MARINE STEWARDSHIP COUNCIL

SINGLE SITE AND MULTI-SITE CHECKLIST AND REPORTING TEMPLATE

Chain of Custody

v 2.1

Scheme documents:
MSC Chain of Custody Standard v 3.0 15 August 2011
MSC Certification Requirements v1.4 (including Annex BE: Aquaculture Stewardship Council Audits for Chain of Custody)

1. Guidance to checklist:

General:

This checklist has been developed by MSC for single site and multi-site Chain of Custody audits. This checklist is to be used also where ASC products are handled.

Once complete, this checklist should be uploaded as a reporting template, as required under Annex BA of the Certification Requirements.

The CAB can send the full checklist or an extract to the client.

How to use this checklist:

This checklist is structured in tables for data entry and questions to record answers and evidence.

The blue fields are to be completed by the auditor.

Where applicable, parts of the checklist may be pre-populated before the audit.

Auditors start by completing section 2.

Section 15 is always to be completed by the CAB's decision making entity.

Auditors can add extra rows/columns where there is a need to record more evidence or detail.

Auditors should not change the wording of the checklist.

It is possible to attach additional evidence at the end of the checklist.

If you copy and paste into a cell, please paste the new text into the formula bar at the top of the screen.

Copying cells directly into new cells will override formatting.

When completing tables or entering a 'tick' in the tables, for example within the "Audit Attendance" tab, please insert a lower case 'x'.

How to use the checklist for multi-site audits:

When using the checklist for multi-site audits, one checklist can be completed for all sites.

The site list (Section 3) must be completed for multi-sites.

Note:

The MSC will update this checklist when new requirements are issued. The MSC may revise this checklist and will communicate when a new version is available. The most recent version can always be found on the MSC website.

CABs and auditors can provide feedback on the checklist to: checklist@msc.org

If you would like to register a problem or issue with the checklist, or leave feedback and suggestions for improvements, please use this form: www.msc.org/documents/checklistfeedback

General

Assessment Information:	Detail
Organisation Name*	Fiskeauktion Danmark A/S, Gilleleje
Other name/s of the organisation	
Auditor (Title/Name/Surname)*	Camilla Fibiger Gausdal
CAB Name*	Intertek Danmark ApS (Intertek)
Start date of audit*	18-02-2015
Audit time start*	13:30
Duration of the audit (hh:mm)*	03:00
Date of previous audit (if applicable)	
MSC Certificate number (if applicable)	MSC-C-53965
ASC Certificate number (if applicable)	
Issue date (if applicable)	
Expiry date (if applicable)	
Previous certificate number/s (if applicable)	
Type of Audit	**Detail**
MSC (Y/N)*	**Yes**
ASC (Y/N)*	**No**
Assessment Type	**Initial**
Surveillance Number (if applicable)	Not Applicable
Other (short notice, irregularly timed...) - specify	
MSC/ASC Responsible of the organisation	**Detail**
Title*	Mr.
Name*	Lasse
Surname*	Nordahl
Job title	Auktionmester
Phone*	0045 4830 0250
Mobile	
Fax	
Email*	auktionsmester@fdas.dk
Site Address (site being audited)**	**Detail**
Country*	Denmark
County/State	
Municipality* (city or town)	Gilleleje
Address line 1*	Havnen 6
Address line 2	
Address line 3	
Post code*	3250
Other	**Detail**
Is the site already certified for other standards (if yes, list)	No
Are there other CoC certified companies registered at the same address? (if yes register CoC code)	No

* mandatory fields

** in case of multi-site, record here the site where the management system is based

3. Site list for multi-site

Multi-site description (free text)

Sub Code	Site Company Full Name	Street	Post Code	Town	Country	State	Email	Phone	Fax	Date from	Date to	Contact Person First Name	Contact Person Last Name	Contact Person Street	Contact Person Post Code	Contact Person Town	Contact Person Country	Contact Person State	Contact Person Email	Contact Person Phone	Contact Person Fax

4. Organisation description

Organisation's main activity	Guidance
Packing or repacking	Choose only <u>one</u> activity - this should be the main activity with regards to MSC/ASC certified products. Use your own judgement where there are multiple activities. Where 'Other' is selected, please add further detail in the table

