

## CHAPTER 6: ADDITIONAL REQUIREMENTS FOR THE BAP PROGRAM

### 1. Applicability

<b>Article 1: Applicability</b>	
1	The BAP Inspection regulation is applicable to all programs within the scope of BAP.
<b>Article 2: Scope</b>	
1	<p>Accredited BAP Certification Services</p> <p>The following certification programs are covered under our current accreditation:</p> <ul style="list-style-type: none"> <li>• BAP Certification Requirements</li> <li>• Processing Plant Standard</li> <li>• Standard for Crustacean and Fish Farms</li> <li>• Standard for Mussel Farms</li> <li>• Standard for Mollusk Farms</li> <li>• Standard for Salmon Farms</li> <li>• Standard for Hatchery, Mollusks, Crustaceans, and Fish Nurseries</li> <li>• Standard for Feed Mills</li> </ul> <p>The latest versions of these documents can be found on the official BAP website: <a href="#">BAP Certification Website</a></p> <p>Non-Accredited BAP Certification Services</p> <p>The following program is not covered under our current accreditation:</p> <ul style="list-style-type: none"> <li>• BAP Group Program</li> </ul>
2	Scope of the audit covers ALL BAP eligible species and products, whether they sell them as BAP or are producing them all at the time, or not. I.e. NO EXCLUSIONS. (All ponds, cages, BAP products being processed, etc.).

### 2. Definitions

<b>Article 3: Definitions related to the standard.</b>	
BAP	Best Aquaculture Practices is a division of GSA.
GSA	Global Seafood Alliance, owners of the BAP standard, nonprofit organization.
GSFI	Global Food Safety Initiative
Applicant	The client also known as the owner of the certificate.

### 3. Procedure of Inspection

<b>Article 4: Contracting</b>	
1	The applicant will coordinate the entire contracting part directly with the BAP standard. CU Services will not receive money at all from the applicant.
2	BAP will assign audits to the certification body that they consider most appropriate. If the audit is assigned to CU Services, the applicant must sign a contractual agreement which must be delivered to CU Services before the execution of the audit.
<b>Article 5: Planning</b>	
1	The applicant and CU Services will have a period of 7 days to agree on the day of the audit. If they do not agree, CU Services will notify BAP immediately. BAP will take the final decision.
<b>Article 6: Inspection: Conditions for inspection</b>	
1	<b>Aquaculture Production Units:</b> the inspection must be carried out during the production and operational season. This period starts as soon as all the operations subject to inspection begin (sowing, harvesting, etc.) and ends with packing or placing in containers for the storage of certified products.

