

# Procedure 9: Extraordinary Event and Remote Assessment or Audit Procedure

Certified Seafood International (CSI) Certification Program

Fully Aligned to ISO 17065



**Procedure 9:, Version 1.2 Extraordinary Event and Remote  
Assessment or Audit Procedure, April 2025**

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# Procedure for the Conducting of Fisheries and Unified Chain of Custody Audits during Extraordinary Events or Circumstances

The following procedure is based on an IAF (International Accreditation Forum) Document IAF ID 3:2011.

In a normal business environment, every organization is continuously exposed to opportunities, challenges, and risks. However, extraordinary events or circumstances beyond the control of the organization happen. In such circumstances, Accreditation Bodies (AB) and Certification Bodies (CB) should have a process for the proper maintenance of accreditation and certification in accordance with the guidelines outlined in this document.

The objective of this document is to provide guidance to ABs and CBs associated with the CSI program on an appropriate course of action in the face of extraordinary events or circumstances affecting the maintenance of certification or accreditation.

## 1. Definition: Extraordinary event or circumstance (IAF)

A circumstance beyond the control of the organization is commonly referred to as “Force Majeure” or “act of God”. Examples are war, strike, riot, political instability, geopolitical tension, terrorism, crime, pandemic, flooding, earthquake, malicious computer hacking, and other natural or man-made disasters.

Extraordinary events or circumstances affecting a CSI certified fishery or chain of custody client may temporarily prevent the CB from carrying out planned assessments and/or on-site audits.

When such a situation occurs, CBs and CSI will work together to develop and implement a course of action that maintains the integrity of the program.

## 2. Extraordinary Event Procedure

The CB will gather relevant information from the certified fishery or chain of custody client before consulting with the CSI Executive Director on an appropriate course of action. CSI and the CB will assess the extraordinary event’s effect on the fishery or chain of custody client in the short and longer term and determine whether that impact prevents normally prescribed assessments or audits from being carried out by the CB.

CSI and the CB will assess temporary alternative methods of assessment that provide for credible verification of ongoing conformance of fishery and chain of custody clients to the respective standard.

**The following options will be considered:**

- a) Certificate Extensions until such time as to allow the extraordinary event to pass and allow the resumption of normal certification and assessment protocols. The maximum length of time shall not exceed 6 months
- b) Certification/Annual surveillance assessment/audits where relevant information and documentation (for example, management review meeting minutes, corrective action records, results of internal audits, inspection reports, etc.) is assessed remotely by the CB to verify ongoing conformance of fishery or chain of custody client to the respective standard.

### Information to the AB

All deviations from the established certification program procedures should be justified, documented, and made available to the respective CB’s AB upon request.

### 3. Remote Audit Procedure

CB shall provide to CSI documented evidence that an extraordinary event is occurring and the rationale the prevents the normally prescribed audit or assessment. e.g. onsite audit cannot be undertaken due to travel restrictions, or health considerations of the auditor or assessor. CSI shall approve in advance any use of remote audits or assessments.

All remote assessments/audits shall be conducted by an assessor/auditor that has been approved to conduct assessment/audits as required in Procedure 8.

#### 3.1 Planning the audit

A remote assessment/ audit will be scheduled for a specific date and time when relevant client representatives will be available to participate by video conference or telephone and have the ability to exchange information electronically.

The CB will conduct a test in advance of the assessment/audit to ensure that the technology is functional. The CB and applicant or client will have an intellectual property agreement in place to allow electronic exchange of data/and information.

The CB will provide for an interpreter if required.

Remote audits shall be arranged to cover all sites on a certificate, including any subcontractors.

#### 3.2 Preparation for the Assessment/Audit

- The CB will review the applicant's or client's last assessment /audit, to determine the scope of the remote assessment.
- The CB will request required information in advance of the remote assessment/audit. Information will be reviewed and verified, if required, during the virtual assessment

#### 3.3 Conducting the Assessment/Audit

An opening meeting, closing meeting, and interviews should be conducted by video conference, or where not available, by telephone. The CB will use the CB's approved Fisheries or CoC Audit Checklist

The relevant documents and records required to show compliance with standard clauses will be reviewed and assessed using the agreed IT/Technology.

**The selection of individuals to interview and record verification exercises should follow normal onsite protocols to the maximum extent possible.**

#### 3.4 Reporting on the Assessment/Audit

The CB shall prepare an Assessment/Audit report as they normally would for an onsite assessment or audit specifically noting the extraordinary event that precluded the normal protocol and describing the methods and protocols used for the remote assessment/audit.