Organisation description - free text	Guidance
Auction was founded in 1954 and have had various owners. Became a part of Fish Auction Denmark in 2011. Sorting, packaging and trade of fish. Boat are unloaded directly to the auction. Distribution to the market, owned by more organisations. 3 employees. Last year the turnover on 798 tons on in all, 241 tons nephros (langustine) No subcontractors. No risks of mixing. Caugt date and area is labelled on every box, Dedicated storage of each specie. Landing note (Losse og transportseddel) from boats og for auktionen. To be MSC certified is a customer requirement and hopefully will increase the sale.	Describe: - the company history - organisational structure/ legal ownership - product flow - key products and activities - number of employees - size of operation (turnover, volume produced...) - subcontractors - risk of substitution - reason for certification - specific circumstances - any other relevant element from an MSC/ASC and CoC perspective

Marketing info that will be displayed on the Find a Supplier website - 250 words max	Guidance
Will come later.	Any text in this section will be used for the MSC **Find a Supplier database** and will be available to the public on www.msc.org

5. Audit attendance

Attendee (Name, Surname)	Role/Organisation/Site	Opening meeting	Document review	Site visit	Closing meeting
			Mark (x) as appropriate		
Lasse Nordahl	Auktionsmester	x	x	x	x
Winnie Nørremark	Bookkeeper		x		

Additional information on audit attendance

6. Filtering questions

Guidance
This table instructs the auditor on what questions and annexes of the checklist must be completed.
All checklist tabs must be assessed by the auditor unless the scoping questions exclude them

#	Question	Answer	Action
1	Has there been a change in the organisation's scope, site, suppliers or contact person since the last audit?	No	Do not complete questions 13 - 15
2	Does the organisation use any subcontractors?	No	Do not complete Annex A and questions 16 - 23
3	Does the organisation wish to use the MSC ecolabel and/or ASC logo?	No	Do not complete question 27
4	Does the organisation mix certified and non-certified seafood in an MSC and/or ASC labelled product?	No	Do not complete question 28 - 31
5	Is there any certified product (MSC and/or ASC) on site at the time of the audit? (i.e. initial audit, off season)	No	Complete question 32
6	Does the organisation wish to handle fish from an under MSC/ASC assessment source?	No	Do not complete question 33 - 39
7	Have there been non-conformities recorded at the previous audit?	No	Do not complete Annex B
8	Did the MSC contact the organisation requesting any records? (since the previous audit)	No	Do not complete question 40
9	Has there been any product authentication testing? (since the previous audit)	No	Do not complete question 41 & 42

