

(English Translation)

Established: March 9, 2018

Revised: August 1, 2018

Revised: March 22, 2019

Revised: June 21, 2019

Revised: April 1, 2022

Revised: August 1, 2022

Revised: November 16, 2023

Revised: June 1, 2024

Requirements for Certification Bodies Certifying Aquaculture Management Standard Version 2.1



Marine Eco-Label Japan Council

preface

This document is based on the Marine Eco-Label Japan Council (hereinafter referred to as the "Council") Standards and Certification Scheme Management and Operation Regulations (hereinafter referred to as ""6. Management and operation of the certification scheme" and "Marine Eco-Label Japan Aquaculture Management Standard (hereinafter referred to as the "Aquaculture Management Standard.") Establish requirements for organizations that conduct certification audits based on the above.

This document is intended for the certification of the certification organization (hereinafter referred to as the "certification body"). In addition to the requirements based on the International Standard on Product Certification Bodies (ISO/IEC17065:2012), individual and specific requirements related to this certification scheme shall be established.

1. Scope of application

1.1. Eligible Certification Bodies

It applies to all certification bodies that carry out work related to the "Aquaculture Management Standard".

1.2. Eligible Products and Services

The scope and unit of certification according to this document shall be based on the definition of the Aquaculture Management Standard separately stipulated.

1.3. Citation Standards

- Marine Eco-Label Japan Aquaculture Management Standard
- Marine Eco-Label Japan Aquaculture Management Standard Criteria for Determining Conformity (Examination Guide)
- Logo Usage and Management Regulations
- ISO/IEC 17000:2020 Conformity assessment - Terms and general principles
- ISO/IEC 17065:2012 Conformity Assessment - Requirements for Certification Bodies Performing Product, Process and Service Certification
- ISO/IEC 17067:2013 Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes
- ISO19011:2018 Guidelines for Management System Audits
- ISO9001:2015 Quality Management Systems - Requirements

- ISO/IEC Guide 59:1994 Good Practice for Standardization
- IAF MD 1:2023 IAF Standard Document for Auditing and Certification of Management Systems Operated by Multi-Site Organizations
- FAO Code of Conduct for Responsible Fisheries
- FAO Technical Guidelines on Aquaculture Certification
- FAO Guideline for the routine collection of capture fishery data
- GSSI Global Benchmark Tool (Version 2.0)
- 1982 United Nations Convention on the Law of the Sea
- World Trade Organization (WTO) Technical Barriers to Trade (TBT) Agreement Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards

Refer to the latest version for ISO, ISO/IEC, and IAF MD among the cited standards.

1.4. Definition of terms

The terms used in this document are based on Aquaculture Management Standard and are defined as follows:

- **Site (site):** The site is the aquatic animals and plants to be examined (hereinafter referred to as "aquaculture target species"). or where surveys and research on aquaculture species are being conducted. Specifically, fish farms where aquaculture target species are produced, fishery cooperatives (hereinafter referred to as "fishery cooperatives"), and businesses engaged in aquaculture (hereinafter referred to as "Aquaculture operators" refers to offices where practice is conducted, fisheries experiment stations, research institutes, etc.
- **Non-conformity:** When the audit team determines that the requirements of the Aquaculture Management Standard have not been correctly implemented or that the basis for implementation has not been indicated.
- **Conformity:** When the audit team determines that there is sufficient information and evidence that the aquaculture industry complies with the requirements of the Aquaculture Management Standard. However, if some of the requirements of the Aquaculture Management Standard have not been implemented, but the basis for the implementation is clear, and the review team determines that a plan for improvement has been formulated and implemented, it will be conditionally compliant.

1.5. Requirements for Certification Bodies

The certification body must comply with the requirements of the Administrative Regulations "6 (Management and Operation of Certification Schemes)".

1.6. Applicant for certification

A certification applicant is an organization that has applied for certification based on the Aquaculture Management Standard or has already received aquaculture certification.

The certification body shall confirm that the applicant for certification is a person engaged in the aquaculture industry subject to examination, an organization or federation thereof of persons engaged in the aquaculture industry subject to examination, or a person who intends to sell marine products produced by the aquaculture industry subject to examination. In addition, the certification body confirms that the person engaged in the aquaculture business subject to examination is an aquaculture business operator who operates with a license or license from the Minister of Agriculture, Forestry and Fisheries (national) or governor (prefectural government) of Japan, or who conducts legal operations in light of relevant laws and regulations.

