MARINE STEWARDSHIP COUNCIL

Chain of Custody

MSC CoC Consumer-Facing Organisation (CFO) Checklist and Reporting Template

Version 2.1 (published 23 August 2019)

Program documents:

MSC Chain of Custody Standard: Consumer-Facing Organisation (CFO) Version v2.0 (28 March 2019)

MSC Chain of Custody Certification Requirements v3.1 (23 August 2019)

MSC General Certification Requirements v2.4.1 (7 May 2019)

Versions published

Version	Date	Description of amendment
1.0	20-feb-15	N/A
1,01	01-sep-15	Non-substantive changes
2.0	28-mar-19	Changes incorporated resulting from the Chain of Custody Program Review
2.1	23-aug-19	Updates incorporated in alignment with CoCCR v3.1

1. Guidance:

How to use the checklist
General: This checklist is for audits against the MSC Chain of Custody (CoC) CFO Standard. One checklist can be used for combined MSC and ASC audits. As per CoC Certification Requirements 11.1.5.b, this checklist shall be uploaded to ECert in Excel format when completed. The client can receive either the full checklist or an extract. Additional files or images relevant to the audit can be uploaded separately onto ECert. How to use this checklist: This checklist is structured with tables for data entry and questions to record answers and evidence. The blue fields are to be completed by the auditor, the yellow fields are guidance. Where applicable, parts of the checklist may be completed before the audit. Please do not change the wording of the checklist but you can add extra rows or columns where there is a need to record more data or add extra tabs for additional evidence at the end of the checklist. Section 19 (Certification Decision) is always to be completed by the CAB's decision making entity. Multi-site audits: It is strongly recommended to use ONE checklist per CFO audit, even if the organisation has multiple sites. See further guidance on using the checklist for multiple sites on Tab 9. Questions. The site list (Tab 5) must be completed for CFOs with multiple sites. Subcontractor visits: Annex B is an optional tab that may be used for visits to a subcontractor. You can either copy the Questions tab and use this to record findings from the subcontractor visit, or you can use Annex B to record findings. Updated versions and feedback: The MSC will update this checklist when new requirements are issued. The MSC may revise this checklist periodically and will communicate when a new version is available. The most recent version can always be found on the MSC website. If you would like to register a problem or issue with the checklist, or leave feedback and suggestions for improvements, please email supplychain@msc.org

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2. General

Guidance
For a single site CFO (i.e. with no separate 'central office') please record the details of the site being audited below. Additional site addresses can be added to the table on the right. * mandatory fields

Assessment Information:	Detail
Organisation name*	Forsea Helsingborg AB
Other name/s of the organisation	
Auditor (Title/Name/Surname)*	Elisabeth Andersson
2nd Auditor (Title/Name/Surname) & role	
CAB Name*	Intertek Danmark ApS (INT)
Start date of audit*	2. december 2019
Audit time start*	08:00
Duration of the audit (hh:mm)*	08:00
Date of previous audit (if applicable)	
MSC Certificate number (if applicable)	MSC-C-57622
ASC Certificate number (if applicable)	ASC-C-02459
Issue date of MSC Certificate (if applicable)	
Issue date of ASC Certificate (if applicable)	
Expiry date of certificates (if applicable)	
Previous certificate code/s (if applicable)	
Type of Audit	**Detail**
MSC (Y/N)*	**Yes**
ASC (Y/N)*	**Yes**
Assessment Type	**Initial**
Surveillance Number (if applicable)	Not Applicable
Other - specify	
CoC Contact Person 1	**Detail**
Title*	Head of Food & Bevarage
Name*	Alexander
Surname*	Gerencser
Job title	
Phone*	+46 739410804
Mobile	
Fax	
Email*	alexander.Gerencser@forseaferries.com
CoC Contact Person 2 (if relevant)	**Detail**
Title	Head of Sustainability
Name	Anna
Surname	Prytz
Job title	
Phone	+46 42 18 62 15
Mobile	0730-917402
Fax	
Email	anna.prytz@forseaferries.com
Central Office Site Address	**Detail**
Country*	Sweden
County/State	
Municipality* (city or town)	Helsingborg
Address line 1*	Bredgatan 5
Address line 2	
Address line 3	
Post code*	252 25
Other	**Detail**
Is the site already certified for other standards (if yes, list)	ISO 14001:2015 (and planned ISO 50001 during 2020)
Does the organisation complete a third-party labour audit? (if yes, specify program)	No
Are there other CoC certified companies registered at the same address? (if yes register CoC code)	No

3.CFO Description

Organisation's main activity	Guidance
Restaurant / take away to consumer	Choose only one activity - this should be the main activity with regards to handling, retail or restaurant sale of certified products. Use your own judgement where there are multiple activities. Where 'Other' is selected, please add further detail in the table

Organisation's size of operation	Guidance
Ca 650 total	Number of employees
Ca 3.550.945 kr	Total sales value / volume produced per year (certified & non-certified seafood)
17140 kg	Volume handled per year (metric tonnes - certified & non-certified)

Organisation description	Guidance
The company is owned by FSI, but Forsea Helsingborg AB is a own company. Sites included 3 ferries with restaurants and cafées, M/S Aurora, M/F Hamlet and M/F Tycho Brahe. Supplier to company is "Feldt´s Fisk och Skaldjur" and "Menigo". Buying fish and selfish MSC and ASC products that are coocked in the restaurants kitchens and served at the ferries (ala carte, buffé and cafee). Tracabillity system in place throught the chain and gets a report every year will all the bought products. No subcontractors. Plan for beginning of 2020 is to only serve 100% MSC and ASC products.	Record here all relevant information about the organisation's structure and activities with respect to CoC certification. This can include: - CFO structure (i.e. relationship between sites and the central office if relevant) - legal ownership - product flow - description of the common management system/ control - description of the traceability system - key products and activities - product flow to site - subcontractors used for certified products - key risks of substitution between certified and non-certified products - specific circumstances - relevant company history / future growth - any other relevant element from a CoC perspective Note: for translated checklists, this description must also be written here in English.

Marketing info (this will be displayed on the Find a Supplier website) - 250 words max	Guidance
	Any text in this section will be used for the MSC or ASC Find a Supplier search and will be available to the public.

4. CFO Eligibility

Guidance
This section is intended to help the auditor confirm information provided by the client during the audit planning stage. If circumstances have changed, the client might no longer be eligible for the CoC CFO Standard. **To be eligible for the CoC CFO Standard, the client must answer "yes" or "not applicable" to all questions.** Where during an audit it becomes apparent that an organisation is not eligible to be audited as CFO the auditor shall inform the organisation that the CoC CFO Standard is not applicable and the audit cannot be completed against the CoC CFO Standard.

Question	Answer
Does the organisation sell and/or serve certified seafood exclusively or primarily to final consumers?	Yes
Do any sites that carry out processing or repacking of certified seafood do so exclusively for the applicant/ certified organisation?	Yes
If the organisation uses contract processors or repackers, do these organisations have their own CoC certification?	NA - no use of contract processors/repackers
If the applicant has more than one site handling certified seafood: a. Are all sites are under the control of a common management system maintained by the organisation's central office?	Yes
b. Does the central office have an ownership or franchise relationship with each site, or a temporary right to manage all sites and staff where certified seafood is handled?	Yes
c. Does the central office oversee purchases conducted at site level, with controls to ensure that all sites can only order certified seafood from certified suppliers and species in scope?	Yes

5. Site list

Guidance

The auditor can bring to the audit the most recent site list available in the scheme database (Ecert). The layout of this template is the same as the table in ECert. CABs can copy the data entered int
ECert uploading template to avoid entering data twice, OR a separate site list spreadsheet including all the details in this tab can be attached to the audit report.
For Site Type (last column), please choose whether site is Consumer-facing, Operations or Both.
For single site CFOs leave this tab blank.