7. Questions

Question	Section	Clause	Question	Answer	Evidence
1	CoC Standard	CoC 1.1	Does the organisation operate a management system which addresses the principles and criteria in the Chain of Custody standard?	Pass	There is procedure for handling fish. The company has The Elite Smiley from the Danish Food authorities.
2	CoC Standard	CoC 1.1.2	Is the management system documented and appropriate to the organisation? (consider size, activity, complexity and competency)	Pass	An auction system called Pefa.com is used together with the system called Merell which is handled to have full traceability together with Navision. Navision is ready for handling invoices for MSC products.
3	CoC Standard	CoC 1.2	Are personnel responsible for Chain of Custody procedures or handling certified products adequately trained in order to ensure conformity with the CoC standard?	Pass	Management are trained internally.
4	CoC Standard	CoC 1.3	Are records demonstrating conformity with this standard kept for a minimum of three years or a period that exceeds the shelf life of the certified product (if the shelf life is more than three years)?	Pass	Records saved for 3 years. Economic records (incoices etc.) are saved 5 years due to tax reasons.
5	CoC Standard	CoC 2.1	Can the traceback exercise be successfully completed using the template provided?	Pass	Yes the traceback exercise was completed with succes by using the template provided. The test is made on non certified MSC since this audit is the initial audit. Person in charge is Lasse Nordahl. Bookeeper Winnie Nørremark finds data in Navision system. Systems are based on landing notes and electronic system (Pefa, Merell and Navision)
6	CoC Standard	CoC 2.1.1	Can the input/output reconciliation exercise be successfully completed using the template provided?	Pass	Yes the input/output reconciliation exercise has been completed over a given period.
7	CoC Standard	CoC 2.1.2	Where processing or packing/repacking occurs, can the conversion rate be calculated for certified outputs from certified inputs over any given period?	Pass	Yes. The yield is 100%. The products are packed without any product loss.
8	CoC Standard	CoC 2.2	Are all certified products sold by the organisation covered by its scope of certification?	Pass	Yes all products are covered by the scope of the certification.
9	CoC Standard	CoC 3.1	Can the organisation demonstrate that certified products do not contain non-certified seafood? (unless this has been approved by MSCI)	Pass	Yes there is a system in place. The products are labelled with "MSC" on boxes when the products are received handled and distributed.
10	CoC Standard	CoC 3.2	Is there a system (implemented and functioning) which ensures all packaging materials and other identification materials bearing the MSC ecolabel / ASC logo cannot be used for non-certified products?	Pass	The ecolabel is not used. Only MSC in written are used.
11	CoC Standard	CoC 4.1	Can the organisation ensure that certified products are identifiable as such at all stages of purchasing, storage, processing, packing, labelling, selling and delivery? Are products identifiable both on the physical product and on any accompanying paperwork?	Pass	Yes MSC in written are used.
12	CoC Standard	CoC 4.2	Are all products identified as MSC/ASC certified listed on the scope provided by the organisation?	Pass	Yes all products identified and listed in this report.
13	Reporting Change	BD1.2.1	Has the organisation informed their CAB of their intention to add a site to their certificate prior to using the new site?	—	
14	Reporting Change	BD1.2.2	Has the certificate holder communicated changes to scope of certification or to add new suppliers or subcontractors to the CAB as per the requirements in Table BD2?	—	
15	Reporting Change	BD1.2.4	Has the certificate holder reported to the CAB any change in their contact person for MSC audits?	—	
16	Subcontractors	CoC 1.4	How does the organisation ensure that all subcontractors handling certified products have adequate traceability and identification systems in place to meet the CoC standard?	—	
17	Subcontractors	BD4.2.1	Has the organisation applied to their CAB for approval prior to use of a new subcontractor? (excluding transport companies or cold storage facilities)	—	
18	Subcontractors	BD4.2.2	Does the organisation have a signed contract with all subcontractors that require the subcontractor to: 1) Conform to all relevant requirements of the MSC CoC standard? 2) Allow the CAB and ASI (MSC's accreditation body) access to the subcontractor's site and to all relevant documentation? 3) Acknowledge that they will conform to all reasonable requests for information from their client (the applicant or certificate holder), the CABand the MSC's/ASC's accreditation body? 4) Allow the CABto undertake further audit if a subcontractor is not independently certified for CoC? (Transport companies are excluded)	—	

Question	Section	Clause	Question	Answer	Evidence
~~19~~	~~Subcontractors~~	~~BD4.2.3~~	~~Does the organisation record the use of all subcontractors, including their name and address, the nature and conditions of the contract and all relevant records of certified product associated with the subcontractor?~~	—	
~~20~~	~~Subcontractors~~	~~BD4.2.4.1~~	~~If contract processors are used: Has the organisation informed all contract processors that if they do not have their own CoC certification, they will be audited on site by the CAB before they can process certified products?~~	—	
~~21~~	~~Subcontractors~~	~~BD4.2.4.6~~	~~If contract processors are used, does the organisation keep updated records for all batches of certified seafood handled by contract processors, including:~~ ~~a. Volumes and product details sent to contract processors~~ ~~b. Volumes and product details received from contract processors~~ ~~c. Dates of dispatch and receipt~~ ~~d. Consignment or financial documents~~	—	
~~22~~	~~Subcontractors~~	~~BD4.2.4.7~~	~~If contract processors are used, does the organisation have the ability to reconcile the total volumes of raw material sent to contract processors with the volumes of finished product, for any batch or set of batches?~~	—	
~~23~~	~~Subcontractors~~	~~BD4.2.5~~	~~Where the organisation uses transport companies, does it knowingly ship or receive product transported on vessels listed on RFMO (Regional Fisheries Management Organisation) blacklists?~~	—	
24	Subcontractors	BD4.2.6.1	If the organisation carries out contract processing of certified products, do they keep a list of all customers for whom they process certified products? Does this list include the company name and CoC Code for each customer? Does the organisation have a signed subcontractor contract with each of their certified customers?	Pass	The company is not a subcontractor, and do not use subcontractors.
25	Subcontractors	BD4.2.6.2	If the organisation performs contract processing of certified products, do they have updated records for all batches of certified seafood processed for other companies, which include: a. Volumes and product details received from clients b. Volumes and product details sent back to clients after processing c. Dates of processing d. Consignment or financial documents	Pass	The company is not a subcontractor, and do not use subcontractors.
26	Subcontractors	BD4.2.6.3	If the organisation performs contract processing of certified products, do they have a system to reconcile the total volumes of certified raw material received from customers with the volumes of finished product, for any given batch or set of batches?	Pass	The company is not a subcontractor, and do not use subcontractors.
~~27~~	~~Licensing~~	~~CoC 4.3~~	~~Does the organisation have a valid and signed Ecolabel License Agreement in place with MSCI (Marine Stewardship Council International)?~~	—	

