



Responsible Fishing Vessel Standard (RFVS) Group Certification Process Flow

The RFVS Group application and certification process is comprised of the following key steps.

Stage	Requirements	Est. Time	Outputs and Responsibility
1a	Pre – Application: <ul style="list-style-type: none"> - Group Entity prepare application and set up required documents for audit. - Member vessel preparation for internal audit requirements (Note If a group exceeds 50 vessels in size, please contact GSA to discuss the sub-group onboarding option)	1-2 months	Applicant Controlled
1b	Pre –Application <ul style="list-style-type: none"> - group entity self-assessment using provided forms 	1 month	Applicant Controlled
2	Central Management System and Sample Vessel Audits.	3-6 months	a) Applicant submits application and associated fee (\$100 USD per vessel) b) GSA selects CB within 10 Days of approved application b) CB selects Auditor to create audit plan within 30 days c) Invoice created and sent to applicant for payment (payment due before start of the audit) d) Auditor conducts CMS Audit- Within 30 days e) Auditor conducts onsite vessel audits of a sample of vessels. (Time period can vary depending on the Applicant and accessibility to vessels) f) close out of any Non-Conformity by Applicant within 30 days
3	CB Technical Review of Applicant's Audit Reports and Award of RFVS Certification Decision.	1 month	CB controlled
	Total External Assessment and Review Time	3-7 months	CB time

The RFVS Group Annual Surveillance and Maintenance of certification process comprises of the following key steps.

Stage	Requirements	Est. Time	Outputs and Responsibility
4	Group Entity Internal CMS and Vessel Audit Requirements.	On going	Applicant Controlled and is an ongoing commitment to conduct internal reviews of the vessel to ensure RFVS compliance
5	CB Requirements for Group Entity Annual Surveillance Audit	1-3 months	a) Auditor conducts CMS Audit- Within 30 days of date certificate was originally issued b) Auditor conducts sample vessel audits – Within 30 Days of CMS surveillance audit (Time period can vary depending on the Applicant and accessibility to vessels) c) close out of any Non-Conformity by Applicant at least 30 days
	Total External Assessment and Review Time	Up to 3 months	CB time

The RFVS GROUP Audit Costs (An estimation but is depended on CB daily rate costs)

The RFVS certificate length is 3 years with an annual surveillance audit in years 2 and 3

For a fleet/group application, there is the requirement for a Central Management System (CMS) audit to assess the controls over the vessels and to ensure that internal checks are completed against the requirements of RFVS. This CMS audit will take up to one day

A square root sample of vessel based on the size of the fleet will then be assessed by the external auditor. Each vessel audit which takes up to one day

Additionally, Groups will be charged an application fee of \$100 per vessel at the time of application, or when sub-groups are added to the Group entity.

The main advantage is that only this subset of the fleet must be audited by the external auditor, so not every vessel, **so there is a real cost saving for member vessels.**

Expected Audit Costs for Groups and Single Vessels within the RFVS Program:

Vessel Type	Cost per vessel Yr 1	Yr 2	Yr 3	Average annual cost
Group Vessel member	\$750	\$300	\$300	\$450
Individual Large Vessel \geq 30 days at sea	\$1,900	\$630	\$630	\$1,053
Individual Small Vessel, no sleeping quarters	\$1,225	\$350	\$350	\$642

The surveillance audits are streamlined compared to the first audit, to focus on critical issues and initial audit results.