Sub Code	Site Name	Street	Post Code	Town	Country	State	Email
	M/F Hamlet	Bredgatan 5 (HK)	252 25	Helsingborg	Sweden	See tab 2 for info	
	M/F Tycho Brahe	Bredgatan 5 (HK)	252 25	Helsingborg	Sweden	See tab 2 for info	
	M/S Aurora	Bredgatan 5 (HK)	252 25	Helsingborg	Sweden	See tab 2 for info	

o this table into the

Phone

6. Risk Assessment

Guidance
Prior to each audit, a risk assessment shall be carried out and documented here to determine the necessary audit activities (CoC CR 7.2). Please indicate the appropriate assessment in Tables 7, 8, 9 and 10 As per CoC CR 7.2.1.1, where the client handles only certified seafood at all sites, the CAB shall score the client as Low Risk and plan audit activities as per Table 9. In all other cases, please score all 'consumer-facing' sites (only) against the risk factors in Table 7, in order to determine the risk level (Table 8) and plan your 'consumer-facing' site audits according to the a of the risk level, the total sample of 'consumer-facing' sites to be visited shall be calculated as per Table 10. The CFO central office and 'operations' sites that carry out processing, packing or repacking activities need to be audited annually. For 'operations' sites involved in storage or distribution only (i.e. depots), needs to be visited during the 3-year certificate cycle.

Table 7: Risk assessment scoring for Consumer-Facing Sites

Guidance: Please complete and document the final total risk score here. Fulfilling the Risk Factors in questions 6, 7 and 8 are not mandatory for CFO clients but will affect their risk scori that will be carried out.

Number	Question	Points	
1	How many certified species could be handled, displayed, sold or served at any one site at the same time?		
	More than 1	3	
	1	1	
2	Is there a possibility that certified and non-certified products of the same species, or similar-looking species, could be handled at any site at the same time?		
	Yes	4	
	No	1	
3	Will the label or identifier for certified products be applied by staff at each consumer-facing site (rather than at a central office or operations site)?		
	Yes	3	
	No	1	

below. ctivities in Table 9. Regardless at least one of these sites

ing and the audit activities
Score
3

1
3
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7. CFO Sites Visited

Guidance
Record here the sites visited during the audit. The list should correspond with Tab 2 site assessment information. If the organisation has only one site leave this template blank. Add more rows as necessary. For any exceptional circumstances preventing sites from being visited or the audit to be completed, as per risk-based audit activities (Table 9) including at short notice audit, the CAB shall provide a full justification in the 'Auditor comment' box.

Site name	Site address	Date visited	Site type *(consumer-facing, operations or both)*
M/F Hamlet	Bredgatan 5 (HK)	2. december 2019	Consumer-facing
M/F Tycho Brahe	Bredgatan 5 (HK)	2. december 2019	Consumer-facing
M/S Aurora	Bredgatan 5 (HK)	2. december 2019	Consumer-facing

Auditor comment (rationale for selecting sites)
Initial audit and we decided to visit all sites for the customer.

8. Audit Attendance

Guidance:

Record in this section the people attending the different parts of the audit. Tick the parts of the audit attended by each person. Note that attendance of senior management for the opening and closing meetings is recommended. Additional sections or rows can be added if needed. Use the 'Additional information' section for any further details which the organisation and CAB wish to have recorded. If different people attend the audit at different sites, record the site where each person attended in the 'Site' column, specifying whether it was the central office or identifying the site by name or address as appropriate.

Tab 11 is for recording interviews. If an individual attends the audit and is also interviewed, please record at least their name on both tabs and all relevant details on the most appropriate tab of the two.

			Mark attendance with an 'x' as appropriate			
Attendee *(Name, Surname)*	**Role / Organisation**	**Audit location** *(Central office, site or subcontractor name)*	**Opening meeting**	**Document review**	**Product flow review**	**Closing meeting**
Anna Prytz	Head of Sustainability	Central office	x	x	x	x
Alexander Gerencser	Head of Food & Bevarage	Central office	x	x	x	x
Viktoria Falk	Assistant	Central office	x	x	x	x
Sandra	Marketing/communication	Central office		x	x	
Christian Kofod	Chef Hamlet	M/F Hamlet		x	x	
Mikael Hartvig	Chef Tycho Brahe	M/F Tycho Brahe		x	x	
Henrik Lindgren	Chef Aurora	M/S Aurora		x	x	

Additional information on audit attendance

Additional relevant requirements from the CoC CR (for reference when completing this section)

Opening meeting: Ensure the following items are covered in the opening meeting (refer to CoC CR 8.3.1):
- Continued eligibility for CoC certification (CoC CR 6.2.8) and CFO Certification (CoC CR 6.2.3)
- Participant introductions and roles
- The purpose of the audit
- The audit plan, including how the audit activities will be undertaken and any visits to other sites and/or subcontractors
- The access required and the type of information needed
- Confidentiality of the information shared during the audit
- The proposed scope of certification
- The list of certified suppliers
- The list of any subcontractors that are or will be handling certified products and which ones are independently certified.

Information gathering: The following information should be gathered at the audit (refer to CoC CR 8.3.9 - 8.3.14):
- Evidence of the common management system and procedures in place (for all activities in the organisation's scope)
- Content and implementation of common CoC procedures (including any subcontractor procedures)
- Records relating to receipt, sale or serving and any applicable physical handling of the products in scope

Closing meeting: Ensure the organisation understands the following during the closing meeting (refer to CoC CR 8.3.19):
- Until the certification information, including scope, is displayed on the MSC website, the client is not certified and cannot make any claims concerning certification
- Any actions the client may have to complete and timeframes before certification can be awarded
- Any findings or non-conformities that have been identified during the audit and their likely categorisation (subject to approval by the CAB's decision making entity), timeframes to address these findings, and the process for verifying their completion
- That the client must inform the CAB of any significant future changes that affect the certification, as specified in the contract
- That the scope, subcontractor, and supplier list is correct and agreed
- The reporting timeframes for changes as detailed in the MSC CoC standard

9. Filtering Questions

Guidance
This table gives guidance to the auditor on which sections of the checklist need to be completed. All questions in Tab 9 should be completed by the auditor unless the filtering questions have excluded certain sections as not relevant.

#	Filtering Question	Answer
1	Has an entity belonging to or currently contracted by the organisation been successfully prosecuted for forced or child labour violations in the last 2 years?	No
2	Does the organisation have **more than one site** handling (or intending to handle) certified seafood?	Yes
3	Is the organisation, or any of its sites or subcontractors, classified as Standard Risk according to the MSC's Country Labour Risk Scoring Tool?	No
4	Has there been a change in the organisation's scope, sites, suppliers, subcontractors, or contact person since the last audit?	No
5	Does the organisation use or wish to use the MSC or ASC label or other trademarks on certified products?	Yes
6	Does the organisation use non-certified seafood ingredients in any MSC and/or ASC labelled product?	No
7	Does the organisation handle or intend to handle under-assessment product?	No
8	Does the organisation use subcontractors to handle certified products? (this includes transport, storage, processing etc.)	No
9	Since the previous audit, has the MSC contacted the organisation requesting any traceability or purchase/ sale records?	No
10	Since the previous audit, has the organisation had any product authentication or other conformity testing (eg. DNA) carried out by the MSC?	No
11	Were any non-conformities recorded at the previous audit?	No

Action
Continue
Complete questions 21-26
Do not complete questions 44-46
Do not complete questions 30-31
Complete question 8
Do not complete question 11
Do not complete questions 41-43
Do not complete questions 32-35 or Annex A
Do not complete questions 37-38
Do not complete questions 39 and 40
Do not complete Annex C

10. Questions

Guidance

General guidance on the checklist:
For each question, only one answer is possible: Pass, Pass with Observation, Suspension, Major, Minor, or NA (Not Applicable). The 'verification' column and guidance are not mandatory but are designed to help guide the auditor. To record evidence for different sites, use the 'Evidence - Central office' and 'Evidence - Site' columns. Pass with Observation allows inclusion of a note of observation to inform future audits or to point out a risk that has potential to develop into a non-conformity.

