Best Aquaculture Practices (BAP)
New Certification Body Approval Procedure

As a pre-requisite, only Certification Bodies (CB) that are already accredited under ISO 17065 by an Accreditation Body (AB) that is an IAF member and MLA signatory, to another internationally recognized scheme, may apply to be a CB for BAP. CBs must also be a Member Firm with the Association of Professional Social Compliance Auditors (APSCA).

All information must be submitted to BAP in English.

I. Prior to Application

Prior to applying, CBs are required to carefully review this document and study all information sent to them to determine if all competency, resource, and other requirements are fully met prior to sending an application and other supporting documentation to BAP.

Applicants must demonstrate adequate resources and competency in areas such as, but not limited to:

A. Seafood and aquaculture expertise and competency.
B. Sufficient numbers of auditors in appropriate locations that have the proper seafood and aquaculture experience and audit competencies to conduct BAP audits.
C. Sufficient numbers of staff with seafood, aquaculture, and audit competency in appropriate locations to properly manage certifications under BAP.
D. Sufficient number of auditors, internal personnel, and resources to ensure the integrity of audits, shadow/witness requirements, audit reports, corrective action evidence, technical review accuracy, and timeliness.
E. Proper resources to ensure auditor training and calibration requirements are met in a timely fashion.
F. Proper adherence to time frames for completion of the certification process and enforcement of same with internal personnel and auditors, including sub-contract auditors.
G. Management commitment to the integrity of the BAP scheme and sufficient responsiveness to clients and to BAP.
H. Timely and adequate correction of deficiencies where they occur.
I. Proper organizational structure to manage the program and to ensure accreditation requirements are met, for all offices involved in BAP audits and certification decisions, within specified time frames.
Other supporting documentation that is required to be submitted with the application will include but is not limited to:

1. Organizational Chart(s).
2. Copy of Accreditation Certificate under ISO 17065 (including scope) for each office seeking BAP recognition.
3. A copy of a valid liability/indemnity insurance certificate with a value of at least $5,000,000 USD.
4. Copy of CVs and audit logs of auditors employed full-time and sub-contracted by the CB.
5. Procedure for ensuring impartiality and prevention of conflict of interest amongst CB personnel, auditors, and sub-contract auditors.
6. Details of all offices of the applicant that would be involved in the BAP program and in what capacity.
7. Details of the designated person(s) that are key points of contact for the BAP scheme at each office.
8. Details of locations, number, and competency of CB personnel, auditors, and sub-contract auditors.
11. Details of all individuals that make up of the technical review committee.
12. Procedures for making the certification decision.
13. Information as to which offices would apply (should approval be granted) for extension to scope of their existing ISO 17065 accreditation to include the relevant BAP standard(s), and the name of the intended AB(s). (Every CB applicant office involved in auditing and certification under BAP must be included as part of the scope of accreditation by a BAP-recognized AB.)

CBs inquiring about becoming BAP-approved are to be referred to the BAP website to study the following documents:

   a. Initial Criteria for New CB Applicants (this document)
   b. CB Requirements Document
   c. Auditor Competency and Course Approval Criteria document

**II. Application**

If the applicant feels they can meet the preliminary criteria, they should complete a “New CB Registration Form” (found on the BAP website) and submit the completed registration form to BAP’s Certification Body Manager. At this time, the applicant should apply for scope extension with an approved Accreditation Body to cover all BAP standards they wish to audit against.
BAP will then review the registration form and if the registration is approved, the prospective new CB is sent the following:

a. A non-refundable invoice for $10,000 USD (Note: If at any point the applying CB decides to terminate the application process or BAP rejects the applicant, the application fee is forfeited, as it is non-refundable. If the applicant wishes to re-apply later, they will be subject to another application fee.)

b. Certification Body Application Form

At this time, no additional documents are provided to the applying CB. Additional documents will only be provided to the inquiring CB upon completion of the application and approval by the BAP Certification Body Manager.

III. Application Review

Applications will not be reviewed until the application fee has been paid in full and the application for proof of scope extension with the selected Accreditation Body has been provided. The prospective CB will be required to create a plan and timeline for accreditation extension to cover all applicable BAP Standards.

Once the applicant has paid their application fee in full, submitted the completed application and all supporting documentation, the BAP Certification Body Manager will review the application. If the BAP Certification Body Manager has any questions, they will consult with the Program Integrity Department. The result of the application review will result in one of the following:

a. Information is clearly inadequate in content, timeliness, competency, organizational structure, or resources. BAP shall notify the CB they are initially rejected unless they can respond timely with additional acceptable information.

b. Information is generally adequate, but BAP has a few outstanding questions or would like additional information, request further information or clarification as needed.

c. Information is satisfactory, and the applicant meets the BAP requirements.

Application information and follow up responses to BAP may result in the rejection of the application in cases of excessive delay or poor-quality applications or subsequent responses.

IV. Approved – Restricted Status

If BAP approves the CB, they would be considered on approved on restricted status. During this time, the CB will be given a restricted number of audits to allow them to gain accreditation extension. The CB would be encouraged to send all approved auditor candidates to the next BAP auditor training course. The CB must also send at least one individual who will be involved in the certification decision to attend the next BAP auditor training course.

At this time, the BAP Certification Body Manager will send the restricted CB the following documents:

a. Auditing and Certification Services Agreement
b. Re-audit Policy
c. Access to PORTal
d. Shadow Witness Completion Form
e. Any other policies and audit forms as necessary

Once the CB sends auditors to the next auditor training course, and the auditors pass the
course, the CB will be sent a minimum number of initial audits to conduct. After the initial audits are completed and the certificates have been issued, BAP will schedule an office audit at the CB’s headquarters to further verify the CB’s compliance to ISO 17065 and any other applicable standards.

Upon successful completion of the office audit and closing of any non-conformities BAP shall send the CB formal notification of approval and issue the CB a BAP Certificate.

V. Approved – Full Status

Once the CB has achieved full scope extension accreditation and is no longer on restricted status, a press release with the fully approved CB will be released to make the formal announcement of the new relationship.

VI. Continued Compliance

Once the CB has achieved fully approved status, they shall continue to comply with all agreements, standards, requirements, policies, procedures, etc. This includes ongoing cooperation with BAP, achieving/maintaining the required KPIs, attending the semi-annual CB Dialog meetings at both GOAL and the Boston Seafood Show, maintaining accreditation across all BAP categories, participating in the annual BAP CB Performance remote desktop audits, participating in any BAP on-site audits, and any other future requirements going forward.

The CB will be assessed on an on-going basis and advised of any areas needing improvement. Unacceptable performance will lead to a reduction in audit allocations, restricted status, suspension, or termination at the BAP discretion.