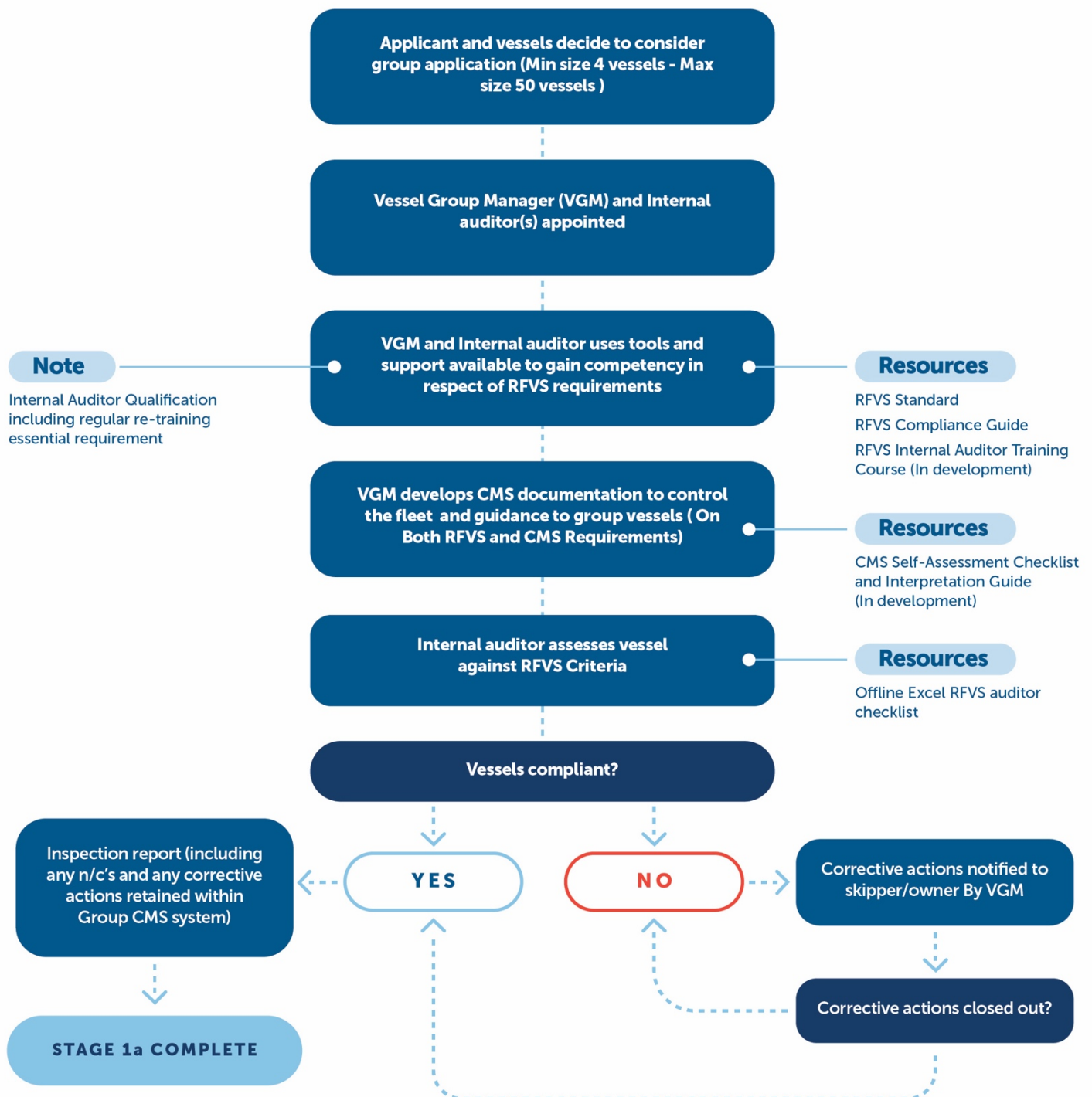
All figures are US \$ and are indicative total costs for the year per vessel. At time of writing, £1 buys \$1.36.