For multiple sites:
You can add 'Evidence - Site' columns to the right as needed for each site, or you can copy this tab for additional sites, OR use one column for site evidence and indicate which site the evidence relates to. For the final audit report, the CAB can hide the question rows that are not applicable for the client if this is preferable.

Notes on carrying out the audit:
When requesting records the auditor should set a time limit and raise a non-conformity where this is not met (refer to CoC CR 8.3.4.1).
Review records relating to receipt, sale or serving and any applicable physical handling of products listed in the proposed scope (refer to CoC CR 8.3.4)
Where no certified product is being handled at the time of the audit, and/or has not yet been handled, equivalent products and related records can be considered.

During the audit consider actual production records or records used by the Finance department, not only the customs record or customer records. Refer to CoC CR section 8.3 for more information on CFO specific requirements.

No	Clause of CoC CFO Standard	Question	Suggested Verification	Answer	Evidence - Central office	Evidence - Site(s)
1	1,1	Does the organisation have a process to ensure that all certified products can only be purchased from certified suppliers, fisheries or farms?	**Verify:** - What is the process for purchasing certified products? - How are species and supplier lists maintained? - Does the organisation know how to verify the status of their suppliers' certificates on the MSC and ASC websites? **Evidence:** - Names of responsible staff interviewed (e.g. buyers) - Procedure reviewed, if relevant, or brief explanation of the process used (e.g. centralised buying with locked supplier list)	Pass	List of suppliers with date od certifikat expire, follows up every year, central ofice is responsible for the suppliers. Only suppliers on list can the sites buy from. MSC/ASC database.	List with approved suppliers available on sites.
2	1,2	Does the organisation have a process to confirm the certified status of products upon receipt?	**Verify** - What is the process for confirming the certified status of products? - Are staff that receive products familiar with this process? What happens if product cannot be confirmed as certified upon receipt? - Is the process commonly applied across all sites and is controlled by the central office? **Evidence** - Names of responsible staff interviewed (e.g. goods-in check) - Brief explanation of process	Pass	Follow up on MSC ASC database every year, and have a list with date when certificate expires. Anna and Alexander responsible.	Central office.
3	1,3	If there is certified product onsite at the initial audit, was this purchased from a certified supplier? Can the organisation demonstrate that products meet all relevant sections of this Standard if they will be sold as certified?	**Verify** - Is the product traceable back to a certified source? - Is the product clearly identified as certified and segregated from any non-certified material? **Evidence** - Describe the identification system used and details of the products onsite	Pass	Yes. Puchased from Feldt´s Fisk och Skaldjur, approved supplier, MSC-C-50132 and ASC-C-00169, delivery notes and invoices is available.	Puchased from Feldt´s Fisk och Skaldjur, approved supplier, MSC-C-50132 and ASC-C-00169, delivery notes and invoices is available
4	2,1	Can certified products be identified as certified at all stages of purchasing, receiving, storing, processing, packing, labelling, selling and delivering? (except for sales invoices to final consumers)	**Verify:** - Review identification of a sample product/s (this can be done in combination with traceability test). - Consider all stages of the product flow. Check identification of physical products as well as procedures if possible. **Evidence:** - Name of product/s sampled and description of identification system used	Pass	Yes. Good system in place, from beginning os 2020 the goal is to have 100% MSC and ASC certified products only.	Yes. Good system in place, from beginning os 2020 the goal is to have 100% MSC and ASC certified products only. Labelling in storage and processing is good.
5	2,2	Does the organisation operate a system that ensures packaging, labels, menus and other materials identifying products as certified can only be used for certified products?	**Verify:** - Check a sample of packaging, labels or menus (can be done in combination with traceability test). How does the organisation ensure that materials identifying product as certified are not used for non-certified product? **Evidence:** - Description of procedures in place, details of materials reviewed	Pass	Plan för vad som skall komma.	
6	2.2.1	Does the organisation have a process to ensure that certified products are not mislabelled by species?	**Verify:** - What systems ensure that species identification at dispatch/sale is aligned with that at receipt/purchase? - Where common names are used, how does the organisation ensure that these are aligned with legislation in the market they are selling to? **Evidence:** - Procedures for label design and selection - Interview people responsible for species identification on pack or dispatch documents e.g. invoice. NB. Select 'N/A' if species is not identified e.g. catering/ restaurant servings.	Pass	Yes, very good system and knowledge at sites.	Yes, very good system and knowledge at sites. No products to consumer is labbeled (initial audit), will be followed up next audit, MSC is comming to the company 2019-12-09 for a visit (marketing).
7	2.2.2	If origin or catch area are identified on products, does the organisation have a process to ensure that certified products are not mislabelled by origin or catch area?	**Verify:** - What systems ensure that origin or catch area identification at dispatch/sale is aligned with that at receipt/purchase? **Evidence:** - Procedures for label design and selection - Interview people responsible for origin identification on pack or dispatch documents NB. Select 'N/A' if origin is not identified.	Pass	Yes, on invoices.	Invoices and products have correct labels.
8	2,3	If the organisation promotes products as certified or uses the MSC or ASC label or other trademark(s), can it show evidence of approval? Is the organisation's use of trademarks covered by a licence agreement?	**Verify:** - Where the ecolabel is used on products, review a sample of product approval emails received from MSCI (refer to CoC CR 8.3.17) - Are products covered by an active licence agreement from MSCI? **Evidence:** - Sample of product approval emails if relevant - In the audit planning stage, check if the status of the licence agreement shows as active on the MSC or ASC scheme database, or where the client is not the licence holder, there is written confirmation from MSCI stating that a third party is the licence holder	Pass	Licens agreement from MSC, meeting with MSC on 9 th of december. ASC 2019-11-26 Logo Licens, MSC 2019-11-26 Ecolabel agreement, no labelling for now, new certification, initial audit.	Will be followed up on next audit.
9	3,1	Can the organisation demonstrate there are systems in place to prevent substitution of certified and non-certified seafood (except for specific cases such as in 3.2.1)?	**Verify:** - What systems are in place to avoid substitution? Are these sufficient and working in practice? - Verify also during personnel interviews where relevant. **Evidence:** - Name of product sampled - Description of processes	Pass	Yes, very clear routines and instructions are in place, 100% MSC and ASI is planned from beginning of 2020.	Yes, very clear routines and instructions are in place, 100% MSC and ASI is planned from beginning of 2020. Good knowledge on sites.
10	3,2	Are there adequate systems or procedures in place to prevent mixing between certified and non-certified product (except for specific cases of non-certified ingredients)?	**Verify:** -What measures are taken by the organisation to segregate and prevent mixing between certified and non-certified seafood? **Evidence:** -Description of products reviewed and the segregation procedures	Pass		Yes, very clear in storage (cold/freeze), label in storage were the products will be placed.
11	~~3.2.1~~	~~If the organisation has certified products containing non-certified ingredients, have they followed the non-MSC/ASC certified seafood ingredients rules ?~~	~~**Verify:**~~ ~~- Do MSC/ASC labelled products use any non-certified ingredients?~~ ~~- If yes, check that calculations have been carried out in line with the non MSC/ASC certified seafood ingredients rules s (see Annex E)~~ ~~**Evidence:**~~ ~~- Products sampled and if calculations are correct~~	—		
12	3,3	Is there any potential for mixing of products certified under different recognised schemes (e.g. between ASC and MSC products)?	**Verify:** - What measures are taken by the organisation to segregate, identify and prevent mixing between seafood certified to other standards? - Do responsible personnel know how to identify and segregate different certified products? **Evidence:** - Description of processes in place, findings from personnel interviews	Pass		No potential of mixing, very clear routines at the sites. Good knowledge in the kitchens and restaurants.