Question	Section	Clause	Question	Answer	Evidence
28	Use of non certified seafood ingredients	CoC 3.1.1	Where non-certified products are used as an ingredient, does this happen in accordance with Annex BD of the MSC Certification Requirements (Annex BE for ASC)?	—	
29	Use of non certified seafood ingredients	BD5.2.1	Has the organisation applied to MSCI (ecolabel@msc.org) if it wishes to use non-certified seafood ingredients on a product bearing the MSC ecolabel and/or ASC logo?	—	
30	Use of non certified seafood ingredients	BD5.2.2	Are non-certified seafood ingredients within 5% of the total seafood ingredients in the final product?	—	
31	Use of non certified seafood ingredients	BD5.2.3	Can the organisation demonstrate the percentage of non-certified seafood ingredients in a product carrying the MSC ecolabel calculated by any of the listed methods (a-c) and in compliance with d) and e)?	—	
32	No certified product on site	CR 17.4.1.1	Where certified product is not on site, can a traceback exercise and an input/output reconciliation be successfully completed for a similar product using the templates provided?	Pass	Yes there is a system in place. Both the traceability and mass balance has been completed on non MSC Nephrops since no MSC products has been handled yet.
33	Under Assessment Fish	BD3.2.1	Is the organisation eligible to handle under assessment fish?	—	
34	Under Assessment Fish	BD3.2.2	Does the organisation have a system to ensure that any product it sells as under assessment complies with the following points? - Fish was caught or harvested on or after the target eligibility date as specified on the MSC/ASC website for that fishery - The organisation takes ownership of the fish before it is preserved, or is the first that preserves the fish	—	
35	Under Assessment Fish	BD3.2.3	Does the organisation have a system to ensure that all references to under assessment fish status are removed for product sold to companies that are not eligible for under assessment?	—	
36	Under Assessment Fish	BD3.2.4	Does the organisation label and maintain records for each batch of under assessment fish purchased, with the name of the fishery or farm, or name and CoC certificate code of the supplier, the date of capture, and sufficient other details to allow the tracing of those inputs back to their suppliers?	—	
37	Under Assessment Fish	BD3.2.5	Does the organisation refer to under assessment fish status on invoices but not on products when selling to companies eligible for under assessment?	—	
38	Under Assessment Fish	BD3.2.6	Does the organisation have a system to ensure that any product it sold as certified was caught on or after the actual eligibility date as specified on the MSC or ASC website for that fishery or farm?	—	
39	Under Assessment Fish	BD3.2.7	Does the organisation have a system to ensure that only under assessment fish is sold as certified once it has been confirmed that the fishery or farm has been listed as certified on the MSC or ASC website?	—	
40	Request for records	BD2.2	Has the organisation cooperated in line with the requirements in the case of a request of records by MSC?	—	
41	Product authentication test	BD7.2.1	Have certificate holders allowed the CAB or representative from the accreditation body (ASI) to collect samples of MSC certified products from their site for the purposes of product authenticity testing?	—	
42	Product authentication test	BD7.2.2	Has the organisation followed the actions a) to c) in BD7.2.2 where a product authenticity test identifies the product as a different species or as originating from a different catch area than as identified?	—	
43	Timely and accurate information	BD8.2.1	Has the organisation supplied specific information within this time period set by the CAB or MSC's accreditation body?	Pass	Yes the information was handed promptly.
44	Timely and accurate information	BD8.2.2	Are information or records provided by the organisation during the audit or other requests as outlined in BD2 consistent with information provided at a different point in time?	Pass	Yes the information was handed promptly.
45	Timely and accurate information	BD8.2.3	Has the organisation signed off the accuracy of specific sections of the audit report? - The schedule of MSC suppliers - Any statements made by the certificate holder indicating that the certificate holder is not handling any MSC certified products at the time of the audit - the list of the certificate holder's purchases of MSC certified products or the list of MSC certified batches processed since the previous audit (not mandatory)	Pass	yes the company has signed of for the accuracy of the specific sections of the audit rapport.
46	Non-conforming product	BD9.2.1	Is the organisation aware of how they need to handle non-conforming product and are they familiar with where to find these requirements? If non-conforming product has been identified, have they followed the procedure in Annex BD9.2.1?	Pass	Yes the company are aware of how to handle non-conforming product. They will withdraw the products if a mistake happened.