1.7. Outsourcing of part of the auditing activities of certification bodies

If a certification body outsources part of its audit activities, it must comply with 6.2.2 of ISO/IEC17065. The requirements for external resources stipulated in the following paragraph must be satisfied.

In this case, in determining the eligibility of the outsourced organization, the certification body must ensure that the outsourced organization satisfies the qualifications, training, and competence requirements of the certification auditor set forth in 4.1 of this document and that it possesses knowledge and experience in other related requirements.

2. General Requirements

2.1. Legal and contractual matters

All requirements stipulated in ISO/IEC17065 4.1. shall apply.

2.2. Fairness Management

All requirements set out in ISO/IEC17065 4.2 and FAO Technical Guidelines on Aquaculture Certification 129 and 130 apply.

2.3. Finance & Finances

All requirements set forth in ISO/IEC17065 4.3 and FAO Technical Guidelines on Aquaculture Certification 135 apply.

2.4. Non-discrimination

All requirements set forth in ISO/IEC17065 4.4 and FAO Technical Guidelines on Aquaculture Certification 133 and 134 apply.

2.5. confidentiality

All requirements set out in ISO/IEC17065 4.5 and FAO Technical Guidelines on Aquaculture Certification 146 and 147 apply.

2.6. Disclosure of information

All requirements stipulated in 4.6 of ISO/IEC17065 apply.

3. Configuration requirements

All requirements stipulated in ISO/IEC17065-5 apply.

4. Resource Requirements

4.1. Personnel involved in the certification act

4.1.1. Introduction

All requirements stipulated in Section 6.1.1 of ISO/IEC17065 apply.

4.1.2. Personnel involved in the act of certification

Certification bodies must ensure that the personnel involved in certification audits, reviews and decisions on certification results have the appropriate knowledge and competence related to those activities.

The personnel involved in the certification act are classified into the following five categories.

- Assistant Auditor: Those who meet the qualifications set forth in 4.1.3.

- Auditor: Under the supervision of a designated instructor as an assistant auditor, two or more certification audits of Aquaculture Management Standard (initial audit and renewal audit only. Annual review is not included. A person who has experience in implementation and conducts certification audits independently.
*However, those who have at least two audit experiences in other certification schemes recognized by the Council (production stage certification or distribution processing stage certification) and who have completed the training for existing auditors conducted by the training organization in accordance with the auditor training procedure manual in 4.1.4.2 will be qualified as auditors.
- Designated Instructor: Conducted at least 5 certification audits of Aquaculture Management Standard as an auditor (initial audit and renewal audit only. Annual review is not included. A person who can not only conduct certification audits independently, but also provide guidance to assistant auditors.
- Reviewer: A person who has completed training in ISO9001-based auditing skills and has been registered as an auditor with an ISO9001 auditor evaluation and registration organization that has obtained ISO/IEC17024 accreditation, and who reviews the audit report prepared by the auditor or a designated instructor.
- Certification decision-maker: A person who has completed training in auditing skills based on ISO9001 and has been registered as an auditor with a ISO9001 auditor evaluation and registration organization that has obtained ISO/IEC17024 accreditation, and who decides the results of the examination report prepared by the auditor or the designated instructor based on the discussion at the judgment meeting.

4.1.3. Qualifications for Assistant Auditors

The certification body must ensure that the assistant auditor has one of the qualifications specified below and has at least two years of work experience in the fisheries-related industry as a full-time employee (full time) for at least two years for (1) ~ (3) and at least for (4) as shown below.

- ① Those who have a doctorate in fisheries or agriculture
- ② Engineer (Fisheries Division)
- ③ Fisheries Extension Instructors (including former Fisheries Extension Agents and former Fisheries Specialist Technicians)
- ④ Other persons with experience in fisheries research, management, management, and guidance

[Years of experience]

- Graduate school graduates: 4 years or more
- University graduates: 6 years or more
- Junior college graduates: 8 years or more
- High school graduate: 12 years or more

In addition, a person with the above qualifications and experience may become an assistant auditor by completing the training based on the auditor training procedure set forth in 4.1.4.2.