13	4.1 / 4.1.1	Can the organisation and each site demonstrate that certified products are traceable from the point of sale or serving back to a certified supplier or certified deliveries? Including where there are multiple sites tracing across the sites as per 4.1.1 a, b and c.	**Verify:** - Select products at consumer-facing sites and trace back to point of purchase (if possible) or receipt, including every step of handling at consumer-facing site - Continue the trace of the selected certified products received at the consumer-facing site back to the point of purchase, including any internal transfers, processing, (re)packing at operations sites, transport, subcontractor or storage steps - Can an item on sale/being served be linked back to a certified invoice/delivery note? **Evidence:** - Record results and description in the traceability test template	Pass	Yes, with label and invoice to reciept, very clear in system.	Yes, with label and invoice to reciept, very clear in system. See tracability test.
14	4,2	Does the organisation maintain records showing volumes of certified seafood purchased and received over any given period?	**Verify:** - Check records for a sample of certified deliveries or purchases - Are records kept at the central office? How are they kept at site level? **Evidence:** - Record information in tab 12 (CFO Input Recording template)	Pass	Yes, see tab 12.	Yes, see tab 12.
15	4.2.1	If certified and non-certified products of the same (or similar) species are handled at the same time, does the organisation maintain records of non-certified seafood purchases or deliveries for these similar species?	**Verify:** - Does the site handle certified and non-certified seafood of the same or similar species? If so, review records for inputs of certified and non-certified product. **Evidence:** - Description of records reviewed if applicable	NA	Not handling same products at same time.	Not handling same products at same time.

16	4.3.1	Are certified product records accurate and complete, with any changes clearly documented?	**Verify:** - Are records complete and accurate? Were any changes recorded correctly? **Evidence:** - Sample of records reviewed	Pass		System in place, every site have documentation with changes if relevant.
17	4,4	Are only products included in scope sold as certified?	**Verify:** - Does the company sell products outside of their scope? If so, are they sold without references to certification or trademarks? **Evidence:** - Description only if non-conformity found	Pass	New scope, initial audit.	
18	5.1.1	Does the organisation operate a management system which addresses all of the requirements in the CoC Standard?	**Verify:** - Is there an effective and implemented common management system (e.g. policies and procedures) to address all relevant CoC requirements. - Who is in charge of the management system? - Is the system sufficient to ensure CoC conformity given the organisation's size, complexity, and any potential risks of mislabelling or substitution? **Evidence:** - Brief description of management system, including any documented policies or procedures. Assessment of whether this management system is sufficient and working well.	Pass	Yes, good knowledge and routines in place. Anna and Alexander in charge, chefs at the ferries with responability.	Yes, good knowledge and routines in place. Anna and Alexander in charge, chefs at the ferries with responability.
19	5.1.2	Has the organisation appointed an individual (CoC contact person) who will be responsible for all contact with the CAB and for responding to any requests for documentation or information related to CoC conformity?	**Verify:** - Who is the CoC contact person? **Evidence:** - Record name	Pass	Yes, 1. Alexander and 2. Anna Prytz, see tab 2.	Sites: Christian Kofod, Henrik Lindgren, Mikael Hartvig.
20	5.1.3	Are records maintained that demonstrate conformity with this Standard for a minimum of 18 months?	**Verify:** - A sample of records **Evidence:** - Description	Pass	Yes, see tab 12.	Yes, see tab 12.
21	5.1.4	If the organsiation has multiple sites handling certified seafood, has a central office been designated that will be responsible for conformity of all sites with this Standard?	**Verify:** - What is the central office and its relationship with all sites in scope? Who is responsible? **Evidence:** - Describe	Pass	Yes, a clear routine and instructions are made at the central office and the sites are well informed and educated. Responisible see question 5.1.2.	Yes, a clear routine and instructions are made at the central office and the sites are well informed and educated. Responisible see question 5.1.2.
22	5.1.4.1.a	Are there common procedures in place to ensure that all sites handling certified seafood meet the requirements of this Standard?	**Verify:** - During opening meeting **Evidence:** - Describe	Pass	Yes.	Yes.
23	5.1.4.1.b	Does the central office have a system in place to ensure that all sites only order and sell/ serve certified species from certified supplier in scope?	**Verify:** - Is there a common system in place? - Is there a common electronic system for purchasing? Does the system allows all volumes of certified seafood to be reconciled against the certified product purchased? **Evidence:** - Describe	Pass	Yes, the sites are only allowed to buy from supplier at list (certified)	
24	5.1.4.1.c	Is there a complete site list including contact details and identifying operations vs. consumer-facing sites?	**Verify:** - Is there a list of sites? Is the list accurate and up to date? **Evidence:** - Not required where there is conformity	Pass	Yes list and up to date.	
25	5.1.4.1.d	Has the organisation provided a current and complete site list within 5 calendar days of receiving a written request from the MSC or the CAB?	**Verify:** - Has a request for a current site list been made? By whom? - Who required the list? - Did MSC notify the CAB? **Evidence:** - An email copy/ letter from the body requesting and receiving the complete site list	NA		
26	5.1.4.1.e	Is there a process to ensure that any sites that are no longer selling or serving certified seafood cannot continue to use the MSC or ASC labels or other trademarks?	**Verify:** - Is there a process? - How does it ensure non-valid sites do not use the MSC or ASC labels or claims? **Evidence:** - Description	Pass	Initial audit, not applicable.	
27	5.2.1	Does the organisation ensure that responsible personnel are competent to ensure conformity with this Standard?	**Verify:** - Who are "responsible personnel"? Are they competent? What is covered in training? **Evidence:** - Details can be recorded in tab 10 (Interviews), with an overall assessment recorded in this tab (e.g. pass, major NC, etc.)	Pass	Yes, very competent personnel on sites. Training has been done and documented.	
28	5.2.2	Does the organisation provide training to responsible personnel: before the initial certification audit, as part of induction to new personnel and at least annually after certification?	**Verify:** - When and how is training delivered? **Evidence:** - Description of training	Pass	Yes, training for the chefs at the central office, then the chefs are training personnel and new personnel on sites.	Yes, training for the chefs at the central office, then the chefs are training personnel and new personnel on sites.
29	5.2.3	Does the organisation maintain records demonstrating that training has been carried out as per clause 5.2.2?	**Verify:** Are records kept for training: - before the initial certification audit? - as part of induction to new personnel? - at least annually after certification? **Evidence:** - Training registration, participant list/ training log book	Pass	Training records in place, evidence and a test that the personnel have to take.	Training records in place, evidence and a test that the personnel have to take.
30	~~5.3.1~~	~~Was the CAB notified within 10 days if the organisation: • Added a new CoC contact person? • Received certified products from a new supplier, fishery or farm? • Received a new certified species (not previously in scope)?~~	~~**Verify:** - Have there been any relevant changes? - Was notification provided within 10 days? **Evidence:** - Notification of any changes~~	—		
31	~~5.3.2~~	~~Did the organisation receive written approval before making any of the following changes: • Undertaking a new activity with respect to certified products? • Extending scope to sell/handle products certified against different recognised certification schemes (e.g. adding ASC products to scope)? • Using a new contract processor/repacker?. • Adding a new operations site that is involved in processing or (re)packing of certified products only? • A new site that operates in a new country? • Handling under assessment fish?~~	~~**Verify:** -Were any update or change requests made to the CAB?. -Verify activity, scope and subcontractor lists are up-to-date. **Evidence:** - Not required if this is a 'pass'~~	—		
32	~~5.4.1~~	~~Is the organisation able to demonstrate that all subcontractors handling certified product comply with the relevant requirements of this Standard?~~	~~**Verify:** - How are subcontractors managed? - What subcontractors are used? **Evidence:** - Description - Use Annex B - Subcontractor Visits where applicable~~	—		
33	~~5.4.2~~	~~Does the organisation maintain an up-to-date record of the names and addresses of all subcontractors handling certified products, excluding transport companies?~~	~~**Verify:** - Is there a record of subcontractors? **Evidence:** - Describe and record in Annex A - Subcontractors~~	—		
34	~~5.4.3~~	~~Does the organisation only use subcontractors with a valid CoC certificate if the subcontractor processes or repacks certified products?~~	~~**Verify:** - Is the clause applicable? - Do the subcontractors have their own CoC certificate? **Evidence:** - Description and record CoC code~~	—		
35	~~5.4.4~~	~~If subcontractors are used, can the organisation obtain records of certified products from the subcontractor or access to certified products at any time?~~	~~**Verify:** - Can the CFO access record and certified product if needed? **Evidence:** - Description~~	—		

