Marine Stewardship Council Chain of Custody program

# Pre-audit checklist for consumer-facing organisations (Version 2.1)

### **About this checklist**

The pre-audit checklist allows you to determine how much of the **MSC Chain of Custody (CoC) Standard: Consumer-Facing Version** your organisation currently meets, and where you will need to adjust your operations before the certification audit to ensure full compliance. This checklist can also be used if you are handling ASC certified products. For ASC, please also use the [ASC supplementary checklist](https://asc-aqua.org/wp-content/uploads/2023/05/ASC-Chain-of-Custody-Checklist-Guide-May-2023.pdf) for supply chain companies. Please check that your organisation meets the eligibility criteria for both the MSC and ASC Standards as applicable – the criteria can be found in the preface of the [CoC CFO Standard](http://www.msc.org/docs/coc-standard-cfo-v2), the [[ASC CoC Standard](https://asc-aqua.org/wp-content/uploads/2024/04/ASC-CoC-Module-v1.3-FINAL-17-April-2024.pdf),](https://asc-aqua.org/wp-content/uploads/2023/05/ASC-CoC-Module-v1.1-FINAL-15-May-2023.pdf) and in the [*Get Certified! Your guide to the MSC and ASC Chain of Custody certification process*](https://www.msc.org/docs/coc-cfo-get-certified)*.*

**Disclaimer:** This checklist is intended as guidance only. Following this document is not a fully comprehensive way of preparing for an audit against the MSC Standard. The MSC recommends that all organisations read the **MSC Chain of Custody Standard: Consumer-Facing Organisation Version 2.1** in full and evaluate the procedures specific to your organisation. This checklist and its content are copyright of “Marine Stewardship Council” – © Marine Stewardship Council 2023. All rights reserved. The official language of this checklist is English. The definitive version is maintained on the MSC’s website [www.msc.org](http://www.msc.org). Any discrepancy between copies, version or translations shall be resolved by reference to the definitive English version and the English MSC scheme documents. If you are unsure on any subject covered or would like to provide feedback on how we can improve this tool, please contact the MSC at standards@msc.org

