



**Naturland Inspection Checklist**  
**Internal Control Systems (7.2)**  
**Vicfish Ecolabeling project: Jan 2009.**



Formatiert: Höhe: Genau 1,95 cm

This checklist requires the following supplementary documents:  
 Naturland deviation report, annex(es) where applicable

In case of answering any question with NO, please provide an explanation (annex) in any case.  
 Checkpoints marked with \* are explained in detail in the supplementary sheet "Comments".

OK	NO	Not Relevant	Not Checked
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1.1 Organisational chart				
The association must have a structure and design an organisation chart that shows the different decision levels concerning the quality control of the products. Naturland ICS manual "Structure and organisation"	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments / explanations:</b> The structure is described in the internal control system manual and is operational		<input checked="" type="checkbox"/> see Annex No. 1		
1.2 ICS coordinator				
There is an ICS coordinator which carries the overall responsibility on the performance of the internal control system (ICS).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments / explanations:</b> The ICS Coordinator, Mr. S.N. Tiwari manages the day to day activities of the internal control system.		<input checked="" type="checkbox"/> see Annex No. 1		
1.3 Internal inspectors				
There are sufficient number of internal inspectors to perform the 100% internal inspections each year.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments / explanations:</b> Each of the eight landing sites and associated fishing area has internal inspector designated as the 'Landing Site Monitor'. There are functional and are monitoring and documenting the fishing activities and the landing of fish.		<input checked="" type="checkbox"/> see Annex No. 1		
1.4 Training of ICS staff				
All ICS staff is trained in the implementation of the internal control system.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments / explanations:</b> Appropriate training for the different categories of ICS staffs have been conducted during the conversion period starting in September 2007 up to 1 <sup>st</sup> September 2008. The details are given in the ICS manual.		<input type="checkbox"/> see Annex No. __		

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In case of answering any question with NO, please provide an explanation (annex) in any case. Checkpoints marked with \* are explained in detail in the supplementary sheet "Comments".

	OK	NO	Not Relevant	Not Checked
<b>2.1 Manual or documentation of internal procedures</b>				
There is an ICS manual, i. e. a set of documented forms and procedures of the internal control measures available.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>The manual covers the most important standards and procedures. The ICS manual is Annex 1.</p>				
<b>3.1 Internal standards</b>				
Each <del>producer</del> <del>smallholder</del> organisation needs to define its own internal regulation in regard to various aspects concerning the group, which have to be followed by all the members, associates or contracted parties. It is essential, that the regulation can be easily understood by everybody, demanding that they are set up and presented in a way that takes into account the reading and writing level of the members. Naturland ICS manual "Internal regulation"	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>The important documents like the standards, contracts for the collectors and suppliers are also translated into Swahili, the widely spoken language in the area.</p>				
<b>3.2 Implementation of social standards</b>				
The social standards of Naturland are included in the Internal Control System, according to the Naturland requirements. ( <del>internal</del> internal standards, internal checklist, <del>fishermen</del> farmers list)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>The main aspects of the Naturland Social standards are mentioned in the ICS manual ( Ref. 5.3 and annex 14).</p>				
<b>4.1 Farmers Contracts</b>				
Each fisherman, boat owner and supplier farmer has a written declaration (contract) with the organisation (ICS). The <del>declaration</del> declarations contains declaration contains an obligation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>All fishermen have valid contracts with the boat owners (collectors and suppliers) and the collectors have valid contracts with the suppliers and finally the suppliers have valid contracts with Vicfish. All contracts bind the parties to comply with the Naturland standards as summarised</p>				
<b>4.2 Fisherman farmer entrance form</b>				
For each fisherman farmer there is a basic data form ( <del>registration farm entrance</del> form, basic questionnaire) available, including <del>bi</del> data and -information about next of kin and their	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex</p> <p>This document used is called 'Details of fishermen' under each collector and supplier. The document contains the following information for each fisherman. Name of fisherman, boat details, dependants, assets and assets, emergency contacts and general observations. It does not contain the age of the fisherman.</p>				

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In case of answering any question with NO, please provide an explanation (annex) in any case. Checkpoints marked with \* are explained in detail in the supplementary sheet "Comments".