	<p>Facilities need to be in full operation in order to be audited, this means that at least SOME cages or ponds must stocked and operating.</p> <p>In the case of hatcheries / nurseries, these also have to be found during the production and operational season.</p>
2	<p><b>Processing Units:</b> inspections must be carried out when there is processing of certified products. In justified cases, where it is not possible to carry out the inspection of the process of the certified product (s), a "comparable process" inspection may be carried out, which means that the processed product to be "evaluated" will be the same or similar species. Facility must be processing AT LEAST ONE BAP- eligible species/product form while the auditor is there. Facilities need to be in full operation in order to be audited.</p>
3	<p><b>Feed Mills Units:</b> the inspections will be carried out when the plant is in operation.</p>
<p><b>Article 7: Inspection: Samples</b></p>	
1	<p>The client will have to present all the analyzes of water, effluents, etc. to demonstrate compliance with the requirements. These will be applicable according to the specifications of each BAP standard.</p>
<p><b>Article 8: Inspection: Classification of non-conformities (NC)</b></p>	
1	<p>Non-conformities are classified as Critic, Major and Minor:</p> <ol style="list-style-type: none"> <li>a. A critical NC is a non-conformity where there is a serious failure to comply with a food safety or legal issue or social requirements or a risk to the integrity of the Scheme. The auditor will immediately inform the Certification Body, who will inform the BAP office. Immediate temporary suspension may ensue pending clarifications for certified facilities and a re-audit may result for new facilities.</li> <li>b. A major NC is a non-conformance, where there is a substantial failure to meet the requirements of a statement of intent and any mandatory clause of a Standard but there is no imminent Food Safety risk or immediate risk to the Integrity of the Scheme. The auditor will record this in the NC template communicate the details to the certifier or scheme coordinator. Objective evidence which properly verifies corrective action has been taken, including addressing of root cause, shall be submitted to the CB by the facility within calendar 35 days of the evaluation taking place.</li> <li>c. A minor NC is a non-conformance, where absolute compliance to the statement of intent and a mandatory clause has not been demonstrated. The auditor will record this in the NC template and communicate the details to the CB Management Person. Objective evidence which properly verifies corrective action has been taken, including addressing of root cause, shall be submitted to the CB by the facility within calendar 35 days of the evaluation taking place.</li> </ol> <p>In case of any non-conformity (NC) a follow-up is necessary. It is the client's responsibility to take the appropriate corrective actions. When there is a pending NC, the positive certification decision cannot be made and the certificate cannot be issued.</p> <p>For the presentation of evidences, the client must present the following information for each NC detected: cause, correction and corrective action; where these are defined as:</p> <ul style="list-style-type: none"> <li>- Cause: identification of the reason (s) by which the NC was presented, for the identification of the cause there are various tools such as a "storm of ideas".</li> <li>- Correction: it is the action (s) taken to eliminate the NC.</li> <li>- Corrective action: action (s) taken to eliminate the cause of a detected NC</li> </ul> <p>The re-evaluation of the NC can be done through an additional inspection or through administrative review if applicable (evaluation of documents, photos, etc.)</p> <p>During the suspension, the product concerned cannot be sold as a BAP certified product. In case the certification is withdrawn, the project will need to be re-inspected. All aspects need to be evaluated during a new on-site inspection.</p>

<b>Article 9: Certification</b>	
1	The certification decision shall be made within a period no longer than 60 days from the date of the audit or 18 days after the effective and approved closure of the NCs by the certifier.
2	<p>Any change in the scope of the certificate will have to be notified to BAP for proper evaluation. The client can request the addition of species to their BAP certificate, during or when the certification process has already been completed.</p> <p>The CB receives this request and consults with the BAP Program Integrity team for evaluation. It is defined whether the species should be added to the certificate, whether it requires additional sampling or whether it requires a scope extension audit.</p>
3	<p>The result of the certification decision will be either:</p> <ul style="list-style-type: none"> <li>- Applicant meets the Standards; CU Services will grant the certificate</li> <li>- Applicant fails to meet the Standards; CU Services will deny the certificate</li> </ul> <p>CU Services may suspend or withdraw a certificate for a contractual or administrative reason.</p> <p>If the certificate holder doesn't submit evidence that settle effectively a non conformity until the timeframes determined by the certifier, the certificate will be suspended and a final timeframe will be given by the certifier to the certificate holder, if this new timeframe is not complied and the nonconformity remains outstanding the certificate will be withdrawn.</p> <p>CU Services can also withdrawal the certificate as result of noncompliance with certification requirements (Critical NCs). Suspension should always precede withdrawal of a certificate. If the certificate holder has had their certificate suspended under the same reason for a second time within the period of validity of the certificate, Certifier shall:</p> <ul style="list-style-type: none"> <li>- Immediately withdraw the certificate</li> <li>- Notify BAP about the situation of this facility.</li> </ul> <p>Before a decision of denial, suspension, withdrawal of certificate CUS always notifies BAP before a conclusion. The BAP team indicates whether any additional investigation, or direct approval of the certifier's criteria is needed when considering these processes with the certificate holder or applicant.</p>
4	The certification validity for new facilities the certificate validity or expiration date shall be 12 consecutive calendar months from the date of the issue of certificate. The recertification certificate validity or expiration date shall be 12 consecutive calendar months from the previous certificate validity or expiration date.