8. Traceback Template

Guidance
This template is designed to help the auditor record evidence for question 5. This traceback exercise should link products from one step up and one step down in the supply chain, using traceability documents.
The outcome of question 5 (Pass/Minor/Major/Suspension) is to be recorded in the question section of the checklist.
Where MSC and ASC products are both handled, conduct a traceback for each.
Select an appropriate number of samples to be confident the system is effective for all products listed in scope.
Leave blank any sections that are not applicable.
The traceback is to be completed by the end of the audit.
If additional tracebacks are carried out, please make a copy of this tab.
Where the certificate holder is purchasing from a fishery (farm) directly, it is recommended a traceback is carried out which traces product back to the Unit of Certification.

Data		Traceback	
		Description	**Observation/explanation (where relevant)**
Product tested: (name, description, product form...)		NEP dybvandshummer (Nephrops norvegicus)	
Species: (for products with mixed species record all species)		Nephrops norvegicus	
List all documents reviewed when conducting the traceback exercise. List all codes that allow a link to be made between the different documents. Start with the product tested, recording the identification code (e.g. product ID and batch number) in section A, then note the previous step in section B.... The last entry should record the point where raw material was received. Possible documents include: sales invoice, dispatch note, processing records, storage records, goods in records, purchase invoice...	A)	Pefa H79 FAO 27.3.a.s, Kattegat. 4 kg modtaget kl. 7, 18-02-2015, label solgt til FA-Fisk man Lot 1002.	
	B)	Invoice no 019713 from fiskeauktion Danmark nr. 10079 18-02-2015 for H79 TIKI.	Afregning for arbejde ved Fiskeauktion Danmark A/S.
	C)	Invoice for FA Fisk - Fiskemanden, Ultik Hansen , 4600 Køge. Boat H79 4 kg no. 009757 dated 18-02-2015.	
	D)		
	E)		
	F)		
	G)		
	H)		
	I)		
	J)		
	K)		
Description of traceback (provide a general description which would allow the traceback to be carried out again at a later date. Please describe special circumstances and the ways data is recorded including paper, electronic, person in charge of the traceback...)		The test is made on non certified MSC since it is the initial audit. Person in charge is Lasse Nordahl. Bookeeper Winnie Nørremark finds data in Navision system. Systems are based on landing notes and electronic system (Pefa and navision)	

9. Input/Output Reconciliation Template 1

Material/Product (seafood only)	Details	Input / Output 1	Input / Output 2	Input / Output 3
Species	1	Nephrops norve	Nephrops norvegicus	
Start Date	2	01-12-2014	06-01-2015	
End Date	3	20-12-2014	06-01-2015	
Unit	4	kg	kg	
Raw material - Stock at start date	A	0		
Raw material - Stock purchased in period	B	8930,5	1189	
Raw material - Stock sold during period	C	8930,5	1189	
Raw material - Stock used for processing	D	0		
Raw material - Stock at end date	E	0		
Processing - Stock of processed product at start date	F	0		
Processing - Processed product produced during period	G	0		
Processing - Processed product sold during period	H	0		
Processing - Stock of processed product at end date	I	0		
Processing - Stock of partially processed product. Product in process that is too transformed to count as raw material but different from the finished product	J	0		
Processing - Weight increase due to processing (added ingredients affecting quantity of seafood: salt, water…) Record weight impact - record ingredient type in "Description" box	K	0		
Processing - Weight loss due to processing (i.e. defrosting, drying…) Record weight impact - record cause of weight loss in "Description" box	L	0		
Raw material: Total in = (A + B)	M	8930,5	1189	0
Raw material: Total out = (C + D + E)	N	8930,5	1189	0
Raw material: Difference = (M - N)	O	0	0	0
Processing: Total in = (F + G + J + K)	P	0	0	0
Processing: Total out = (H + I + L)	Q	0	0	0
Processing: Difference = (P - Q)	R	0	0	0
Conversion Rate (Yield) Record rationale for how this number is calculated to be recorded in "Description". May be calculated as: G/D. Record as percentage	S	100,00%		

Description of Input/Output Reconciliation, including how the conversion rate is determined

There products are packed and sold. The yield is 100%.