4.1.4. Competence of Auditors and Designated Instructors

4.1.4.1. The certification body shall be ISO19011 by auditors and designated instructors in 7.1.1., 7.2.1., 7.2.2., 7.2.3.1., 7.2.3.2. (except for paragraph b) and the process to ensure that the person has the personality, knowledge and skills in accordance with 7.2.3.4.

4.1.4.2. The certification body shall ensure that auditors and designated instructors have the necessary knowledge and skills to audit responsible and sustainable aquaculture production activities that take into account the conservation of natural resources, the preservation of the environment and the trust of consumers. Training must be conducted in accordance with the auditor training procedure separately established by the Council. In addition, it must be ensured that the auditors and designated instructors have participated in the aforementioned training within the past three years. It must also be ensured that the Assessors have completed their training on the latest version of the Scheme Document before conducting the examination.

4.1.4.3. The certification body shall ensure that auditors and designated instructors participate in additional work experience, training, personal learning, teaching, meetings, seminars, conferences or other activities (see 7.6 of ISO19011) in order to maintain their knowledge of the latest and best aquaculture production activities and to carry out continuous professional development.

4.1.4.4. The certification body shall ensure that auditors and designated instructors have successfully completed training in ISO19011-based

audit skills in order to ensure that they have knowledge and skills in the principles, procedures and techniques of auditing and that they have the competence to carry out audits in a consistent and systematic manner.

4.1.4.5. The certification body must ensure that the auditors and designated instructors have the personal competence to behave professionally.

4.1.5. Auditing Team

The auditing team is based on 4.1. The committee shall consist of one or more auditors or designated instructors (including the judging team leader) who meet the competence requirements set forth in 4. In some cases, technical specialists may be added to provide appropriate expertise to supplement the audits required in a particular area.

4.1.6. Management of the competence of assistant auditors, auditors, and designated instructors

The requirements set forth in Section 6.1.2 of ISO/IEC17065 apply.

4.1.6.1. The certification body must have an examination system to ensure that the assistant auditors, auditors and designated instructors have the qualifications set forth in 4.1.3. and the competencies set forth in 4.1.4. The examination method is set forth in Appendix A. In addition, the certification body must issue a document stating that the auditor and the designated instructor have sufficient knowledge and competence.

4.1.7. Contracts with Auditors and Designated Instructors

The requirements set forth in Section 6.1.3 of ISO/IEC17065 apply.

4.1.8. Reviewer

It is desirable that the reviewers of the certification have knowledge of the Aquaculture Management Standard, the certification scheme document, and the conformity assessment system in order to verify the appropriateness, sufficiency and effectiveness of the evaluation activities. In addition, the reviewer of the examination results and the decision-maker of the certification can be concurrent. Certification bodies must also ensure that reviewers of certification have completed training in ISO9001-based auditing skills and are registered as auditors with

ISO9001 ISO/IEC17024 accredited auditor evaluation and registration bodies.

4.1.9. Certification Decision Maker

In order to determine the validity of the results of the review and the suitability of the aquaculture industry to be examined for the overall requirements, and to make a certification decision, the certification decision-maker has knowledge of the Aquaculture Management Standard, the certification scheme document, and the conformity assessment system, as well as sufficient knowledge of the aquaculture business being certified. In addition, the reviewer of the audit results and the decision-maker of the certification can be concurrent. Certification bodies must also ensure that the certification decision-maker is registered as an auditor with an ISO9001 assessor evaluation and registration body that has completed training in ISO9001-based auditing skills and is accredited by ISO/IEC 17024.

4.2. Resources for Examination

The requirements set forth in Section 6.2 of ISO/IEC17065 apply.

5. Requirements for the aquaculture certification process

5.1. Introduction

The requirements set forth in 7.1 of ISO/IEC17065 apply.

5.2. Fee Structure

5.2.1. The certification body must prescribe a fee structure sufficient to properly conduct the audit of the Aquaculture Management Standard and make it available to users. In addition, in view of the fact that there are aquaculture businesses of various sizes in Japan, which is within the scope of MEL certification, it is desirable for certification bodies to prescribe a fee structure according to the scale of the aquaculture industry to be examined.

5.2.2. The certification body must submit a fee schedule to the council for approval before commencing the certification project.

5.2.3. The certification body must ensure the collection of fees based on the fee structure.

5.3. Application

The requirements stipulated in 7.2 of ISO/IEC17065 apply.

