SEG – CAB Certification Procedure

Versions Issued

Version	Date	Description of Amendment	Approved by:
1.0	December 2023	First version	SEG Board
1.1	1 December 2024	Addition of timescales, costs	SEG Board
1.2	6 December 2024	Further updates to be more generic to all CABs	SEG Board
1.3	15 September	Further updates to suitable to all CABs	SEG Board
1.4	12 November	Changes to CAB contact details (one CAB removed)	SEG Board

This document is the property of the Sustainable Eel Group. It is effective from the date above.

1. Purpose and Scope

This describes the process for gaining and providing certification to the SEG Standard and the relationships between the parties involved. It is intended as an explanatory guide to the full 202 SEG Assurance System, focusing the main steps involved in gaining SEG certification for those considering it for the first time. It is not a normative document; not part of the formal assurance system.

2. Definitions

The parties and key documentation involved in the process are:

2.1 **Auditor:** Qualified and SEG approved auditor contracted by the CAB to conduct on-site and off-site assessments of clients' conformity with the SEG Standard.

2.2 **Applicant:** An organisation, individual or business seeking certification to the SEG Standard.

2.3 **CAB:** Conformity Assessment Body. This is the independent competent organisation contracted by SEG to provide certification services for the Standard. Approved CABs are published on the SEG website. The CAB is an organisation that organises and contracts the following to assist in providing those services.

2.4 **Client:** An organisation, individual or business seeking certification to the SEG Standard.

2.5 **Lead Auditor**: This a qualified and experienced Auditor contracted by the CAB, primarily responsible for reviewing the self assessment. They will also carry out audits and provide guidance and training to other auditors.

2.7 **Self Assessment (SA):** A self assessment exercise developed by the CAB for clients to provide information and assess their own compliance with the SEG standard.

2.8 **Reviewer:** person checking the work submitted in the SA by the client for completeness and quality.

2.9 **SEG:** The Sustainable Eel Group. SEG is the owner of the SEG Standard system.

2.9 **103 SEG Standard**: The Sustainable Eel Group Standard. All parties, including Clients, should understand the content, meaning and implications of the Standard. The current version is available at: https://www.sustainableeelgroup.org/download/

2.10 **202 SEG Assurance System:** The procedures and guidance by which the SEG Standard is administered – a key reference for the CAB, Lead Auditor, Auditors and Clients. Available at: https://www.sustainableeelgroup.org/the-seg-standard-system/

3. Process

This is the process for certification, explaining the roles of the parties involved:

3.1 The Applicant approaches SEG or the CAB, seeking information on how to become SEG Certified.

3.2 Within 7 days SEG or the CAB provides the Applicant with an information pack, to include: (a) this procedure, (b) the SEG Standard, (c) SEG Standard Terms and Conditions, (d) CAB Terms and Conditions. The Applicant is referred to this web-page: how-to-apply-for-seg-certification/

3.3 Applicant approaches CAB with a formal request for application pack contact:

- Túr: seg@tun.is

3.4 Within 7 days, CAB provides applicant with an Application Form (AF), self-assessment template (or link) and other information necessary for submitting an application.

3.5 If the Applicant approaches CAB first for information, the CAB may send the information pack (3.2) and the application package (3.4) at once.

3.6 The Applicant is responsible for the self-assessment (SA). The SA contains information which helps:

(a) the applicant to understand exactly what the SEG Standard means, what is required for certification and how close they are to conformity;

(b) the applicant prepare for assessment;

(c) the CAB / auditor to prepare for assessment.

3.7 Once received, the application, including the self-assessment, is reviewed by the CAB. Provided the self-assessment suggests a full compliance to the SEG standard and/or measures to close any non-compliances within time required, CAB issues a contract and quote for the Applicant to review and sign, together with a summary of the self-assessment. CAB completes this process within 14 days of receipt of application.

3.8 The Applicant may choose to continue with CAB assessment even if self-assessment indicates that certification may not be successful. The responsibility of that decision lies with the applicant.

3.9 Once an assessment contract has been signed:

(a) CAB assigns and contracts an auditor to conduct the full assessment;

(b) the Applicant becomes a SEG Client.

3.10 CAB issues notification to auditor and Client of an audit with a minimum advance notice of 30 days (unless a shorter notice is agreed by auditor and applicant).