Actual costs will vary according to the nature of vessel or fleet, location, length of audit and will be explained at time of specific quote. Use of Remote auditing techniques can be used if due reasons outside of the control of the applicant or auditor it is not feasible to do an on-vessel assessment

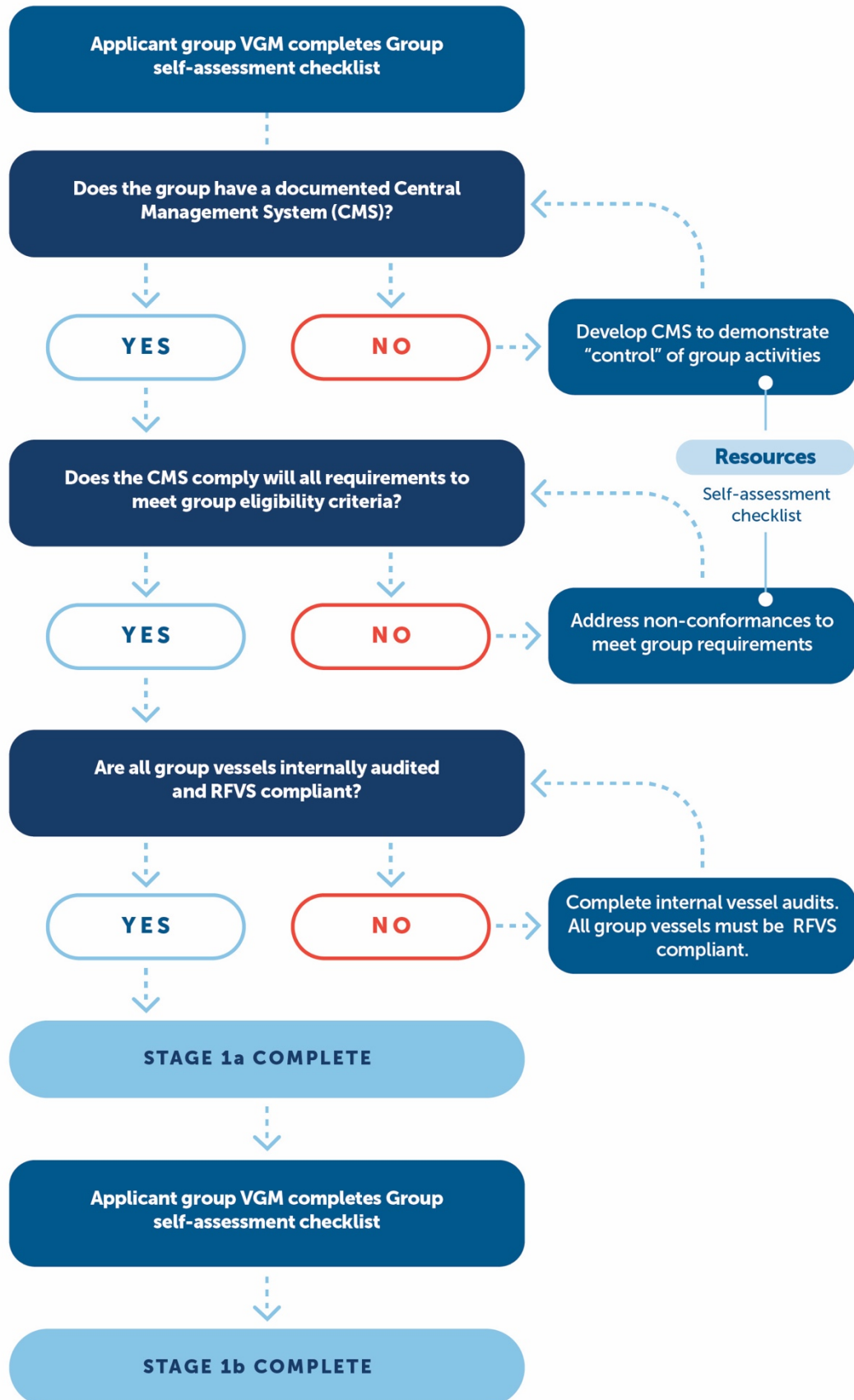
RFVS Group Certification Process Flow

Stage 1a Pre – Application Group Entity Set Up Requirements and Member Vessel Preparation and Internal Audit Requirements