5.3.1. The certification body must require the certification applicant to provide information to the extent necessary for the examination according to the Aquaculture Management Standard. The information includes, at a minimum:

1. Name, address, legal status and relationship of the applicant for certification and the person engaged in the aquaculture business subject to the audit
2. Details of fishing rights licenses or fishing licenses, etc., subject to examination and relationship with certification applicants
3. Target species, aquaculture methods, and fishing grounds
4. Categories of certification and members of certification
5. Documents showing the management rules of the aquaculture industry to be examined (feeding, medication (with or without medication, contents), seed and seedling procurement, etc.)

5.4. Review of applications

The requirements stipulated in 7.3 of ISO/IEC17065 apply.

5.4.1. At the stage of receiving an application from a certification applicant, the certification body must confirm whether the aquaculture industry to be audited is managed and operated under the same management rules*.

* For the definition of "same management rules," please refer to the Aquaculture Management Standard and the Aquaculture Management Standard Indicators of Conformity (Guidelines for Auditors) (hereinafter referred to as the "Guidelines for Auditors").

5.4.2. The certification body must conclude an examination contract with the certification applicant at the stage of receiving the application from the certification applicant. In addition, the certification body must reach an agreement with the certification applicant in the examination contract regarding the disclosure of the full text of the certification report, excluding commercially sensitive contents.

5.4.3. After determining the certification of the certification applicant, the certification body must conclude a certification agreement with the certification applicant in accordance with ISO/IEC17065 4.1.2. At that time, the certification applicant must notify the certification applicant in advance that the certification applicant will conclude a contract with the council regarding the use of the logo and that it will be possible to use the logo mark in accordance with the "Logo Usage and Management Regulations" separately established by the council.

5.4.4. Certification bodies must publicize applications for auditing upon receipt of such applications and establish a consistent system for the provision of information to interested parties.

5.5. Preparing for the audit

The requirements set forth in 7.4 of ISO/IEC17065 apply.

5.5.1. The certification body shall document the procedure for the selection and appointment of the audit team, including the leader of the audit team. In addition, an audit team must be organized according to the procedure.

5.5.2. The certification body must document the procedures to ensure that the audit plan for each audit is developed in order to create a basis for agreement on the performance and schedule of the audit action. (See 6.3.2 in ISO19011)

5.5.3. The audit team shall review the applicant's documents in preparation for the on-site audit in accordance with ISO19011 6.3.1 and the Guidelines for Auditors for the purpose of developing the audit plan. In particular, the audit team shall check whether sufficient evidence has been submitted as set out in the Guidelines for Auditors, and if so, the audit team shall ask the applicant for certification to provide additional evidence.

5.5.4. If the aquaculture industry to be reviewed is conducted by multiple business owners, the audit team can sample the sites to be reviewed. If sampling is to be used, the audit team must use the sampling method

specified in Appendix B, extract the sample, and describe the sampling process using a template. In addition, if the scope of certification spans multiple administrative divisions, sampling must be set in consideration of each administrative division.

5.5.5. The review team shall develop an audit plan based on the results of the document review. The certification body shall record the time and reason for the audit specified in the audit plan.

5.5.6. The assessment team shall verify the validity of the information submitted under 5.3.1. by contacting at least, the offices of the owner of the aquaculture business and the holder or manager of the right or license to carry out the aquaculture business (individual, fishing association, or federation of which the fishing association is a member). In addition, when collecting information from fisheries experiment stations or research institutes in the area, it is necessary to confirm by using information published by these organizations in electronic media or by contacting these organizations.

5.5.7. If the scope of certification spans multiple administrative divisions, evidence must be confirmed that the aquaculture industry of each aquaculture producer (certification member) complies with the requirements.

5.5.8. The audit team must inform the applicant of the audit plan in advance and obtain prior agreement on the schedule.

5.6. Audit

The requirements set forth in 7.4 of ISO/IEC17065 apply.

5.6.1. In order to ensure that the aquaculture industry to be audited meets the requirements of the Aquaculture Management Standard, the audit team must confirm that there is a compatibility between the social responsibility of the aquaculture industry, the health and welfare of the species to be farmed, ensuring food safety, and environmental conservation.