**Table 1:** The MSC Pre-Audit Checklist

| **Requirement** | **What to do?** | **Does my central office meet this?**Yes | No | None | N/A | **What changes need to be made?** | **Do sites meet this?** All | Some | None | N/A | **What changes need to be made?** |
| --- | --- | --- | --- | --- | --- |
| **Principle 1: Certified products are purchased from certified suppliers**  |
| **1.1** A process to ensure that all certified products are purchased from certified suppliers, fisheries or farms. | The central office must ensure that sites can only buy certified seafood from certified suppliers, such as through approved buying lists within the central system. Check which of your suppliers are certified on the [MSC Find a Supplier](http://www.msc.org/where-to-buy/find-a-supplier) or [ASC Find a Supplier](https://www.asc-aqua.org/what-you-can-do/take-action/find-a-supplier/). When placing purchase orders for certified seafood, the system must recognise that purchases are within the approved scope.  |  |  |  |  |
| **1.2** A process to confirm the certified status of physical products on receipt.  | Do you have a system in place for managing ‘goods-in’? Can your staff identify when certified seafood is coming into the business? What steps do your staff take to identify and check certified against non-certified seafood on arrival?  |  |  |  |  |
| **1.3** Products in stock at the time of initial certification can be proven to come from a certified supplier, fishery or farm and comply with the relevant sections of the MSC Standard.  | Make sure that you can prove to your auditor that certified product in inventory is from a certified supplier. As your organisation bought this product before seeking certification you may have to go back to your supplier to get proof.  |  |  |  |  |
| **Principle 2: Certified products are identifiable** |
| **2.1** Certified products are identified as such at all stages of purchasing, receiving, storage, preparation, labelling, display, and serving or selling, except for sales invoices to final consumers. | What steps do your staff take to label and clearly identify certified seafood once it is in your business, and until it is served and/or sold? Walk through your premises – is labelling sufficient for anyone to differentiate certified from non-certified seafood in records and on physical products? |  |  |  |  |
| **2.2** Your organisation operates a system to ensure packaging, labels, menus and other materials that identify product as certified can only be used for certified products. | What prevents your staff from misidentifying menu or fish counter items now? Can this system be replicated effectively for certified and non-certified seafood?  |  |  |  |  |
| **2.2.1 & 2.2.2** Products sold as certified must be labelled with the correct species, catch area and origin, if this information is shown. | If you identify the seafood species or catch area/origin on menus, fish tags or other materials, you must follow the labelling legislation of the country where the seafood is sold or served. What steps are taken to verify label information? |  |  |  |  |
| **2.3** Your organisation can only promote products as certified or use the MSC / ASC label if granted approval under the terms of the license agreement. | If your organisation wants to use the MSC or ASC label, follow the [MSC Ecolabel User Guide](https://www.msc.org/documents/logo-use/msc-ecolabel-user-guide) or [ASC Logo User Guide](https://www.asc-aqua.org/our-logo/logo-user-guide/) and get written approval and a licence agreement from MSCI (Marine Stewardship Council International). |  |  |  |  |
| **Principle 3: Certified products are segregated** |
| **3.1** Certified products must not be substituted with non-certified products. | How will you keep certified products physically segregated? This can be as simple as specific blue boxes for only MSC seafood, or one refrigerator shelf for MSC that is clearly signed. What is the risk of your staff picking the wrong product and what procedures can you build into their workflow to avoid this?  |  |  |  |  |
| **3.2** Certified and non-certified product cannot be mixed if your organisation wishes to make a claim, except in 3.2.1 below.  | For products that your organisation wants to use the MSC or ASC label on – what systems will you have in place to prevent mixing of certified and non-certified product?  |  |  |  |  |
| **3.2.1** If non-certified seafood is used as an ingredient in certified products, this must comply with the non-[MSC](https://www.msc.org/for-business/use-the-blue-msc-label/guidelines)/[ASC](https://www.asc-aqua.org/our-logo/logo-user-guide/) certified seafood ingredients rules. | The MSC does allow the use of non-certified seafood ingredients provided they do not exceed a given proportion of the product’s seafood component. Make sure menu and product development staff are familiar with the [[MSC rules](https://www.msc.org/for-business/use-the-blue-msc-label/guidelines) and [ASC rules](https://www.asc-aqua.org/our-logo/logo-user-guide/)](https://www.msc.org/documents/logo-use/certified-ingredient-percentage-rules), and keep records of these calculations for the auditor to check. |  |  |  |  |