36	5.5.1	Does the organisation have a process for detecting and managing non-conforming product which complies with all the requirements of 5.5.1?	**Verify:** - Is the process available? - Does the process cover all the points in 5.5.1? **Evidence:** - Description - Name of responsible personnel interviewed where relevant	Pass	Yes, every site has documentation, chefs on sites are responsible and communicate with central office.	Yes, every site has documentation, chefs on sites are responsible and communicate with central office.
37	~~5.6.1~~	~~Does the organisation cooperate with all MSC, CAB and designated agent requests for traceability documents or sales and purchase records for certified products?~~	~~**Verify:**~~ ~~- Has there been a request to cooperate?~~ ~~**Evidence:**~~ ~~- Description~~	—		
38	~~5.6.1.1~~	~~Have documents been provided within 5 days of request?~~	~~**Verify:**~~ ~~- Have documents been requested?~~ ~~- How quickly were documents provided?~~ ~~**Evidence:**~~ ~~- Description~~	—		
39	~~5.6.2~~	~~Has the organisation allowed the MSC, CAB or designated agent to collect samples of certified products from their site for the purposes of DNA or other product authentication testing?~~	~~**Verify:**~~ ~~- Is there the need to collect samples during audit (according to CoC CR 7.2 and CoC CR 8.3 and MSC Seafood Sampling Procedure)?~~ ~~- Did the CFO agree to samples being taken?~~ ~~**Evidence:**~~ ~~- Record in Annex D - Product Sampling~~	—		
40	~~5.6.3~~	~~Where a product authentication test has identified a product as potentially non-conforming, has the organisation followed the required steps in clause 5.6.3?~~	~~**Verify:**~~ ~~- Has there been a product authentication (DNA) test since the previous audit? Were any potential problems found?~~ ~~- What action did the organisation take?~~ ~~**Evidence:**~~ ~~- Description~~	—		
41	~~5.7.1~~	~~If the organisation wishes to buy or handle under-assessment products, are they either: a) a fishery or farm undergoing assessment, or b) a named member of the client group for a fishery or the same legal entity as the farm undergoing assessment?~~	~~**Verify:**~~ ~~- Confirm eligibility to handle under assessment product - is the organisation part of a farm/fishery or a named member of the client group?~~ ~~**Evidence:**~~ ~~- Reference to part of organisation group/farm/fishery and related certificate code.~~	—		
42	~~5.7.2, 5.7.2.a, 5.7.2.b~~	~~If under-assessment product is handled, is this clearly identified and segregated? Are there full traceability records that confirm the unit of certification and include the date of catch or harvest?~~	~~**Verify:**~~ ~~- Are identification and segregation sufficient? Are full traceability records available?~~ ~~**Evidence:**~~ ~~Brief description of process, details of products reviewed~~	—		
43	~~5.7.2.e~~	~~Has the organisation sold or labelled any under-assessment product with trademarks (or as certified) before the fishery/farm was certified? Is the organisation aware of this requirement if they are handling under-assessment product?~~	~~**Verify:**~~ ~~- Check records and product on site (if relevant)~~ ~~**Evidence:**~~ ~~- Confirmation the organisation understands this requirement~~	—		
44	~~5.8.1~~	~~Has the organisation signed a copy of the Statement of Understanding?~~	~~**Verify:**~~ ~~- Check that a signed copy of the Statement of Understanding is available~~ ~~**Evidence:**~~ ~~- Statement of Understanding signed by organisation~~	—		
45	~~5.8.2~~	~~Has the organisation provided evidence that the relevant sites or subcontractors have completed an on-site labour audit with a recognised third-party labour program and comply with the MSC Requirements for Recognition of Third-Party Labour Audits? (not relevant for first audit)~~	~~**Verify:**~~ ~~- Cross-check that all relevant sites and subcontractors have completed a labour audit with a recognised third-party program and comply with MSC Third-Party Labour Audit Requirements (not relevant for first audit)~~ ~~**Evidence:**~~ ~~- Client demonstrates compliance using the MSC Third-Party Labour Audit Requirements~~	—		
46	~~5.8.3~~	~~Has the organisation informed the CAB within 2 days if the organisation or any of its sites or subcontractors fails to comply with MSC Third-Party Labour Audit Requirements? (not relevant for first audit)~~	~~**Verify:**~~ ~~- If 5.8.2 not met, check if organisation has sent correspondence informing the CAB of any failure to comply with MSC Third-Party Labour Audit Requirements within 2 days (not relevant for first audit)~~ ~~**Evidence:**~~ ~~- Correspondence from organisation informing of failure to comply with MSC Third-Party Labour Audit Requirements, if applicable~~	—		

11. Interviews

Guidance:

Selecting staff for interviews:

Interviews with responsible personnel are an important element of the audit to ensure that CoC-related procedures are working in practice. Staff to interview can include management staff as well as employees who are responsible for handling and labelling certified products, for example those who:

- buy and sell certified products
- conduct goods-in checks at point of receipt
- apply product identification or labels
- select batches of certified products for production
- manage traceability records

The number of interviews will need to reflect the size of the organisation, the complexity of operations, and the range of staff who could affect the integrity of certified products. During each interview, the auditor will verify whether the staff member understands the relevant process or procedure that should ensure conformity with the CoC Standard. Refer to section 8.3.8 of the CoC CR for additional guidance on interviews.