5.6.2. The audit team shall conduct the initial audit or renewal audit in accordance with the relevant guidance in Section 6.4 of ISO 19011.

5.6.3. The audit team must carry out the audit on-site.

5.6.4. The audit team must perform the following in order to conduct an on-site inspection. Details of each stage of the audit are set out in Appendix C.

Step 1	The audit team will hold an initial meeting with the certification applicant.
Step 2	The audit team will visit the site and collect evidence separately set out in the review guide regarding the compliance with the requirements of the aquaculture industry to be reviewed, the health and welfare of the species to be farmed, food safety assurance, and environmental conservation.
Step 3	The audit team confirms that the logo is used and managed in accordance with the "Logo Usage and Management Regulations." (In the case of a case other than the initial screening)
Step 4	The audit team will hold a final meeting with the certification applicant.

5.6.5. The audit team shall prepare an audit report. The following matters shall be specified in the audit report, and the report shall be prepared in accordance with the audit report template attached to the Guidelines for Auditors. The audit team should prepare the audit report in accordance with the requirements of 6.5.1 of ISO 19011.

1. Basic information of the applicant for certification (as stipulated in 5.3.1.)
2. Overview of the aquaculture industry to be examined
3. The procedure and status of the audit conducted and the name of the person conducting the audit
4. Result of the audit
5. Rationale for the results of the examination
6. Status of Logo Usage Management (Annual Audit and Renewal Review Only)

- 5.6.6.** The examination team must classify each requirement as non-conformity or conformity, and describe the findings of the examination in the examination report.
- 5.6.7.** If a non-conformity is found in the aquaculture industry in the initial audit, the inspection team shall require the certification applicant to take corrective action and verify that the non-conformity has been corrected before deciding on certification. At this time, if necessary, on-site verification will be carried out.
- 5.6.8.** The audit team shall record the following matters regarding the confirmed non-conformity:
- Date of discovery of non-conformity
 - What are the nonconformities, what are the causes, and how to solve the problem?
 - Corrective action to eliminate the cause
 - The date on which the corrective action was completed
 - The date on which the corrective action was validated
- 5.6.9.** If the audit team is unable to verify the adequacy of the corrective actions required in 5.6.7 within six months of the final meeting with the Applicant for Certification, the audit team shall complete the Certification Audit at that stage.

5.7. Review of Audit Results

The requirements stipulated in 7.5 of ISO/IEC17065 apply.

5.8. Authentication Decisions

The requirements stipulated in 7.6 of ISO/IEC17065 apply.

- 5.8.1.** The certification body shall determine conformity or non-conformity for each of the criteria for the requirements of the MEL Aquaculture Management Standard, and determine conformity or non-conformity in each principle. If there is a non-conformity with any one of the four principles, the aquaculture industry in question shall not be certified.

5.9. Certification Documents

The requirements stipulated in 7.7 of ISO/IEC17065 apply.

5.9.1. The certification body must include the following information in the certification certificate: It is desirable for certification bodies to use the template set out in Appendix D.

- Certification Number
- Applied Aquaculture Management Standard (including version information)
- Name and address of the organization that received the certification
- Scope of certification: Fish species to be cultivated, aquaculture methods, and fishing grounds
- Classification of certification and members of certification
- Certification Effective Date
- Authentication validity and expiration period
- Name and address of the scheme owner and the accreditation body
- Name and address of the certification body
- Issuer's signature and title

5.9.2. The certification is valid for a maximum period of three years.

5.9.3. The certification body shall report to the Council each time there is a start, termination, or suspension of certification of an applicant for certification, or a reduction in the scope of certification. In addition, the certification body must report the overall status of certification to the council in March of each year.

5.10. Directory of certified products

The requirements stipulated in 7.8 of ISO/IEC17065 apply.

5.10.1. The certification body shall publish a summary of the status of the certification and its certification report in electronic media. In addition, with the consent of the certification applicant, the full text of the certification report must be made available in electronic media or upon request.

5.11. Surveillance (annual and emergency audits) and renewal audits

The requirements set forth in 7.9 of ISO/IEC17065 apply.

