MARINE STEWARDSHIP COUNCIL

Chain of Custody

Single and Multi-Site CoC Audit Checklist and Reporting Template

v 3.0 (Issued 20 February 2015)

Scheme documents:
MSC Default Chain of Custody Standard v4.0 *(20 February 2015)*
MSC Chain of Custody Certification Requirements v2.0 *(20 February 2015)*

SGS Product & Process Certification

Assessment Information:	Detail
Organisation Name*	Feddersen Gastro GmbH
Other name/s of the organisation	-
Auditor (Title/Name/Surname)*	Peter Varga
Audit team member(s) / attendees	
CAB Name*	SGS Nederland BV (SGS)
Start date of audit*	08 October 2015
Audit time start*	13:00
Duration of the audit (hh:mm)*	04:45
Date of previous audit (if applicable)	-
MSC Certificate number (if applicable)	MSC-C-55059
ASC Certificate number (if applicable)	ASC-C-00972
Issue date of MSC certificate (if applicable)	01 December 2015
Issue date of ASC certificate (if applicable)	01 December 2015
Expiry date of certificates (if applicable)	30 November 2018
Next audit period	01 September 2016
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
Is this a remote audit?	No
Is this a Single site or a Multi site audit?	Single site
Other - specify	-
MSC/ASC Contact Person 1	**Detail**
Title*	Mr.
Name*	Jörg
Surname*	Neuerburg
Job title	Quality Manager
Phone*	0049 40 780966 83
Mobile	-
Fax	-
Email*	j.neuerburg@rari.de
Site Address (site being audited)**	**Detail**
Country*	Germany
County/State	Berlin
Municipality* (city or town)	Berlin
Address line 1*	Beusselstr. 44n-q
Address line 2	-
Address line 3	-
Post code*	10553
Other	**Detail**
Is the site already certified for other standards (if yes, list)	IFS, QS, Öko/Bio
Are there other CoC certified companies registered at the same addr	No

3. Site List for Multi-site

Multi-site description (free text)

Date visited	Sub Code	Site Company Full Name	Street	Post Code	Town	Country	State

Email	Phone

4. Organisation Description

Organisation's main activity
Wholesale

Organisation description - free text
Rari Food International GmbH, founded 1983, trades meat-, fish, and seafood products with a staff of 65 employees. The premium trade mark is Laschori. It is planned to establish a range of MSC certified seafood products. organisational structure/ legal ownership: GmbH - product flow: each site trading for hisself - description of the traceability system: Microsoft Navision - key products and activities: trading with food and Non Food, wholesale - size of operation (e.g. number of employees, turnover, volume produced...): ca. 68, 30 Mio/year - subcontractors used for certified products: transporter - relevant company history: founded 1980-1982, take over trough RARI 2010

Marketing info (this will be displayed on the Find a Supplier website) - 250 words max

5. Audit Attendance

			Mark attendance with an 'x' as appropriate			
Attendee (Name, Surname)	**Role / Organisation**	**Site**	**Opening meeting**	**Document review**	**Site visit**	**Closing meeting**
Jörg Neuerburg	QM Manager/Rari	Hamburg	x	x	x	x
Peter Varga	SGS/Auditor	Emstek	x	x	x	x
Detlef Weigel	QMB/Fedderson	Berlin	x	x		x

Additional information on audit attendance

6. Filtering Questions

#	Filtering Question	Answer	Action
1	Has the organisation been successfully prosecuted for violations of forced labour laws in the last 2 years? *(note: this also applies to any entities owned by or currently contracted by the organisation)*	No	Continue
2	Has there been a change in the organisation's scope, sites, suppliers, subcontractors, or contact person since the last audit?	No	Do not complete questions 24-25
3	Does the organisation use or wish to use the trademarks or logos on certified products? (e.g. ASC logo or MSC ecolabel)	No	Do not complete question 7
4	Does the organisation use non-certified seafood ingredients in any MSC and/or ASC labelled product?	No	Do not complete question 10
5	Does the organisation handle or intend to handle under-assessment product?	No	Do not complete questions 39-41
6	Does the organisation use subcontractors to handle certified products? (this includes transport, storage, processing, etc.)	Yes	Complete questions 26-30
7	Does the organisation use contract processors for certified products or do they carry out contract processing?	No	Do not complete questions 32-33
8	Since the previous audit, has the MSC contacted the organisation requesting any traceability or purchase/ sale records?	No	Do not complete question 36
9	Since the previous audit, has the organisation had any product authentication (DNA) testing carried out by the MSC?	No	Do not complete questions 37-38
10	Were any non-conformities recorded at the previous audit?	No	Do not complete Annex C