At least one individual must be interviewed per site visited, or more as necessary (refer to CoC CR section 8.3.8.1). This tab can be used for all interviews across all sites.

Recording interview results: The level of competency is to be recorded as 'adequate' or 'not adequate'. In general where the competency is recorded as 'not adequate' this will indicate a non-conformity against clause 5.2.1 of the CoC CFO Standard. The comments column will include a summary of topics discussed and the interviewee's responses.

Note Tab 8 is for recording details of audit attendance. If an individual attends the audit and is also interviewed, please record at least their name on both tabs and all relevant details on the most appropriate tab of the two.

Individual interviewed *(name and surname)*	**Role or job title**	**Site** *(Place of work)*	**Level of competency** *(Record as 'adequate' or 'not adequate')*	**Comments** *(Include interview topics and summary of responses)*
Christian Kofod	Chef Hamlet	M/F Hamlet	adequate	
Mikael Hartvig	Chef Tycho Brahe	M/F Tycho Brahe	adequate	
Henrik Lindgren	Chef Aurora	M/S Aurora	adequate	
Sandra	Marketing/com	C. Office	adequate	
Anna Prytz	Head of Sustainability	Central office	adequate	
Alexander Gerencser	Head of Food & Bevarage	Central office	adequate	
Viktoria Falk	Assistant	Central office	adequate	

12. Traceability Test

Guidance
General guidance: The traceability test is a record-based trace of a batch of certified product back to its related purchase/s. **This template is to be completed by the auditor, not by the client.** The auditor will need to verify that traceability records are available and are sufficient to link the batch of product through each step, including handling by any subcontractors or off-site facilities. Refer to the CoC CR 8.3.9 - 8.3.12 for more information. Important: samples for the traceability test need to be selected by the auditor on the day of the audit - including for short notice audits. **Since multiple traceability tests will likely need to be completed, you can make either: copy this entire tab, copy the traceability table below, or add more tables to the right (click on cell D1 for more information).** Refer to the audit planning phase to determine the number of traceability tests to be conducted - CoC CR 7.2.1, 8.3.11 and Table 8 of the CoC CR - Risk-based audit activities for CFOs. Low risk: One traceability test per consumer-facing site visited (where certified products are available). Standard Risk: Two traceability tests per consumer-facing site visited (depending on availability of certified products). Traceability tests must be completed for any product where a product sample is also collected. For each seafood sample collected, make sure a traceability test has been completed as per CoC CR 8.3.11 and all product details are recorded in the checklist.

Data	**Description Site: M/F Tycho Brahe**
Date	2. december 2019
Product selected (name and description)	Haddock
Species (Latin name where possible)	Melanogrammus aeglefinus
Site of sampling (name, address, specify if operations site)	M/F Tycho Brahe
Name and CoC code of certified supplier	Feldt´s fisk och skaldjur MSC-C-50132
Date delivery to the site	26. november 2019
Invoice number from supplier (or delivery note number)	6092638 invoice, order nr 499494
Volume received (as per relevant delivery document, add units)	5 kg
Operations site name and address (complete where applicable)	M/F Tycho Brahe
Outcome of traceability test	OK
Sample collected for product authentication testing (Y/N)	No
Sample collected by: (Name/Surname) (if sample collected)	
Code for product identification testing (if applicable)	

Description of each step of the traceability test (Please include how traceability documents can be linked at each step. Specify here if the product was handled at operations sites or by subcontractors and detail the overall flow of product).
Invoice and delivery note are linked with invoice nr, order nr and code for MSC/ASC and volymes ordered and recieved. Own sites are handling all products, no sub-contractor. One test per site visited.

13. CFO Input Recording

Guidance
This template is to record evidence in accordance with CFO Standard clause 4.2 *(The organisation shall maintain records showing quantities of certified seafood purchased and received over any given period).* To determine how many input records to check, the auditor will need to consider the organisation's range of different handling processes, species in scope, and number of responsible personnel. In general inputs can be recorded for a variety of different products, and/or different sites visited.

Site name	**Date of delivery**	**Supplier name**	**Supplier CoC code**	**Product name** *(as on invoice/delivery note)*	**Quantity** *(specify unit: kg, piece…)*	**Species**	**Species** *(Latin name) - not mandatory*	**MSC** *('x' if appropriate)*	**ASC** *('x' if appropriate)*

Auditor description (Describe product, time period chosen and any other relevant observation)
See information in tab 12

14. Supplier List

Guidance
Important: This information can be recorded directly on the MSC/ASC scheme database without the need to complete this table. Where a supplier has both MSC and ASC CoC codes, these can be recorded in the same line. The auditor can bring to the audit the most recent supplier list available on the MSC/ASC database (note this list is accessible to CABs and the MSC only). MSC Fishery: complete only if the organisation is sourcing directly from a certified fishery. ASC Farm: complete only if the organisation is sourcing directly from a certified aquaculture farm The representative for the organisation must sign a printed supplier list as at the date of the audit (CoC CR 11.1.5.1(a)(i)). The CAB may use different templates (including a printout from the MSC database) and keep it on file. If the certificate holder states they are not handling any certified products at the time of the audit, this also requires sign-off (CoC CR 11.1.5.1(a)(ii)). Note: The client's sign-off (or representative) must be either a digital signature or a print out with a signature.

	Signature, Name and Job title	Date
Signature confirming the accuracy of the schedule of certified suppliers	Alexander Gerencser, Head of Food & Beverage	2. december 2019
Signature confirming not handling any certified products at time of audit, if relevant		

Supplier Name *(MSC CoC, ASC CoC, MSC fishery, ASC farm)*	**MSC CoC Certificate Code**	**ASC CoC Certificate Code**	**MSC - Fishery certificate code** *(only for organisations buying directly from the certified fishery)*	**ASC - Farm certificate code** *(only for organisations buying directly from the certified farm)*
Menigo Foodservice AB	MSC-C-51978-1	ASC-C-00308		
Feldts Fisk & Skaldjur AB	MSC-C-50132	ASC-C-00169		

15. Scope of Certification

Guidance:

Important: This information can be recorded directly onto the MSC/ ASC database with no need to complete this table. It may be useful to print scope information from the MSC webpage and cross reference this scope during the audit. CABs may still need to communicate internally to ensure that accurate scopes are completed in the MSC/ ASC database; this checklist or an alternative method can be used to do so. The auditor can add more rows if required.
The tab can be copied and repopulated to assist with recording and communicating the scope for each site. Activities and species can be recorded independently of each other (e.g. no need to specify all species for which each activity applies).
If processing is selected, it shall be further defined by 'primary', 'secondary' and/or 'preservation' (multiple options can be selected).
If the scope includes different activities or species at different sites, indicate this under the 'Applies to' column.
To comply with the Labour Requirements, any operations site that processes or (re)packs, shall be marked as a separate scope activity.