	OK	NO	Not Relevant	Not Checked
<b>4.3 Overview farm map</b>				
There is an overview map (of the lake-lakevillage or community) available which shows the location of the fishing areas each farm (including all landing sites/fields). The map is	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>Its part of the ICS manual (section 2.3) and detailed coordinates of the location of the landing sites are given. The Map is not dated but the date (Oct 2008) of the ICS manual could be taken as the date of the map.</p>				
<b>4.4 Training for fisher men armers</b>				
Every member of the producers' group must be informed regularly about the most important points of sustainable capture fishery organic agriculture and the internal control system. One training course on sustainable capture fishery organic agriculture has to be offered to fishermen, boat owners, collectors and suppliers armers at least once a year. An annual report on consultancy services offered to the farmers has to be submitted to the	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>All have been trained. Details of the training from Sept 2007 to Sept 2008 are given in the ICS manual (section 4.3)</p>				
<b>4.5 Internal checklist</b>				
The project's internal farm inspection form (checklist) sufficiently covers all relevant certification aspects (e.g. fishing gear, whole farm conversion or clear separation, knowledge of the fisherman of the standards, cleanliness of the fishing boats, use of inputs,	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 1</p> <p>The 'Internal Audit Report' (Annex 09 in the ICS manual) covers most of the aspects of the standards but it does not cover some e.g. promptness and fairness of wages for fishermen and status of boat fire safety.</p>				
<b>4.6 Fishermen armers list</b>				
The list of the fishermen armers, with a minimum of the following information on every member: name and address of the fisherman armers date of joining the sustainable capture fishery organic project, fishing boat code number, landing site, total area farmed organically farmed area area in conversion crops grown, with estimate of quantity to be harvested quantities supplied in organic quality last year date of internal inspection, decision of internal inspection, The approved fishermen armers's list has to be attached in	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input checked="" type="checkbox"/> see Annex No. 2</p> <p>The approved 'List of Suppliers-Collectors-Fishermen' contains only the names of the fishermen. It does not contain the fisherman date of joining the sustainable capture fishery project, fishing boat code number, landing site, last year date of internal inspection, decision of internal inspection.</p>				
<b>4.7 List of sanctioned fishermen and Boat Owners armers</b>				
Sanctioned fishermen armers and boat owners that have left the sustainable capture fishery project farmer group are recorded on a separated list of sanctioned fishermen armers, including the reasons and duration of sanction (or reason for leaving the project group).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Comments / explanations: <input type="checkbox"/> see Annex No. ___</p> <p>There is no Sanctioned Fishermen and Boat Owners List.</p>				

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In case of answering any question with NO, please provide an explanation (annex) in any case. Checkpoints marked with \* are explained in detail in the supplementary sheet "Comments".

	OK	NO	Not Relevant	Not Checked
<b>5.1 100% internal inspection</b>				
100% of the registered fisherman/fishermen are formally inspected each year by the ICS.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments / explanations: <input type="checkbox"/> see Annex No. ___ Inspections of each fisherman are to be conducted on a six monthly (Biennial) frequency and the findings are documented in the 'Internal Fishermen/Boat Inspection on Lake' (Annex 10 in the ICS Manual). The initial minimum of 5 fishing boats per participating RMII have been inspected.				
<b>5.2 Physical internal inspection</b>				
Physical internal farm-inspection visits have actually taken place. (at least 80% before the external inspection).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments / explanations: <input type="checkbox"/> see Annex No. ___ Physical internal inspections were conducted by the 'Landing Site Monitors' who implement the internal inspection function.				
<b>5.3 Internal inspection report</b>				
The results of the internal inspection are documented in the Internal Inspection Report accurately and the report has been signed by the internal inspector	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments / explanations: <input type="checkbox"/> see Annex No. ___ The results of the internal inspection as documented in the 'Internal Fishermen/Boat Inspection on Lake' were found to be accurate and the reports properly signed.				
<b>5.4 Fish capture Yield-estimation</b>				
There is a system to estimate fish capture yields and record these estimates for each	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments / explanations: <input type="checkbox"/> see Annex No. ___ There is a system for estimating fish capture but this per boat as described in the ICS manual is adequate for the time being but may need to be changed so that it is based on the average catch per month for the fishing boats that belong to one collector or supplier.				
<b>5.5 Content of internal inspections</b>				
The internal inspection includes a visit to the fishing areas/sides of the fisherman/farmer as well as an interview with the fisherman/farmer or the representative. The internal farm inspection includes a check of boats/stores for inputs and final products as well as inspection of fish post-harvest handling facilities/facilities at the landing sites (if there are)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments / explanations: <input type="checkbox"/> see Annex No. ___ The internal inspections conducted by the Landing Site Monitors and the Landing Site Supervisor for the Fishermen, the Collectors and the Suppliers cover all those aspects.				