| **3.3** Products certified against different recognised certification schemes that use the MSC Chain of Custody Standard must not be mixed if the organisation wishes to sell the product as certified, unless 3.3.a or 3.3.b apply. | The MSC shares its Chain of Custody Standard with the ASC. To make a claim about the certified status of a product or menu item, your systems for segregation must also work for other schemes. For example, MSC and ASC certified salmon should be clearly segregated and not mixed. |  |  |  |  |
| **3.3.a** Your organisation has permission from MSCI to do so. | Products or menu items may show both the MSC and ASC label if approved by MSCI. For example, a fish pie containing MSC haddock and ASC prawns can show both labels if MSCI approval has been granted as part of the product approval process. See the [MSC Ecolabel User Guide](https://www.msc.org/for-business/use-the-blue-msc-label/guidelines) or [ASC Logo User Guide](https://www.asc-aqua.org/our-logo/logo-user-guide/) for more information.  |  |  |  |  |
| **3.3.b** The same product is certified against multiple recognised certification schemes that use MSC Chain of Custody. | If the seafood comes from a source that is certified to two or more schemes that also use MSC Chain of Custody, then both labels can be used with permission from MSCI. For example, a seaweed fishery that is certified to both MSC and ASC Standards.  |  |  |  |  |
| **Principle 4: Certified products are traceable, and volumes are recorded** |
| **4.1** The organisation shall have a traceability system that allows product sold as certified to be traced back from the point of serving or sale to a certified supplier. | Personnel working on a fish counter or in the kitchen must be able to show an auditor how they know a certified dish or fish on the counter with the MSC or ASC label is certified, by working traceability backwards. If you have a recall system in place you can use this as a model.  |  |  |  |  |
| **4.1.1** If your organisation operates across multiple sites, and product is transferred between them, traceability back to a certified input, i.e. delivery or purchase, must be maintained. | This is relevant when your organisation, or your subcontractors handles certified product prior to arrival at your customer facing sites – for examples any movement from storage, distribution or certified subcontractor; or certified product transfer between stores when one is running low and the other has excess stock in a certified species. In these scenarios, records need to be kept demonstrating certified product flow, transfer or movement throughout your handling. This enables an auditor to trace certified product from one site to the next and back to a certified purchase. |  |  |  |  |
| **4.2** Your organisation must keep records that allow volume calculation of certified product. | Records of all certified product handled (except final sales) need to be kept. These records must be kept for a minimum of 18 months – this is to enable your auditor to check 1.1 and 1.2 above, but also for reconciliation with your suppliers’ records in the event of an investigation. |  |  |  |  |
| **4.2.1** If your organisation handles the same or similar-looking certified and non-certified species, you must keep records for these non-certified species too. | This is to help your auditor confirm that only certified products are identified or labelled as certified. For example, if a store buys certified and non-certified scallops, or certified dover sole and non-certified lemon sole, the volume of certified sales / servings can be justified. |  |  |  |  |
| **4.3** Records of certified products must be accurate, complete and unaltered. | Keep product records in the same state as sent by your supplier. The also applies to records created by your organisation. |  |  |  |  |
| **4.3.1** Where records are changed, this must be clearly documented including the date and name or initials of the person making the changes | If your organisation needs to make changes (e.g., for a product rejection), mark these changes with the date and name of the person. |  |  |  |  |
| **4.4** Only sell products as certified that are covered by your scope of certification. | Whoever is responsible for product buying must be knowledgeable of when a scope extension is necessary, the timeframes for doing so, and who at your certification body these changes must be communicated to.  |  |  |  |  |
| **Principle 5: The organisation’s management system addresses the requirements of this Standard** |
| **5.1. Management and site control** |
| **5.1.1** Your organisation operates a management system that addresses all requirements in this Standard. | This includes the systems, policies and procedures used to ensure your organisation meets the Chain of Custody Standard. For small or straightforward operations, written documentation may not be necessary.  |  |  |  |  |