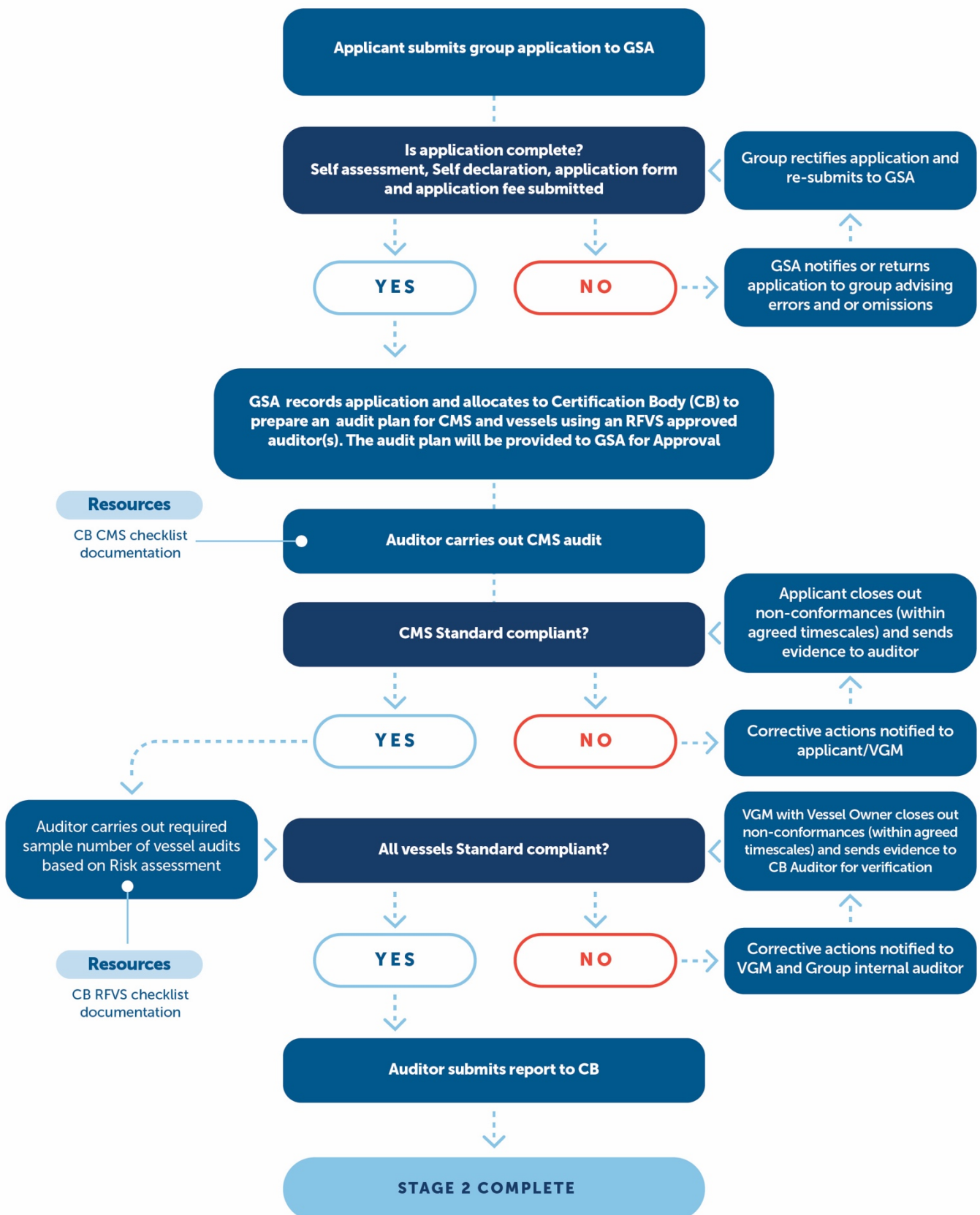
(Note: For Company Owned Fleets, their Routine Internal Inspections may count as the Internal RFVS audit for the member vessels as long as they can prove they cover all requirements of the RFVS)