- 5.11.1.** The certification body must conduct an annual audit once within 18 months of the initial or renewal audit and within 12 months of the previous annual audit.
- 5.11.2.** The annual audit must be carried out at the site of the aquaculture industry to be certified. However, if no non-conformities were noted in the most recent review, they can be substituted by other methods, such as a review of documents and records. However, it should not exceed two years since the last annual audit carried out in the field.
- 5.11.3.** If it is determined that there is a possibility of non-compliance with the requirements of the Aquaculture Management Standard or that there is a serious risk to the credibility of the scheme, the certification body must conduct an emergency audit of the certification applicant. Information on this risk must be substantiated and, if the Council wishes, shared.
- 5.11.4.** If, during an annual, emergency or renewal audit, a non-conformity is found in the aquaculture industry concerned, the certification body shall require the certification applicant to take corrective action. The period for the rectification of the non-conformity and the completion of its verification by the certification body shall not exceed three months. However, if the certification body deems that there is a justifiable reason, the period until the verification of the corrective action is completed may be extended. In this case, the certification body must report to the Council on a case-by-case basis.
- 5.11.5.** For non-conformities identified in 5.11.4., the certification body requires corrective action, and the matters stipulated in paragraph 5.6.8. shall be recorded and corrective actions shall be verified.
- 5.11.6.** If the corrective action cannot be verified within the period specified for the non-conformity identified in 5.11.5., the certification body shall suspend or terminate the certification of the certification applicant in accordance with

the procedure set out in 5.13.

5.11.7. In the renewal audit, if the decision to recertify is not made within the validity period of the certification of the aquaculture industry, the certification body shall inform the certification applicant to that effect. The applicant may continue to use the logo until the renewal audit is completed.

5.11.8. If there is a request for termination of certification due to the circumstances of the certification applicant, the certification body may terminate the certification of the aquaculture industry.

5.12. Changes that affect authentication

The requirements set forth in 7.10 of ISO/IEC17065 apply.

5.12.1. When the certification body receives a notice of a change in the scheme document from the Council, the certification body must notify the certification applicant within 30 days of the change, whether or not there is a need for reissuance (re-examination) of the certification, the transition period, etc., if the change may affect the certification applicant.

5.13. Suspend, terminate, or reduce the scope of certification

The requirements set forth in 7.11 of ISO/IEC17065 apply.

5.13.1. If, during an annual, emergency or renewal audit, a non-conformity is found in the aquaculture industry in question and the corrective action cannot be verified within the specified period, the certification body shall take steps to suspend, reduce or terminate the certification in accordance with the procedures set out below. (See Appendix E)

Step1	The certification body notifies the certification applicant in writing that the certification may be terminated or the scope of certification may be reduced, along with the reason.
Step 2	If the applicant refuses to undergo further examination or fails to provide sufficient additional evidence to demonstrate compliance with the requirements, the certification body may suspend the certification.

Step 3	Within 60 days of the suspension of certification, the applicant shall submit new information and evidence showing compliance with the requirements. If the applicant refuses to provide additional information or evidence, the certification body will notify the applicant of the termination of the certification.
Step 4	If the certification body additionally examines the new information and evidence submitted by the certification applicant and determines that the non-conformity of the aquaculture industry has not been resolved, the certification body will notify the certification applicant that the certification will be terminated or the scope of certification will be reduced after a grace period of 30 days.
Step 5	If, within 30 days of the notification in Step 4, the certification applicant fails to provide new additional information or evidence proving that the aquaculture industry complies with the requirements, the non-conformity of the aquaculture industry has not been resolved, and the certification body will revoke the certification or reduce the scope of the certification.

5.14. Record

The requirements stipulated in 7.12 of ISO/IEC17065 apply.

5.15. Complaints and Appeals

The requirements set forth in 7.13 of ISO/IEC17065 apply.

5.16. Certification Agreement

The requirements set forth in 4.1.2 of ISO/IEC17065 apply.

5.17. Use of Logos

The requirements stipulated in 4.1.3 of ISO/IEC17065 apply.

- 5.17.1.** The certification body must confirm that the use and management of the logo mark is properly carried out in accordance with the "Logo Usage and Management Regulations" and the logo mark use agreement at the annual audit, emergency audit, and renewal audit.

6. Requirements for Threaded Systems

The requirements set forth in paragraph 8 of ISO/IEC17065 apply.

Supplementary Provisions

These regulations shall come into effect on March 9, 2018.

Supplementary Provisions

These regulations shall come into effect on August 1, 2018.

Supplementary Provisions

These regulations shall come into effect on March 22, 2019.