| **5.1.2** Appoint a CoC contact person who is responsible for all communication with your certification body and can respond to any requests for information or documents relating to Chain of Custody conformity.  | Preferably just one person communicates with your auditor and/or certification body on behalf of your organisation (this can be the same as the person responsible for your Chain of Custody certification). If the CoC contact person changes, the CAB needs to be notified as per 5.3.1.  |  |  |  |  |
| **5.1.3** Maintain records that demonstrate conformity with this Standard for a minimum of 18 months. | These records typically include purchase records of certified products (or same/similar-looking non-certified species), internal traceability records, staff procedures, training documentation. |  |  |  |  |
| **5.1.4** If your organisation operates across more than one site, you must designate a central office that manages conformity across all sites and complies with all requirements in 5.1.4.1  | These are only relevant if more than one site will be involved in your certified seafood offering. For example, if your organisation runs five restaurants but only one will be using the MSC ecolabel these requirements do not apply until you want two or more restaurants to use the MSC ecolabel. The central office does not have to be an actual office but is defined by whoever is responsible for your Chain of Custody certificate. |  |  |  |  |
| **5.1.4.1.a** Have a procedure to ensure all sites in your certificate (those sites handling certified seafood) meet the requirements of this Standard. | This applies to both before sites are added to your Chain of Custody certificate and on an on-going basis. |  |  |  |  |
| **5.1.4.1.b.** Have a system in place to ensure that all sites can only order and sell/serve certified seafood from certified suppliers, covered by its scope of certification. | Make sure all sites can only order and sell / serve seafood from the approved certified supplier list; and that the certified seafood species is in your organisation’s scope (see 4.4). |  |  |  |  |
| **5.1.4.1.c** Keep an accurate list of all sites in your Chain of Custody certificate with an address and contact details for each, and identifying those that are operations sites, consumer-facing sites, or both. | An operations site is involved in preparing/processing, storage, packing or repacking certified products, for example, a warehouse or central kitchen. A consumer-facing site sells or serves certified seafood directly to the final consumer, for example, a restaurant, canteen or supermarket with a fish counter.  |  |  |  |  |
| **5.1.4.1.d** If your certification body, auditor or MSC ask for a copy of your site list in writing, provide it within 5 calendar days. | The site list contains the information required in 5.1.4.1.c above. Your certification body will use this list to calculate the number of sites to be visited, using [table 4](#table3).  |  |  |  |  |
| **5.1.4.1.e** Have a process to ensure that any sites that are cancelled, suspended or withdrawn from the certificate cannot continue to use the MSC or ASC trademarks. | If your organisation has 200 stores with fresh fish counters, but 10 of these can no longer be supplied with certified seafood – make sure they receive effective communication on no longer using the MSC or ASC label or “MSC” or “ASC” acronym. When you next send your certification body an updated site list, make sure you remember to mark which sites need to be removed from the certificate.  |  |  |  |  |
| **5.2 Training** |
| **5.2.1** Responsible personnel are competent to ensure conformity with this Standard. | These are members of staff/contractors/volunteers who make decisions or carry out procedures related to the CoC Standard. They need to be able to explain to an auditor what their role and the necessary steps are to ensure conformity with this Standard.  |  |  |  |  |
| **5.2.2** Your organisation must provide training to responsible personnel at least as per 5.2.2.a to 5.2.2.c below. | Your organisation can build Chain of Custody training into any existing training programs and deliver the training regularly to responsible staff. |  |  |  |  |
| **5.2.2.a** Before the initial certification audit | Try not to leave too much of a time lag between this training and your scheduled initial audit. |  |  |  |  |
| **5.2.2.b** As part of induction to new personnel. | This is crucial to avoid accidental mislabelling by new starters who otherwise would have to wait for the annual training. |  |  |  |  |
| **5.2.2.c** At least once a year after certification. | If your staff turnover is very high, then you may need to train more frequently than this minimum requirement. |  |  |  |  |
| **5.2.3** Keep records showing that training has been carried out as required. | These records need to be kept for 18 months as per clause 5.1.3 above and give the auditor:* Evidence of what materials were used and when.
* That a training schedule exists and has been adhered to.