#### 4. Logo

<b>Article 9: Use of logo</b>	
1	The logo is property of BAP and GSA, its authorization and the rules of use are controlled through an agreement between BAP and the certified applicant. Refer to <a href="mailto:logos@bestaquaculture.org">logos@bestaquaculture.org</a> .

#### 5. Unannounced Audits

<b>Article 10: Scope</b>	
1	Per GFSI benchmark requirements, facilities certifying under the GSA Seafood Processing Standard (SPS) must undergo one unannounced audit every three years. These unannounced audits shall be planned and conducted by Control Union Services.
2	Initial audits of new facilities shall not be unannounced.
3	Once an initial unannounced year is determined, subsequent unannounced audits must be conducted at least once every three-year period. Dates of unannounced audits during corresponding audit cycles shall be determined by Control Union Services.

4	Control Union Services specifies to the customer a 60-day period within which the audit will take place without prior notice. Once the communication is made by the CUS to the facility, the facility may elect to request a black-out period of two weeks (14 calendar days) within the 60-day window to accommodate shut-down periods, non-production days, or annual maintenance that the facility might have to undertake. Such request by the facility should be made within 10 calendar days of the notice by Control Union Services such black-out period must be agreed
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## 6. Complaints, Appeals & Disputes

<b>Article 11: Type of Complaint</b>	
Complaints, appeals, or disputes received by the Global Seafood Alliance (GSA) from any party are managed by Program Integrity or referred to the relevant Certification Body (CB), based on the complaint type: Type 1: Issues not related to certification (e.g., governance, logo use, staff conduct) are handled by Program Integrity staff. Type 2: Issues related to certification, audits, auditors, or CBs are referred to the applicable CB.	
1	Type 1 Complaints: Complaints must be submitted in writing to the GSA Vice President of Program Integrity, either by mail or email at <a href="mailto:programintegrity@globalseafood.org">programintegrity@globalseafood.org</a> . GSA staff may contact the complainant for additional details if necessary. To ensure a proper investigation by GSA or the certification body, complaints should be submitted promptly and include specific information such as date, time, location, photos, and any supporting documents. If sufficient information is provided, the complaint will proceed to further investigation. The GSA Program Integrity Manager or their designee is responsible for managing and resolving the complaint.
2	Type 2 Complaints: Certification applicants have the right to appeal certification decisions. CU Services will follow the procedure established internally for handling appeals and complaints. Clients may submit complaints, appeals, or reports using the official form available on the CU website at: <a href="https://peru.controlunion.com/es/terminos-condiciones">https://peru.controlunion.com/es/terminos-condiciones</a> , under the “Términos y condiciones” section. <ul style="list-style-type: none"> <li>• Investigations must be conducted by CU Services personnel who are independent from the original audit and decision.</li> <li>• CU Services must provide a written response and resolve the issue within their specified timelines.</li> <li>• GSA requires a full investigation and a report from CU Services (and the certified site, if applicable), which must be submitted to GSA.</li> <li>• If the complaint is resolved satisfactorily, no further action is needed.</li> <li>• If not, or if CU Services' actions harm the program's credibility, GSA may require further investigation or apply sanctions, suspension, or revoke GSA approval.</li> <li>• CU Services under suspension or termination may not perform audits.</li> <li>• Justified complaints may be shared with CU Services' accreditation body.</li> <li>• GSA may request sanctions, suspension, or withdrawal of facility certification or auditor approval when appropriate.</li> </ul>

No. versión y fecha	Descripción
Versión 1.0; 25/09/2023	First version of the document due to restructuring of the SGC.
Versión 1.1; 31/10/2023	The names of the standards are updated and procedures for giving, withdrawing, maintaining, and extending the scope of BAP certification are added. Unannounced audits are also added.
Versión 1.2; 16/11/2023	Logo contact email was updated.
Versión 1.3; 26/09/2024	Complaints, Appeals & Disputes
Versión 1.4; 28/10/2024	Accredited BAP Certification Services