Supplementary Provisions

These regulations shall come into effect on June 21, 2019.

Supplementary Provisions

These regulations shall come into effect on April 1, 2022.

Supplementary Provisions

These regulations shall come into effect on August 1, 2022.

Supplementary Provisions

These regulations will come into effect on November 16, 2023.

Supplementary Provisions

These regulations shall come into effect on June 1, 2024.

Appendix A. Methods for Assessing the Qualifications and Competence

of Assistant Auditors, Auditors, and Designated Instructors

This Appendix stipulates the method of confirmation and the documents to be referred to in examining the qualifications and competence of assistant auditors, auditors, and designated instructors. The certification body must keep these documents to be referred to, or records relating to the tests performed.

<ul style="list-style-type: none">● Qualifications (Requirement 4.1.3.)
<p>Method of verification: The certification body must check all the reference documents specified below and ensure that the qualifications of the assistant auditors, auditors and designated instructors comply with requirements 4.1.3.</p> <p>References:</p> <ul style="list-style-type: none">✓ curriculum vitae✓ For educational background, a certificate of completion or a degree certificate✓ For work experience, a letter of recommendation from the most recent employer or a document that proves employment
<ul style="list-style-type: none">● Competence required to review responsible and sustainable aquaculture production activities that take into account environmental conservation and consumer trust (Requirement 4.1.4.2.)
<p>Method of verification: The certification body must check all the reference documents specified below to ensure that the competence of the auditors and designated instructors complies with requirements 4.1.4.2. It must be ensured that the auditors and designated instructors have participated in the aforementioned training within the past three years. It must also be ensured that the Assessors have completed their training on the latest version of the Scheme Document before conducting the audit.</p> <p>References:</p> <ul style="list-style-type: none">✓ Certificate of Training Participation✓ A report prepared by the designated instructor who supervised the auditor or designated instructor when he or she was an assistant auditor

● **Continuous professional development and competence (requirements 4.1.4.3.)**

Method of verification: The certification body shall keep a record of participation in additional work experience, training, personal study, teaching, meetings, seminars, conferences, or other activities to ensure that the auditors and designated instructors have developed the competencies set out in requirements 4.1.4.3. In addition, the certification body must require the auditors and designated instructors to report on the items, contents, and contributions to the certification work acquired through capacity development. If a certificate of participation is issued for a meeting, seminar or conference, it is desirable to provide a copy of it.

● **Knowledge and skills in the principles, procedures and techniques of the audit and the ability to implement them in a consistent and systematic manner (Requirement 4.1.4.4)**

Method of verification: The certification body shall require the auditor or designated supervisor to submit one of the following documents and shall ensure that the competence of the auditor or designated supervisor complies with requirements 4.1.4.4.

References:

- ✓ If you participate in ISO19011 training conducted by a non-certification body, you must provide a record that proves that you have received at least 6 hours (if you participate in training on ISO19011 conducted by a non-certification body, the certification body must check whether the content of the training complies with the ISO19011.)
- ✓ If you have participated in ISO19011 training conducted by a certification body, the content and certificate of the training issued by the certification body

● **Personal competence to behave professionally (requirements 4.1.4.5.)**

Method of verification: The certification body shall check the documents specified below with the auditors and designated instructors to ensure that the competence of the auditors and designated instructors complies with requirements 4.1.4.5.

References:

- ✓ A report prepared by the designated instructor who supervised the auditor or designated instructor when he or she was an assistant auditor

Appendix B. Sampling method

This appendix describes the method of implementation and minimum sample size for the use of sampling by certification bodies.

- **Sampling Requirements:** An audit team can use sampling for an audit of the Aquaculture Management Standard. If the audit team uses sampling, it is desirable to do so in accordance with the provisions of IAF MD1.
- **Sampling Method:** If sampling is used, the risk that the sample may not be representative of the selected population must be fully considered. In addition, a record of the next step must be kept using a template.
 1. Requirements for applying sampling
 2. Why is it not possible to review the entire audits?
 3. Setting the Purpose of Sampling
 4. Scope and structure of the population to be sampled
 5. Risk Analysis
 6. Why is the sampling size appropriate for determining the sample size?
 7. Details of sampling activities
- **Minimum sample size:** The minimum number of samples for sampling is as follows. However, if it is determined that there is a high risk that the sample is not representative of the selected population, a larger sample size should be set.

$$\text{Minimum sample size} = \sqrt{\text{The full population}} \text{ (rounded up)}$$

- **Exceptions:** As indicated in "Appendix 1 Guidelines for the Scope and Classification of MEL Aquaculture Standard" in the Aquaculture Management Standard Indicators of Conformity (Guidelines for Auditors), the sample size may be reduced from the minimum sample size above if it can be confirmed that the applicant is operating in accordance with the same management rules due to the internal audit system and the results of the internal audit that the applicant has.