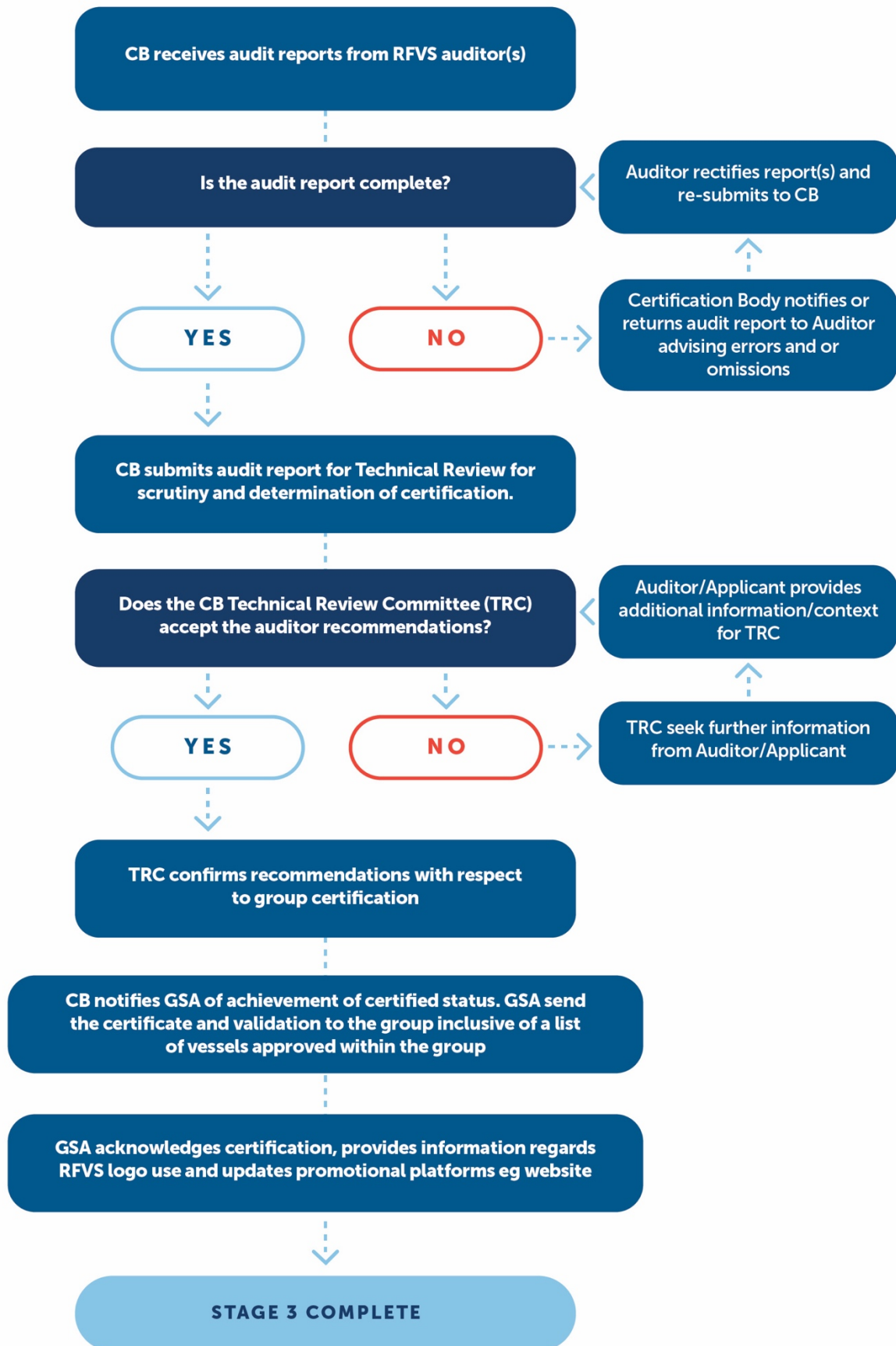
Stage 1b Pre –Application Group Entity Self-Assessment