10. Input/Output Template 2 (for batches)

Guidance
If completing Input/Output template 2, template 1 is not needed
This template can be used to record data for the Input/Output reconciliation for batches. It can be used as an alternative to the Input/Output template 1.
The sample is to be determined by the auditor, but should be adequate to ensure the system is effective for all products in scope.
The auditor can complete the exercise directly or can witness the certificate holder doing the reconciliation.
The product form should be described by the auditor as appropriate in the tables below. The list in Table B1 of the CR is not exhaustive.
The auditor can add extra rows where needed.
Inputs: this refers to all batches purchased
Stocks: this refers to batches owned, for example, in inventory; this can be in the same form of input or some may be processed/ transformed products.
Outputs: this refers to batches sold.
The inputs should equal stocks + outputs, taking approriate conversion rates into account.
The yield is to be described in the description box.
This template can also be used to record an Input/ Output reconciliation of contract processed products if relevant, as per BD4.2.4.7 and BD4.2.6.3. Where non-certified contract processors are used, it is recommended to

INPUTS

#	Batch Code (code used by the organisation to identify the batch)	Quantity (record numerical data only)	Unit (record the unit used for the batch e.g. Kg, tons, packs…)	Form (product form of the batch i.e. blocks, fillets, cans,…)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				

STOCKS

#	Batch Code (code used by the organisation to identify the batch)	Quantity (record numerical data only)	Unit (record the unit used for the batch e.g. Kg, tons, packs…)	Form (product form of the batch i.e. blocks, fillets, cans,…)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				

OUTPUTS

#	Batch Code (code used by the organisation to identify the batch)	Quantity (record numerical data only)	Unit (record the unit used for the batch e.g. Kg, tons, packs…)	Form (product form of the batch i.e. blocks, fillets, cans,…)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				

Description of Input/ Output Reconciliation

11. Certified Suppliers

	Signature (MSC Representative)	Date
Organisation	Lasse Nordahl	18-02-2015

Supplier Name (MSC CoC, ASC CoC, MSC fishery, ASC fish farm)	MSC CoC Certificate Code	ASC CoC Certificate Code	MSC - Fishery certificate code (only for organisations buying directly from the certified fishery)	ASC - Fish farm code (only for organisations buying directly from the certified fish farm)
Danish and Swedish Nephrop Fisheries			F-FCI-0046	

12. Scope of certification

Activities	Mark if Applicable (x)	Certified Species (enter name)	MSC Mark if applicable (x)	ASC Mark if applicable (x)	Under Assessment Fishery or Farm (MSC/ASC ASSESSMENT UMAF and UAAF)	Under Assessment Species
Aquaculture		Nephrops (Nephrops norvegicu	x			
Contract processing						
Distribution						
Harvest						
Packing or Repacking	x					
Processing						
Primary processing						
Secondary processing						
Preservation						
Restaurant/Take away to consumer						
Retail to consumer						
Storage						
Trading fish (buying/selling)	x					
Transportation						
Wholesale						
Other (please specify)						

Other comments or descriptions relating to scope

13. Audit Frequency

Guidance:
This table should be completed by the auditor at the end of each audit (initial, surveillance and re-certification).
Complete Table B4 first and use the result in table B5 to determine the surveillance frequency.
Only one surveillance frequency on table B5 is possible.
You can Unhide the cells to the right of the first table to show extra Tables for multi-sites.