3.11 Within 60 days (or longer if mutually agreed), of the Client and CAB forming the contract, the auditor conducts assessment to the SEG Standard according to the guidance and procedures in the 202 SEG Assurance System. Auditor provides feedback, draft audit report and any Corrective Action Reports for non-compliances within 14 days of the audit.

3.12 Client responds to audit report within 14 days. Either agrees with report or responds to corrective actions required.

3.13 Following the Client's agreement of the report and completion of internal review of the report, within 7 days CAB communicates the outcome of the assessment, which could be: Certified, Conditionally Certified or Non-Compliant. The decision chart for this is at Appendix 1.

3.14 CAB issues assessment report and covering letter to the Client and, if relevant, Certificate and SEG standard terms and conditions; cc to SEG.

3.15 SEG updates its register of certificates.

3.16 Client is subject to surveillance audits and monitoring to maintain future certification.

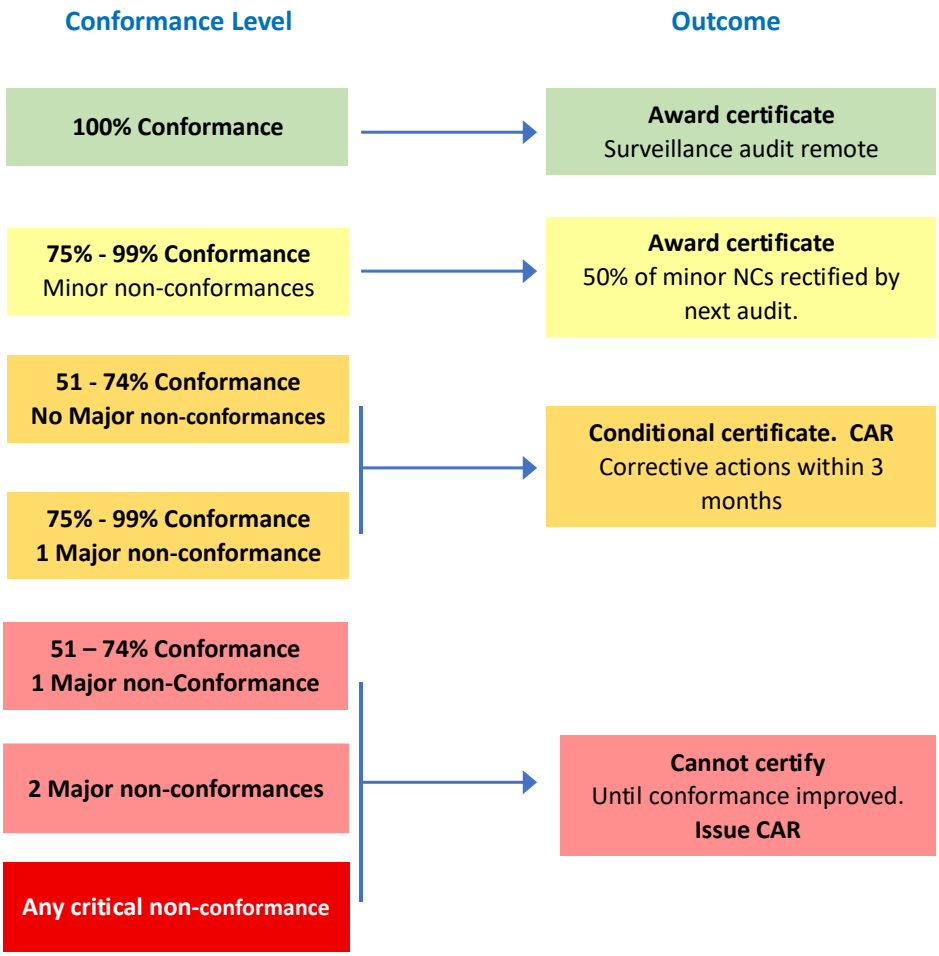
4. Complaints and appeals

4.1 Any complaints or appeals regarding the outcome or process should be directed initially to the CAB, using their complaints procedure.

4.2 If the Client and CAB cannot resolve the complaint, it should be escalated to SEG. The SEG complaints and appeals procedure is accessible at: https://www.sustainableeelgroup.org/complaints-procedure/

Appendix 1. Certification decision processes for initial and surveillance audits.

NB. 1. Self Assessment first completed by client
2. Auditor completes full assessment.



Key

NC = Non Conformance

CAR = Corrective Action Report