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In case of answering any question with NO, please provide an explanation (annex) in any case. Checkpoints marked with \* are explained in detail in the supplementary sheet "Comments".

	OK	NO	Not Relevant	Not Checked
<b>6.1 Policies and procedures</b>				
Policies and procedures in place to approve or reject (sanction) <del>farmers</del> fisherman, collector and supplier	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<del>Comments</del> Comments / explanations: There is a clear policy and procedures on violations that lead to sanctions for violating fishermen, collector and supplier. There is no explicit policy and procedure for approving fisherman, collector and supplier. It is assumed that once they are registered and sign the contract then they are approved. Need a policy that defines the requirements for a fisherman, collector and supplier to be approved.	<input type="checkbox"/> see Annex No. ___			
<b>6.2 Monitoring conversion period</b>				
The ICS sets the exact conversion status of each fisherman and boat owner (collector and supplier) <del>owner</del> and monitors the conversion period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<del>Comments</del> Comments / explanations: There is no set conversion period and no procedures for monitoring the conversion. For example, there is a new landing site at Nyaburo and a new supplier who operates from there who are currently undergoing conversion but there is no set period and procedures for monitoring this conversion.	<input type="checkbox"/> see Annex No. ___			
<b>6.3 Sanctions appropriated</b>				
In case of non-compliances, appropriate corrective measures are taken by the ICS.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<del>Comments</del> Comments / explanations: The procedures for detecting non-compliances and implementing corrective measures are in place and are being implemented especially with respect to slot size of fish. Fish below slot size is monitored at the landing site and the factory, is recorded and is rejected.	<input type="checkbox"/> see Annex No. 1			
<b>7.1 Qualification of internal inspectors</b>				
The internal inspectors are sufficiently qualified to perform a thorough and objective inspection. The ICS holds a conflict of interest declaration for each internal inspector *	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<del>Comments</del> Comments / explanations: The internal inspectors speak the local language and have been adequately trained in the sustainable Naturland standards and how to conduct to perform internal inspections. Interviews conducted and examinations of their reports during this external inspection indicate that they are sufficiently knowledgeable and skilled in the conduct of internal	<input type="checkbox"/> see Annex No. ___			
<b>8.1 Training for farmers</b>				
Every fisherman and boat owner <del>member of the producers' group</del> must be informed regularly about the most important points of sustainable capture fishery <del>organic agriculture</del> and the internal control system. One training course on sustainable capture fishery <del>organic agriculture</del> has to be offered to fishermen and boat owners <del>farmers</del> at least once a year. An annual report on consultancy services offered to the fishermen and boat owners <del>farmers</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<del>Comments</del> Comments / explanations: Training was conducted for the fishermen and boat owners during the period 27 <sup>th</sup> Sept 2007 and Sept 2008. The fishermen and boat owners who were interviewed during this inspection were sufficiently knowledgeable about the sustainable fishery standards, their roles and responsibilities in the Eco labelling project.	<input type="checkbox"/> see Annex No. ___			

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In case of answering any question with NO, please provide an explanation (annex) in any case. Checkpoints marked with \* are explained in detail in the supplementary sheet "Comments".

	OK	NO	Not Relevant	Not Checked
<b>9.1 Delivery/buying points</b>				
At delivery/buying points the <b>sustainable capture fishery organic</b> status of the <b>fisherman and fishing boat owner</b> is checked. Only the <b>fish organic product</b> of certified <b>organic fishermen and boat owners</b> is considered as " <b>sustainable capture fish organic product</b> ". The verification of the <b>sustainable capture fish organic</b> status is done on basis of the Certified <b>Fishermen's/owners list</b> (buying lists based on certified <b>list of fishermen and boats/boat owners/owners list</b> ) <b>Comments / explanations:</b> That is done and in addition, the eco labelling project boat number is also used to identify the each fishing and transport boats that is in the project	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> see Annex No. ___				
<b>9.2 Separation of <b>sustainable capture fish organic</b> and non sustainable capture fish</b> "in				
The <b>sustainable capture fish organic</b> product has to be kept separate from any product in conversion or non- <b>sustainable capture fish organic</b> product at all times. The separation <b>Comments / explanations:</b> The separation system as currently practiced where the sustainable capture fish is transported in separate collector boats and trucks and is processed and packed separately are adequate.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> see Annex No. ___				

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