The auditor will then cross-check that this training has resulted in competency by interviewing at least one member of responsible personnel at each consumer-facing site. |  |  |  |  |
| **5.3 Reporting changes** |
| **5.3.1** Inform your certification body in writing or by email within 10 days of the changes described in 5.3.1.a to 5.3.1.d below. | Make sure whoever is responsible for communicating with your certification body is aware of these timelines. |  |  |  |  |
| **5.3.1.a** New CoC contact person. | Within 10 days of assigning a new person to be responsible for managing your Chain of Custody certificate and/or communicating with your certification body. |  |  |  |  |
| **5.3.1.b** New supplier, fishery or farm for certified products. | Within 10 days of receiving certified product from a new supplier, fishery or farm (as defined in your supplier list at the latest audit). |  |  |  |  |
| **5.3.1.c** New certified species received (scope extension). | Within 10 days of receiving product made from a new certified species (as defined in your ‘certificate scope’ list at the latest audit). |  |  |  |  |
| **5.3.1. d** For an organisation with multiple sites, an increase in the total number of sites by more than or equal to 25% since the previous audit. | Any increase in the total site number by 25% or more must be reported to your certification body. Your certification body will update your CoC record on the MSC / ASC website and may carry out an additional audit review, if appropriate. |  |  |  |  |
| **5.3.2** Gain written approval from your certification body before making any of the following changes in 5.3.2.a to 5.3.2.f below. | Make sure whoever is responsible for communicating with your certification body is aware of these timelines. |  |  |  |  |
| **5.3.2.a** Undertake a new activity related to certified products (scope extension). | Getting approval from your certification body before starting a previously undeclared activity with certified seafood (i.e. an activity not listed in your certificate scope at your last audit). For example, if your organisation has only been conducting ‘retail to consumer’ but is going to open a restaurant next year, this counts as a new activity (see definitions in [Table 2](#table2)).  |  |  |  |  |
| **5.3.2.b** Selling or handling product certified against different recognised certification schemes that share MSC Chain of Custody (scope extension). | Getting approval from your certification body for ASC certified products or other schemes that use MSC Chain of Custody. |  |  |  |  |
| **5.3.2.c** Using a new subcontractor that will process, pack or repack certified products. | Remember that all processing/packing/repacking subcontractors must be independently certified before your organisation can use them for certified seafood. |  |  |  |  |
| **5.3.2.d** Adding any new operations sites that are involved in processing or repacking of certified products only. | Get approval from your certification body if you add any sites which process or (re)pack certified seafood. Before starting operations, ensure that new sites are capable of implementing the common management system established and can conform with the CoC Standard. |  |  |  |  |
| **5.3.2.e** Adding any new site that operates in a new country. | Get approval from your certification body if you add a new site operating in new country. Before starting operations, ensure that the new site(s) are capable of implementing the common management system established and can conform with the CoC Standard. |  |  |  |  |
| **5.3.2.f** Handling under-assessment fish, if the organisation is part of the client group of a fishery being assessed or the same legal owner as a farm being audited. | Get approval from your certification body if you want to handle seafood which is not yet certified but is under MSC or ASC assessment and you are part of the fishery client group or aquaculture farm. |  |  |  |  |
| **5.4 Subcontractors, transport and contract processing** |
| **5.4.1** All subcontractors handling certified product comply with the relevant requirements of this Standard. | In general, your organisation needs to be confident that subcontractors are identifying, segregating and tracing your certified product throughout their operations, and be able to describe to the auditor how they are doing this.  |  |  |  |  |
| **5.4.2** Maintain an up-to-date record of the names and addresses of all subcontractors handling certified product, excluding transport. | Keep one list of all subcontractors that you can show your auditor. |  |  |  |  |
| **5.4.3** Only use subcontractors for processing/ packing/repacking certified seafood that have their own Chain of Custody certificate. | Remember that all processing/packing/repacking subcontractors must be independently certified before your organisation can use them for certified seafood. |  |  |  |  |
| **5.4.4** If your organisation uses subcontractors, you must have the right to be able to ask them for records relating to your certified product and for auditor access to the products. | Your auditor may wish to see traceability records of your certified product or check certified products handled by your subcontractors. |  |  |  |  |
| **5.5 Non-conforming product** |
| **5.5.1** Have a process to manage non-conforming product that includes 5.5.1.a to 5.5.1.d below.  | This can happen when, for example: * Your organisation cannot confirm product with the MSC ecolabel is from a certified source, for example, if the invoice states MSC but the invoice received does not.
* Your supplier informs you that they accidentally sold you non-conforming product.
* A staff member realises at the end of the day that the wrong box of fish was used to make the certified seafood dish.