Report on Sampling (Template)

● Requirements for using sampling
● Reasons why full audits is not possible:
1. It is not practical to investigate all available information during the on-site audit period. 2. other Be specific
● Purpose of the sampling plan:
● Range & composition of the sampled population:
● Risk Analysis:
● Why sampling sizes are appropriate for sample size determination:
● Sampling activities include:

Appendix C. Details of each stage of the review

This appendix sets out the matters that the certification body must perform in the on-site audit at each stage.

Step 1 First meeting
<p>At the first meeting, the audit team must explain and confirm the following matters to the certification applicant.</p> <ul style="list-style-type: none">● Scope of certification (target fish species, aquaculture methods, and fishing grounds)● Categories of certification and certification members● Aquaculture Management Standard used for certification audits (including version information)● Purpose of the on-site audit(s)● Schedule of certification audit● Necessity of access to the sites required for the examination or access to the records and documents stored at those sites● Scope of Examination <p>If there is a discrepancy between the documents submitted at the time of application and the information, the audit team shall review the application and, if deemed necessary, make amendments to the audit schedule and scope of the examination. This amendment must also be agreed upon with the applicant for certification.</p>
Step 2 Gather evidence for the requirements
<p>The audit team will visit the site(s) and collect evidence separately set out in the review guide regarding the compliance with the requirements of the aquaculture industry to be reviewed, the health and welfare of the species to be farmed, food safety assurance, and environmental conservation.</p>
Step 3 Check the management system of the logo mark

The audit team must confirm that the applicant for certification maintains the management system of the logo mark by checking the following items.
Confirmation that the design of the displayed logo mark conforms to the "Logo Usage and Management Regulations"

Step 4 Final meeting

The audit team shall hold a final meeting, and the certification applicant must explain, confirm, and agree on the following matters. However, if there is a disagreement on the findings of the audit, any differences between the views of the audit team and the applicant must be documented and communicated to the reviewer and the certification decision-maker.

- Findings of the examination (conformity or non-conformity with each requirement)
- The certification applicant may not sell or distribute the certified marine product until the certification agreement is concluded after the certification is decided and the certification comes into effect.
- The applicant for certification must conclude a logo use agreement with the council at the time of obtaining certification. Until then, the logo cannot be used.
- Non-conformity with the principles of the requirements found in the audit must be corrected by the time certification is determined and the completion of corrective actions must be verified by the certification body.
- Scope of certification (target fish species, aquaculture methods, and fishing grounds)
- Categories of certification and certification members
- Frequency of annual and renewal audits
- Possible suspension of authentication, termination of certification, reduction of the scope of authentication and its procedure
- Dispute Procedure

Appendix D. Certificate Template



Marine Eco-Label Japan
Aquaculture Management Certificate
Certification Number: XXXXX

This is to certify that the following entity conforms to
the Marine Eco-Label Japan Aquaculture Management Standard Ver. 2.1.

Name of certified entity: XXXXX
Address of certified entity: XXXXX
Certified species: XXXXX
Aquaculture system: XXXXX
Farm location: XXXXX
Validity of certification: From MMMM DD, YYYY
To MMMM DD, YYYY
Effective date: MMMM DD, YYYY
Issue date: MMMM DD, YYYY

Scheme owner:
Marine Eco-Label Japan Council
1-2-1 Uchisaiwaicho, Chiyoda-ku, Tokyo

Accreditation body:
XXXXXX (Name of accreditation body)
XXXXXX (Address of accreditation body)

Certification body:
XXXXXX (Name of Certification body)
XXXXXX (Address of Certification body)
XXXXXX (Name of the issuer, position, seal)



Appendix E. The process of suspending aquaculture certifications, terminating them, or reducing the scope of certifications