Activities	**Mark if Applicable** (x)	**Applies to** (*e.g. entire certificate, or name specific sites*)
ASC Aquaculture		
Contract processing		
Distribution		
Manual off-loading		
MSC Harvest		
Packing or repacking		
Processing Primary		
Processing Secondary		
Processing Preservation		
Processing Other		
Restaurant / take away to consumer	x	
Retail to consumer		
Storage		
Trading fish (buying/selling)		
Trading fish meal		
Trading fish oil		
Transportation		
Use of contract processor		
Wholesale		
Other (please specify)		

Certified Species (*enter name*)	**MSC** Mark if applicable (x)	**ASC** Mark if applicable (x)	**Applies to** (*e.g. entire certificate, or name specific sites*)
Nephrops norvegicus	x		
Pandalus borealis	x		
Mytilus edulis	x		
Gadus morhua	x		
Pleuronectes platessa	x		
Melanogrammus aeglefinus	x		
Cluphea harengus	x		
Salmo salar		x	
Ceratorderma edule	x		
Sander lucioperca	x		

Other comments or descriptions relating to scope

16. Audit Commentary

Guidance
According to CoC CR 11.1.4, the CAB's decision-making entity shall not make a decision on certification or recertification until they are satisfied that the: • Sample table and sampling plan selected was appropriately selected for the client • All requirements of the CoC CFO Standard have been audited, either at that site or, if centrally managed, at the central office • Evidence contained in audit reports demonstrates that the client is operating in a competent manner • Sites are in conformity with requirements, and that any major non-conformities have been addressed within the allotted timeframes Explain in free text below how these points have been satisfied. Relevant data not contained in reports, such as whether the audit schedule is appropriate or information from interviewing the organisation's personnel, may be considered.

Commentary

17. CFO Audit Non-conformities and Observations

Guidance

For translated checklists, this information must also be written in English, so please make a copy of this tab if required.

Suspensions of CoC Certificates

According to the GCR 7.4.9, a CAB shall suspend a CoC certificate in the following cases:
- There has been a demonstrable breakdown in the Chain of Custody caused by the client's actions or inactions (GCR 7.4.9.a).
- The client has sold products as certified (or under-assessment) which are shown not to be certified (or under-assessment) (GCR 7.4.9.b).

The CAB shall **not** suspend a CoC CFO certificate if the conditions of CoC CR clause 9.2.2.a are met (GCR 7.4.9.b(i)).
- The client cannot demonstrate that products sold or labelled as certified are in fact certified (GCR 7.4.9.c).
- The client has not satisfactorily addressed any major non-conformities within the specified timeframe (GCR 7.4.9.d).
- For CoC CFO clients, the client has exceeded the reject number of major non-conformities as described in clause 9.3.1 of the CoC CR (GCR 7.4.9.f).
- For CoC CFO clients, the client has an additional major non-conformity raised against the same clause in the CoC CFO Standard at a follow-up site visit as described in clause 9.3.2.3 of the CoC CR (GCR 7.4.9.g).
- A certificate holder does not agree to allow the CAB to hold an audit within the required timeframe specified in the CoC CR 11.3.1 for surveillance and 11.4.1.2 for re-certification (GCR 7.4.9.h).
- MSCI has withdrawn a certificate holder's license or other agreement to use the trademarks, and followng that, the certificate holder does not comply with MSCI instruction within stated timeframes (GCR 7.4.9.i).

Auditors shall classify non-conformities as minor or major as follows:

Minor non-conformity:
Where the client does not comply with the CoC Standard, but those issues do not jeopardise the integrity of the CoC.
Major non-conformity:
Where the integrity of the CoC is jeopardised and certification cannot be granted or maintained.
For clients certified against the CoC CFO Standard, an incident of selling or identifying non-certified product as certified or with the trademarks at the point of sale or serving to the final consumer shall be considered as a major non-conformity only if the auditor determines that the cause of the mislabelling was due to an individual not following established internal procedures.

For CFO clients, the auditors shall raise all non-conformities only against the central office, even if detected at site level.

Observations:

The recording of observations is optional; however, it should be noted in this column if the organisation is not handling any certified products at the time of the audit. The clause number is not required for observations. For observations the 'to address by date' and 'corrective action' columns do not need to be completed.

General guidance:

Record all non-conformities raised at central office and site level (refer to CoC CR 9.3). The corrective action column and root cause analysis can be completed after the audit. All non-conformities are to be recorded, including those that are closed out during the same day as the audit. This page can be printed out and a copy given to the client to retain after the audit. If a written signature is not possible, the auditor can type the name of the organisation's designated CoC Contact Person in the 'Signature' field, as long as the CoC Contact Person is made aware of this.

	Signature	Date
Organisation		
Auditor		

Number	Clause	Description of Non-Conformity / Observation (for multi-site, start each entry with the site name)	Classification (minor/ major/ suspension/ observation)	To Address By Date	Corrective Action (May be recorded in a separate document)	Root Cause Analysis (for major non-conformities, may be recorded in a separate document)
1			---			
2			---			
3			---			
4			---			
5			---			
6			---			
7			---			
8			---			
9			---			
10			---			
11			---			
12			---			
13			---			
14			---			
15			---			
16			---			
17			---			
18			---			
19			---			
20			---			

18. Audit Planning

Guidance
All CFO CoC organisations require on-site annual surveillance audits (refer to CoC CR 11.3.1.b). For CFO CoC organisations with multiple sites, the central office and a sample of sites shall be audited as per CoC CR Table 10 (Tab 5).

19. Certification Decision

Guidance
This section is to be completed by the CAB's decision-making entity after each audit. Refer to CoC CR 11.1. The CAB's decision making entity should review the information required by CoC CR section 11.1.4, as explained in the justification on Tab 16. Audit Commentary. Details of the decision making entity and any observations or further details can be included in the Observation column.

Date	6. december 2019
Certificate valid (Y/N)	Yes

CAB Decision Making Entity Name/Surname	**Observation and additional information** *(not mandatory)*
Lisbeth Licht	Report approved without comments
	

20. Additional Information

Guidance
This sheet can be used to record any other relevant or case-specific information not elsewhere covered in the checklist.

Annex A - Subcontractor Table

Guidance
Complete this table if subcontractors are used to handle any certified products. This table is structured to make it easier to enter data into the subcontractor section in the scheme database (Ecert). You can copy the data from this table directly into the Ecert uploading template. Tick all relevant activities for subcontractors. A subcontractor may have more than one activity. You do not need to record subcontractors that only provide transport services.

										Activity (mark (x) as appropriate)																			
~~**Company Full Name**~~ ~~(name of the subcontractor)~~	~~**Street**~~	~~**Post Code**~~	~~**Town**~~	~~**State**~~ ~~(if applicable)~~	~~**Country**~~	~~**Species handled**~~	~~**CoC Code**~~ ~~(if certified)~~	~~**Date visited by CAB auditor**~~ ~~(if visited)~~	~~**Other Activity – description**~~	ASC Aquaculture	Contract processing	Distribution	Manual off-loading	MSC Harvest	Packing or repacking	Primary processing	Secondary processing	Processing Preservation	Processing Other	Restaurant / takeaway to consumer	Retail to consumer	Storage	Trading fish (buying/selling)	Trading fish meal	Trading fish oil	Transportation	Use of contract processor	Wholesale	Other

Annex B - Subcontractor Visits

Guidance
This is an optional tab that may be used for visits to a subcontractor. If you are visiting a subcontractor, you can either copy Tab 9. Questions to use to record findings from the subcontractor visit, or you can use this Annex as an optional template to record findings from the subcontractor visit. Tab 9. Questions will still need to be completed for the client's audit. Verification explains how to audit the question, relevant CoC CR references are provided and all other information is guidance. For each question, only one answer is possible: Pass, Pass with Observation, Suspension, Major, Minor, or NA (Not Applicable). Where no certified product is being handled at the time of the audit, and/or has not yet been handled, equivalent products and related records can be considered . During the audit consider actual production records or records used by the Finance department, not only the customs record or customer records. Refer to the CoC CR 8.3 for more information on CFO specific requirements.