If you have a recall system in place you can use this as a model to deal with non-conforming product for Chain of Custody. |  |  |  |  |
| **5.5.1.a** Immediately stop selling non-conforming product as certified. | This means removing references to the certified status of the menu item or fish counter item where the certified status of the product is in question. If this is not possible, staff must inform customers verbally that the seafood is no longer certified. |  |  |  |  |
| **5.5.1.b** Inform your certification body within 2 days of detecting the non-conforming product and provide your certification body with information to check the certified status of the product. | Relevant information to provide to the certification body is likely to include delivery notes, internal transfer slips, invoices, menu item cooking descriptions, and fish counter layout instructions.  |  |  |  |  |
| **5.5.1.c** Identify why the product is non-conforming and implement measures to prevent re-occurrence, where necessary. | Preventative actions should reflect the source of problem and may involve, for example, re-training staff or re-writing ‘goods-in’ procedures.  |  |  |  |  |
| **5.5.1.d** Where the non-conforming product cannot be proven to come from a certified source, re-label/re-pack this product so it cannot be sold as certified. | Change the status of any remaining product from that batch/box/delivery to non-certified. |  |  |  |  |
| **5.6 Requests for traceability and supply chain assurance** |
| **5.6.1** Cooperate with the MSC and certification body requests for traceability documents or purchase records for certified products. | The MSC or your certification body may ask for these records in the event of a supply chain investigation. |  |  |  |  |
| **5.6.1.1** Provide documentation within 5 calendar days of request. | Financial details may be removed but otherwise records must be unaltered. If you organisation cannot meet this deadline you can ask for a justified extension.  |  |  |  |  |
| **5.6.2** Allow the MSC, designated agents or the certification body to collect certified seafood samples for the purposes of DNA testing. | If your organisation is scored as “standard risk” (See [Table 3](#table3)), the auditor will take small samples of certified product at surveillance and recertification audits. Even if your organisation scores “low risk”, product samples may be taken by an unknown shopper/diner as part of the MSC’s annual DNA testing or as part of an investigation. |  |  |  |  |
| **5.6.3** If the test identifies product as non-conforming, your organisation must:1. Investigate the potential source.
2. Present the findings from this investigation to your certification body.
3. Cooperate with further sampling and investigation.
 | If a test result shows the seafood to be non-conforming (see 5.5.1), your organisation must conduct an investigation. This is to see if the problem emerged within your operations or came from further up the supply chain (for example, the product was sold mislabelled by a certified supplier). If the problem originated within your operations, your organisation would need to have a corrective action plan to address it. |  |  |  |  |
| **5.7 Specific requirements for under-assessment product** |
| **5.7.1** Organisations can only buy seafood that is under assessment if they are: a) A fishery or farm undergoing assessment, orb) A named member of the client group for a fishery, or the same legal entity as the farm undergoing assessment. | Before buying under-assessment seafood, check if your organisation is the MSC fishery or ASC farm, or a named member of the fishery client group/same legal entity as the farm, which is undergoing assessment for certification. |  |  |  |  |
| **5.7.2** If handling under-assessment seafood, the organisation must:a) identify and segregate all under-assessment products.b) keep traceability records of under-assessment products back to date of harvest.c) ensure under-assessment products are not sold as certified until the fishery or farm is certified. | Ensure that any products from an under-assessment MSC fishery or ASC farm are identified and kept separate from all other products.Keep records that show full traceability of the product back to the fishery or farm’s Unit of Certification, including the date of harvest.Not sell any products from an under-assessment MSC fishery or ASC farm until the Public Certification Report is published on the MSC or ASC website, announcing that the fishery or farm is certified. |  |  |  |  |
| **5.8 Specific requirements on forced and child labour** |
| **5.8.1** Meet the MSC Labour Eligibility Requirements. | Ensure that your organisation does not have any convictions for forced or child labour (section 3 of MSC [Labour Eligibility Requirements](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/msc-labour-eligibility-requirements.pdf)). Additionally if your organisation conducts specific activitiesas indicated in [section 5.1.1](https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/msc-labour-eligibility-requirements.pdf#page=11) of the MSC LER you need to either:a) submit an MSC Chain of Custody Labour Self-Assessment form and sign an agreement to complete an MSC-commissioned labour audit if required by the MSC, or b) provide evidence to the MSC auditor of having completed an on-site labour audit that complies with the MSC third-party labour audit requirements.  |  |  |  |  |