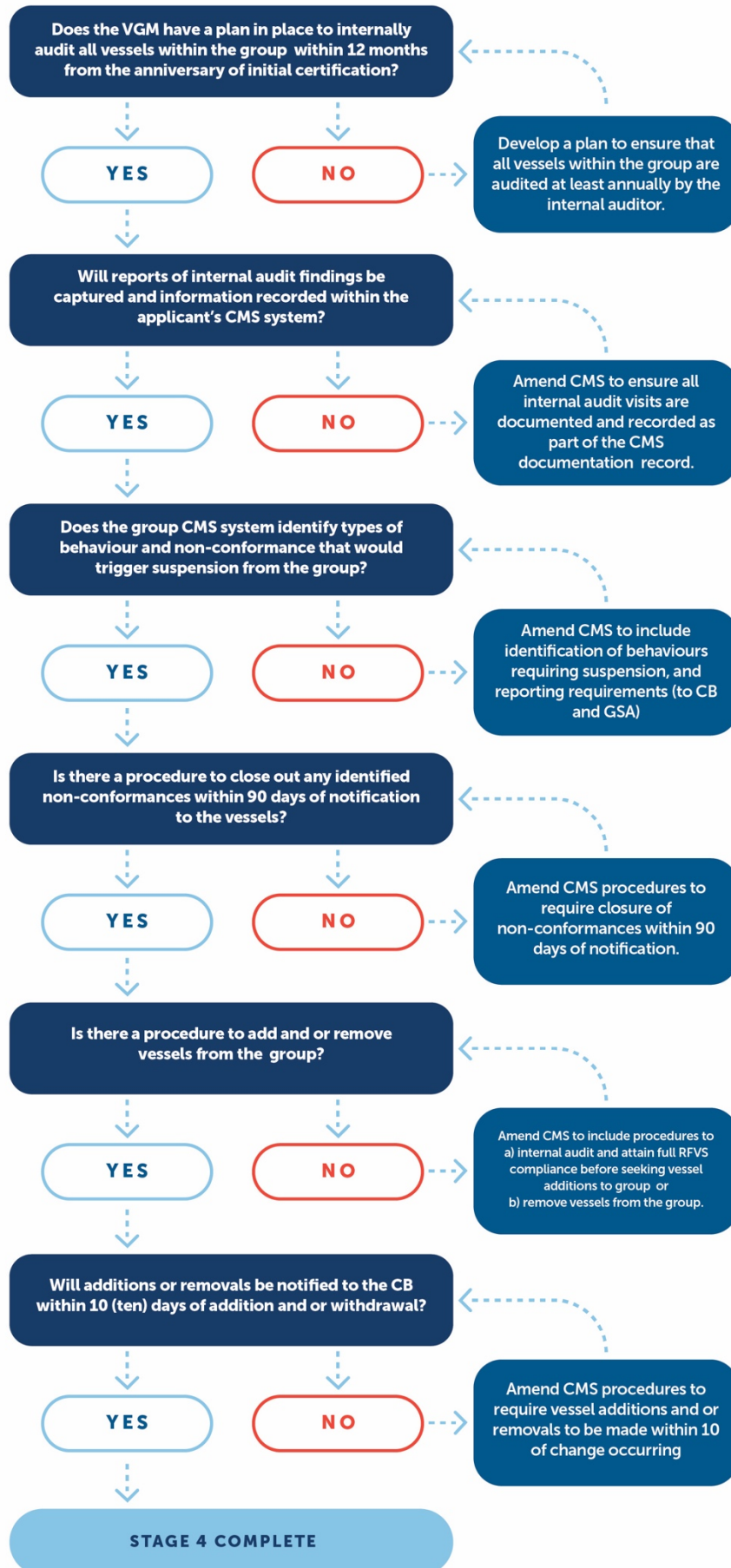
Stage 2 Group Entity Application and CMS and Sample Vessel Audits



Stage 3 CB Technical Review of Applicant's Audit Reports and Award of RFVS Certification Decision



Stage 4 Group Entity Internal CMS and Vessel Audit Requirements



Stage 5 CB Requirements for Group Entity Annual Surveillance Audit