No	Clause of CoC CFO Standard	Question	Suggested Verification	Answer	Evidence
1	1,2	Does the organisation have a process to confirm the certified status of products upon receipt?	**Verify** - What is the process for confirming the certified status of products? - Are staff that receive products familiar with this process? - What happens if product cannot be confirmed as certified upon receipt? **Evidence** - Names of responsible staff interviewed (e.g. goods-in check) - Brief explanation of process	—	
2	2,1	Can certified products be identified as certified at all stages of purchasing, receiving, storing, processing, packing, labelling, selling and delivery?	**Verify:** - Review identification of a sample product/s (this can be done in combination with traceability test). Consider all stages of the product flow. Check identification of physical products as well as procedures if possible. **Evidence:** - Name of product/s sampled and description of identification system used	—	
3	2,3	If the organisation promotes products as certified or uses the MSC or ASC label or other trademark(s), can it show evidence of approval? Is the organisation's use of trademarks covered by a licence agreement?	**Verify:** - Where the ecolabel is used on products, review a sample of product approval emails received from MSCI (refer to CoC CR 8.3.17) - Are products covered by an active licence agreement from MSCI? **Evidence:** - Sample of product approval emails if relevant - In the audit planning stage, check if the status of the licence agreement shows as active on the MSC or ASC scheme database, or where the client is not the licence holder, there is written confirmation from MSCI stating that a third party is the licence holder	—	
4	3,1	Can the organisation demonstrate there are systems in place to prevent substitution of certified and non-certified seafood (except for specific cases such as in 3.2.1)?	**Verify:** - What systems are in place to avoid substitution? Are these sufficient and working in practice? - Verify also during personnel interviews where relevant. **Evidence:** - Name of product sampled - Description of processes	—	
5	3.2.1	If the organisation has certified products containing non-certified ingredients, have they followed the non-MSC/ASC certified seafood ingredients rules ?	**Verify:** - Do MSC/ASC labelled products use any non-certified ingredients? - If yes, check that calculations have been carried out in line with the non-MSC/ASC certified seafood ingredients rules s (see Annex E) **Evidence:** - Products sampled and if calculations are correct	—	
6	3,3	Is there any potential for mixing of products certified under different recognised schemes (e.g. between ASC and MSC products)?	**Verify:** - What measures are taken by the organisation to segregate, identify and prevent mixing between seafood certified to other standards? - Do responsible personnel know how to identify and segregate different certified products? **Evidence:** - Description of processes in place, findings from personnel interviews	—	
7	4,1	Can each site demonstrate that certified products are traceable from the point of sale or serving back to a certified delivery?	**Verify:** - Select products at consumer-facing sites and trace back to point of purchase (if possible) or receipt, including every step of handling at consumer-facing site - Can an item on sale/being served be linked back to a certified invoice/delivery note? **Evidence:** - Record results and description in the traceability test template	—	
8	4,2	Does the organisation maintain records showing quantities of certified seafood purchased and received over any given period?	**Verify:** - Are records of certified inputs kept? - How are they kept at the central office? How are they kept at site level? **Evidence:** - Can be recoded in the Traceability template and/or in the CFO Input Recording template	—	
9	4.2.1	If certified and non-certified products of the same (or similar) species are handled at the same time, does the organisation maintain records of non-certified seafood receipt or delivery for these similar species?	**Verify:** - Does the site handle certified and non-certified seafood of the same or similar species? If so, review records for inputs of certified and non-certified product. **Evidence:** - Description of records reviewed if applicable	—	

Annex C - Previous NCs

Guidance
Any non-conformity from a previous audit that has not been closed off must be recorded again as an audit non conformity. This table is not relevant for an initial audit. Do not record observations or recommendations in this table. Where a non-conformity was raised between audits, it should be recorded here.

Number	Clause	Description of non-conformity	Classification of non-conformity when raised (minor/ major/ suspension/ observation)	Outcome of non-conformity (closed/changed to minor/changed to major)	Corrective actions implemented (Optional to record here. May be recorded in a separate document)	Root Cause Analysis (for major non-conformities, may be recorded in a separate document)
			—	—		
			—	—		
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			—	—		
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Annex D. Product sampling

Full sampling procedure available at:

MSC Seafood Sampling Procedure

Guidance
Where a client has been determined to be Standard Risk according to CoC CR Tables 8 and 9, the auditor shall also collect product samples during surveillance and re-certification audits. **This tab must be completed if any product samples are collected, and in addition, a traceability test must also be completed for each sample (tab 12)** **Follow the MSC Seafood Sampling Procedure to determine which species to select for sampling and how to collect the samples**. This is available at the link above. If no Priority or Optional Species are available at any sites visited, the auditor does not need to collect seafood samples but shall record the justification below under Tab 20. Additional information. For each sample collected, make sure a traceability test has been completed as per 8.3.11 and all product details are recorded in this checklist. Auditors should refer to the list of Priority Species identified in the MSC Seafood Sampling Procedure and should try to select these species wherever possible for sample collection. **A minimum of 1 and maximum of 10 seafood samples in total should be collected where sample collection is possible. You can copy and paste the table below to add more rows.**

Field	Description
Sample 1	
Product sampled	
Date and time of sampling	
Sample number/ code	
Location where sample is collected	
Additional information on the sample	
Traceability test completed?	--
Sample 2	
Product sampled	
Date and time of sampling	
Sample number/ code	
Location where sample is collected	
Additional information on the sample	
Traceability test completed?	--
Sample 3	
Product sampled	
Date and time of sampling	
Sample number/ code	
Location where sample is collected	
Additional information on the sample	
Traceability test completed?	--
Sample 4	
Product sampled	
Date and time of sampling	
Sample number/ code	
Location where sample is collected	
Additional information on the sample	
Traceability test completed?	--

Annex E - Non-MSC/ASC certified seafood ingredients rules (for reference only)

The non-MSC/ASC certified seafood ingredients rules are included in the MSC ecolabel user guide or the ASC logo user guide, found on the MSC and ASC websites.
https://www.msc.org/for-business/use-the-blue-msc-label
https://www.asc-aqua.org/our-logo/logo-user-guide/

MSCI allows a maximum of 5% non-certified seafood in products with the MSC or ASC label. The client shall apply to MSCI (ecolabel@msc.org) if it wishes to use non-certified seafood ingredients on a product with the MSC or ASC label.

CALCULATION OF THE 5% RULE

The percentage of non-MSC/ASC certified seafood ingredients in a product carrying the MSC or ASC label shall be calculated using the following formula:

a) Dividing the total net weight (excluding water and added salt) of non-MSC/ASC certified seafood ingredients by the total weight (excluding water and added salt) of the combined and non-MSC/ASC certified seafood ingredients in the finished product; or

b) Dividing the fluid volume of all non-MSC/ASC certified seafood ingredients (excluding water and added salt) by the fluid volume of the combined certified and non-MSC/ASC certified seafood ingredients in the finished product (excluding water and added salt) if the product and ingredients are liquid. If the liquid product is identified as being reconstituted from concentrates, the calculation should be made based on single-strength concentrations of the ingredients and finished product;

c) For products containing non-MSC/ASC certified seafood ingredients in both solid and liquid form, dividing the combined weight of the non-MSC/ASC certified seafood solid ingredients and the weight of the liquid ingredients (excluding water and added salt) by the total weight (excluding water and added salt) of the combined certified and non-MSC/ASC certified seafood in the finished product.

The percentage shall be determined by the organisation that owns the product at the time of packing. The organisation may use information provided by other suppliers in determining the percentage.