**Table 2:** Scope activity definitions

|  |  |
| --- | --- |
| **Activity** | **Definition** |
| **Trading fish (buying/selling)** | This will likely be applicable to all companies, except for subcontractors that do not buy certified product. |
| **Transportation** | This shall be used if a client is responsible for the transport of certified product from their supplier to their customer, or between their sites. This is not used if the client subcontracts all transportation. Transportation organisations are not required to be certified for CoC unless they also take legal ownership. In some cases, however, using a transport organisation could increase the risk to such a level that the CAB might require its client to request the transport organisation to become CoC certified (e.g., a vessel involved in transhipping, or a vehicle/well boat collecting bulk/unpacked products from more than 1 certified farm). |
| **Storage** | Product held in a storage area. |
| **Distribution** | Companies that receive sealed containers, pallets, etc. and deliver them to customers or other members of their group. |
| **Wholesale** | Companies that receive sealed containers, pallets, etc. and sell them to customers or other members of their group. |
| **Packing or repacking** | When the packaging is changed but the product remains the same. |
| **Processing** | Includes primary or secondary processing value added processing, fish preparation or any other activity where the product is changed (except for ‘retail to consumer’ and ‘restaurant/take away to consumer’). |
| **Contract processing** | Any certificate holder that carries out processing on behalf of the product owner (does not legally own the seafood). |
| **Use of subcontractor** | Any certificate holder that uses a non-certified or certified subcontractor to process, repack or transform certified product on their behalf. |
| **Retail to consumer** | Where the product is purchased, taken away and prepared by the consumer. This includes fish counters at retailers, fish mongers, and markets selling directly to consumers. |
| **Restaurant/take away to consumer** | Any foodservice situation where the product is prepared on-site and sold directly to consumers. |
| **ASC Aquaculture** | This shall only be used for any entity involved in the farming of seaweed (Seaweed Production Categories Bi, Bii, Ci and Cii, as per ASC-MSC Seaweed Standard Table 2) certified to the ASC-MSC Seaweed Standard. If there is processing entity included in the seaweed production certificate, separate “processing” activity shall also be selected. |
| **MSC Harvest** | This shall only be used for vessels undergoing fishing, or collection of seaweed from the wild environment (Seaweed Production Category A, as per ASC-MSC Seaweed Standard Table 2) that are applying for and being certified to the MSC CoC Standard. This scope shall include vessels as named sites on the CoC certificate. If they are processing on-board, “processing” shall also be selected. |
| **Manual off-loading** | This shall be used for any entity that manually off-loads (carried out by-hand, without machinery) product directly from fishing or aquaculture vessels, using permanent, temporary, or sub-contracted staff at the first point of landing. |
| **Handling under-assessment product** | This refers to a certificate holder that handles or subcontracts the handling of under-assessment product. This scope is only applicable to fishery client group members, and their subcontractors. |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Table 3:** Risk scoring

|  |  |  |
| --- | --- | --- |
| **Question** | **Answer** | **Points** |
| How many certified species could be displayed, sold, or served at any one site at the same time? | More than one | 3 |
| One | 1 |
| 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 |
| Will the label or identifier for certified products be applied by staff at each consumer-facing site (rather than at a central office or centralised operations site)? | Yes | 3 |
| No | 1 |
| Have there been one or more major non-conformities issued during the most recent audit? | Yes | 5 |
| No | 1 |
| How many sites will be handling certified seafood? | 3 or more | 3 |
| 1 – 2 | 1 |
| Does the organisation carry out annual (or more frequent) internal audits at all consumer-facing sites, which include testing the traceability of certified seafood? | No | 0 |
| Yes | -3 |
| Does the organisation have an electronic system that allows all volumes of certified seafood sold/served to final consumers to be reconciled against the volume of certified seafood purchased? | No | 0 |
| Yes | -2 |
| Does the organisation have other accredited certifications? | No | 0 |
| Yes –ISO 9001 / ISO 22000 / GFSI-recognised standard | -2 |
| **Country of operation score on Transparency International's corruption perception index (for scores see** [cpi.transparency.org](https://www.transparency.org/news/feature/corruption_perceptions_index_2017)**). For organisations that have sites in multiple countries, use the lowest CPI score from the latest year.** | Under 32 | 3 |
| Between 32 and 62 inclusive | 1 |
| Above 62 | 0 |
| **Total Score** | 1 – 14 | Low Risk |
| 15 – 21 | Standard Risk |

 | **Table 4:** Risk scoring

|  |  |
| --- | --- |
|  | **Number of sites to be visited during audit** |
| **Total sites**  | **Initial audit** | **Surveillance/ recertification audit** |
| 1 to 3 | 1 | 1 |
| 4 to 6 | 2 | 1 |
| 7 to 16 | 3 | 2 |
| 17 to 49 | 4 | 2 |
| 50 to 100 | 5 | 3 |
| 101 to 144 | 6 | 4 |
| 145 to 196 | 7 | 5 |
| 197 to 256 | 8 | 5 |
| 257 to 324 | 9 | 6 |
| 325 to 400 | 10 | 6 |
| 401 to 484 | 11 | 6 |
| 485 to 576 | 12 | 7 |
| 577 to 676 | 13 | 7 |
| 677 to 784 | 14 | 8 |
| 785 to 900 | 15 | 8 |
| 901 to 1024 | 16 | 8 |
| Over 1024 | Square root multiplied by 0.5, rounded up | Square root multiplied by 0.25, rounded up |

 |