Table B4	Site Name:	Fiskeauktion Danmark

Risk Factor		Answer
1. Activity (See Table B2) Where more than one activity is undertaken, use the **highest score** only to add the total score. **Total**		15
Trading (buying and selling) (Activity 1)		---
Transport (Activity 2)		---
Storage (Activity 3)		---
Wholesale and/or distribution of whole fresh fish in unsealed containers (Activities 4,5)		---
Wholesale and/or distribution of pre-packed products (Activities 4,5)		---
Harvest (Activity 6)		---
Packing or repacking (Activity 7)		Yes
Processing, contract processing (Activities 8,9) If there is a risk of handling non-MSC fish due to processing company's geographic location in relation to non-MSC-certified fisheries of the same species which is considered:		---
		---
Retailing/food service direct to consumers (Activities 10,11)		---
Aquaculture (Activity 13) - applicable for ASC only		---
2. Handling of Products **Total**		1
Company does not use non-certified subcontractors		
3. Species Handled **Total**		8
Certified and non-certified same species on site at the same time		
4. Other certifications held by company for the last 12 months **Total**		4
None		
5. Company's performance at most recently performed MSC/ASC audit **Total**		0
No major or minor non-conformities found		
6. Information from other audits and regulatory bodies **Total**		0
No prosecutions or major non-compliances raised against food safety and/or regulatory requirements within the past 24 months		
7. Number of staff involved in applying label or making label application decisions **Total** Applying means physically selecting a label, bag, carton or similar bearing the MSC/ASC ecolabel from amongst other labels or packaging materials which do not bear the MSC/ASC ecolabel. In the case of a site where the decision regarding packaging is made by a supervisor or production line manager, this shall refer to the number of these, rather than the number of workers on the production line.		1
Less than 2 employees		
8. Country of operation ranking on Transparency International's latest corruption perception index **Total**		4
Above 62		
Grand Total		33

Table B5			
Score from Table B4	**Surveillance Frequency**	**Activity**	**Suggestion/ Decision**
50 or more	Enhanced Surveillance	On-site once each 6 months	
30 to 55	Standard Surveillance	On-site once each 12 months	
16 to 35	Reduced Surveillance	On-site once at 10 -18 months from the date of certification	
15 or below	Remote Reduced Surveillance	Desktop once at 10 -18 months from the date of certification	
		Decision	Standard
Rationale	12 month since it is the initial audit.		

14. Audit non-conformities and observations

Guidance
Suspension
According to clause 7.4.4, a CAB shall suspend a COC certificate if there is objective evidence that indicating that:
- There has been a demonstrable breakdown in the chain of custody caused by the client's actions or inactions.
- That certificate holder has sold products as MSC/ASC certified (or under-assessment) which are shown not to be certified (or under-assessment).
- The certificate holder cannot demonstrate that products sold as MSC certified/ASC certified are MSC-certified/ASC-certified.
- The certificate holder has not satisfactorily addressed any major non-conformities within the specified timeframe.
Major non-conformities *(CR 17.5.1)*
Where the integrity of the CoC is jeopardised and certification cannot be granted or maintained.
Minor non-conformities *(CR 17.5.1)*
Where the client does not comply with the COC Standard, but those issues do not jeopardise the integrity of the COC.
The corrective action column can be completed after the audit.
All non-conformities to be recorded - if a non conformity is closed off on the day of the audit it still needs to be recorded.
This page can be printed out and a copy left with the organisation after the audit.
Note: If a written signature is not possible, the auditor can type the name of the MSC Representative in the 'Signature' field, as long as the MSC Representative is made aware of this.
Observations
Recording of observations is optional; however, it should be noted in this column where there is no handling of MSC certified products at the time of the audit (BD8.2.3)
The clause number is not required for observations.
'To address by date' and 'corrective action' columns are not required for observations.

	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
1			---		
2			---		
3			---		
4			---		
5			---		
6			---		
7			---		
8			---		
9			---		
10			---		
11			---		
12			---		
13			---		
14			---		
15			---		
16			---		
17			---		
18			---		
19			---		
20			---		

15. Certification Decision

Date	09-03-2015
Certificate valid (Y/N)	Yes

CAB Decision Making Entity Name/Surname	**Observation and additional information** (not mandatory)
Niels Madsen	

Annex A - Subcontractor Table

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

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	Activity (mark (x) as appropriate)															
										Aquaculture	Contract Processing	Distribution	Harvest	Packing or Repacking	Processing	Primary processing	Secondary processing	Preservation	Restaurant/Takeaway to Consumer	Retail to consumer	Storage	Trading Fish (Buying/Selling)	Transportation	Wholesale	Other

Annex B - Non-conformities from previous audit

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)	Outcome of non-conformity (closed/changed to minor/changed to major)
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—
			—	—

Annex C - MSC purchases - non mandatory

	Signature (MSC representative)	**Date**
Organisation		

Date of purchase (as per invoice)	**Date of arrival** (arrival on site)	**Supplier name** (as on invoice)	**Invoice number**	**MSC** (mark 'x')	**ASC** (mark 'x')	**Species**	**Form** (e.g. H&G, blocks)	**Quantity**	**Units** (i.e. kg, tons, etc)