website).
- An appeal can only be made against a certification decision of PCU as per procedures described in the terms of contract point 13. For that purpose this form can also be used.
- We kindly request you to specify your complaint as much as possible (“who, what, where, when”) and provide any necessary documentation if applicable.
- You can send this form with any attachments to our local certification branch offices or to our office in PT. PCU Indonesia, AD Premier Jl. Raya TB Simatupang no. 5, Jakarta Selatan 12550 (email: [jakarta@controlunion.com](mailto:jakarta@controlunion.com))
- Appropriate personnel will confirm receipt of your complaint, with a timeframe of handling the complaint, within two weeks if no improvement can be made before that time.
- We will inform you of the results in writing or verbally, depending on the size and nature of the complaint.
- In case this solution is unsatisfactory the dispute protocol as described in article 14 of the Terms of Contract comes in force.
- Incomplete complaints cannot be processed.

An appeal is a formal notification of disagreement with a (certification) decision within a certification process, or request by the provider of the object of conformity audit to PCU for reconsideration of a decision it has made relating to that object.

A complaint is a formal expression of dissatisfaction, other than appeal, by any person or organisation regarding a PCU employee’s behaviour, PCU methodology, or work executed under contractual responsibility of PCU by a critical office or subcontractor, where a response is expected.

A concern is an expression of dissatisfaction or concern by any person or organisation regarding a client certified by PCU, which is not sufficiently substantiated to be classified as a complaint and where a response is expected.

Date	
Your Organisations name	
Your personal name	
Your address	
Telephone	
Fax	
e-mail	
Type (cross out what is not applicable)	<input type="checkbox"/> Complaint <input type="checkbox"/> Appeal <input type="checkbox"/> Concern
Description Please describe your complaint/appeal as much as possible (“who, what, where, when”) and provide any necessary documentation if applicable	

## FOS General Rule

### Evidence

Please specify the evidence for your complaint/appeal.

\* Attachments may be used

Prepared by:

Nanda Agung Pratama and Sulistya Nisa Utami

Approved by:

Sanjaya K Pathirage  
(Managing Director)

## FOS General Rule

### ANNEX I

**Table 1: Audit duration (FOS Aqua)**

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

Where:

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

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

- ✓ The method for the calculation of working days is outlined in Table 2.

**Table 2: Method for quantification of working days for the audit of FOS - Aqua**

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

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

Assessment times that are higher (maximum 100% higher) or lower (maximum 50% lower) than those defined by Table 2 shall be recorded and justified.

**Table 3: Audit duration (FOS Wild)**

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

Where:

- $x$  represents the minimum number of vessels, rounded up to the nearest integer, to be audited, and
  - ✓ •  $n$  indicates the total number of fishing vessels that supply the CO under assessment.
  - ✓
  - ✓ Table 4: The calculation of man-days for the audit of FOS - Wild

Audited item	<i>In situ man-days</i>
--------------	-------------------------

## FOS General Rule

Fishing boat	0.25 (2 hours)
Chain of Custody	0.5 (4 hours)
Social accountability	0.5 (4 hours)

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

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

**Table 5: Audit duration (FOS FOS-FF, FM, FO and O3)**

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

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

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

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

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

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

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

- ✓ Assessment times that are higher (maximum 100% higher) or lower (maximum 50% lower) than those defined by Table 5 shall be recorded and justified.
- ✓ The number of working days necessary to carry out the audit is proportional to the number of certification items and, above all, to the number of suppliers involved in the sourcing process, and to the source(s) of the product.

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

**Table 6. Minimum audit time required for FOS CoC certification**

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