7. Questions

No	Clause of Default CoC Standard	Question	Suggested Verification	Answer	Evidence and Observations
0	Scope	Surveillance or re-certification audit : is the MSC website suppliers' directory page of the certificate holder up to date?	**Verify:** **-**Are all certified species handled by auditee as certified integrated in the scope of certification? **-**Are the scope activities well defined? -During initial determine the scope of certification. Please fill out Section 13. Scope.		
1	1.1	How does the organisation ensure that all certified products can only be purchased from certified suppliers?	**Verify:** -What is the process for purchasing certified products? - How are supplier lists maintained? - Does the organisation know how to verify the status of their suppliers' certificates? **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	Before the organisation buys products it orders the certificates of the supplier. All orders of certified products refer to the specifications given regarding the MSC and/or ASC.The certificates are part of the purchase contract.
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? **Evidence** -Names of responsible staff interviewed (e.g. goods-in check) -Brief explanation of process	Pass	All certified products receive a special art.no. which is available through the whole trading process. Goods receipt protocol with separate MSC / ASC marking. Verification of marking on the delivery note and on the label.
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	Certified pollock was bought from certified supplier. Mr. Neuerburg can explain the whole process regarding the requirements of CoC.
4	2.1	Can certified products be identified as certified at all stages of purchasing, receiving, storage, 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	Pass	Yes, products will be physically labelled, as well as getting a special art.- and batch no. In the Navision system. + partially separated MSC/ASC-places

5	2.2	Are all products sold as certified identifiable as certified on the line item of invoices?	**Verify:** -Review a sample of invoices **Evidence:** -Describe the system used for identifying certified products (i.e. CoC code, 'MSC' or 'ASC' initials, unique product code, etc.)	NA	No certified product sold . Initial audit
6	2.3	Is there a system that ensures packaging, labels, and other materials identified as certified can only be used for certified products?	**Verify:** -Check a sample of packaging with ecolabel/logo (can be done in combination with traceability test). How does the organisation ensure certified materials aren't used for non-certified product? **Evidence:** -Description of procedures in place, details of packaging reviewed	NA	No certified product sold . Initial audit, no packaging or labelling, only sealed packages
~~7~~	~~2.4~~	~~If the organisation promotes products as certified or uses the ecolabel, logo or other trademark(s), does it have a valid licence agreement with MSCI?~~	~~**Verify:**~~ ~~-Is the license agreement signed by both parties?~~ ~~-Where the ecolabel is used on products, review a sample of product approval emails received from MSCI (refer to CoC CR 8.3.14)~~ ~~**Evidence:**~~ ~~-Licence agreement with valid dates and signatures~~ ~~-Sample of product approval emails if relevant~~ ~~*In case of a non-conformity regarding incorrect trademark use, the Program Manager has to be informed within 48 hours*~~	~~NA~~	
8	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	Specific storage areas for certified products, no processing. Every product has ist own art. no. which is controlled at every stage of trading., no packaging or labelling, only sealed packages
9	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	Specific storage areas for certified products, no processing. Every product has ist own art. no. which is controlled at every stage of trading., no packaging or labelling, only sealed packages
~~10~~	~~3.2.1~~	~~If the organisation has certified products containing non-certified ingredients, have they followed the MSCI Certified Ingredient Percentage Rules?~~	~~**Verify:**~~ ~~-Do ecolabelled products use any non-certified ingredients?~~ ~~-If yes, check that calculations have been carried out in line with the MSCI Certified Ingredient Percentage Rules~~ ~~**Evidence:**~~ ~~-Products sampled and if calculations are correct~~	—	

11	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	the system of the trading process with specific art. no. and storage places as well as controlling at every step can ensure that no mixing will take place/Specific storage areas for certified products, no processing. Every product has ist own art. no. which is controlled at every stage of trading., no packaging or labelling, only sealed packages
12	4.1/ 4.1.1	Is the traceability system sufficient to allow tracing of certified products from point of sale back to a certified supplier?	**Verify:** -Complete traceability tests on a batch/es of product (refer to tab 9) - Cross-check a sample of purchase records with delivery records and where possible against the actual product received. **Evidence:** - Description of the traceability system. Record evidence from traceability tests in the separate template, but record the overall outcome (Pass/Minor/Major/Suspension) in this tab.	Pass	See traceability test template, inventory control software: Navision
13	4.1.2	Is the traceability system sufficient to allow tracing of certified products from point of purchase forward to point of sale?	**Verify:** -Is the traceability system effective for tracing certified products forward from point of purchase to sale? **Evidence:** - Brief description of traceability system. Results of forward traceability test if carried out.	Pass	See traceability test template, inventory control software: Navision
14	4.2	Are traceability records sufficient to link certified product at every stage between purchase and sale?	**Verify:** - Traceability system (as verified through traceability tests) allows linking of batches/lots at every step. **Evidence:** - Completed traceability test template with description of how batches are linked at each step. The overall outcome (Pass/Minor/Major/Suspension) to be recorded in this tab	Pass	See traceability test template, inventory control software: Navision
15	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	NA	initial audit. The organisation can demonstrate that changes will be documented sufficiently in future.
16	4.4/ 4.4.1	Do records allow quantities of certified products bought and sold to be calculated (with the exception of any sales to final consumers)?	**Verify:** -Complete an input-output reconciliation for a sample of products (see templates in this checklist) **Evidence:** -Record findings of the input-output reconciliation in the designated template(s). The overall outcome (Pass/ Pass with Observation/ Minor/ Major/ Suspension) should be recorded in this tab.	Pass	all quantities documented from purchasing to sale

17	4.5	If processing or packing/repacking occurs, can conversion rates be calculated for certified products over any given batch or time period?	**Verify:** -Complete the template for input-output reconciliation (refer to tabs 10-11). Include calculation and justification of yield (conversion rate) if relevant **Evidence:** -Input-output template will include details of conversion rates and justification. The overall outcome (Pass/ Pass with Observation/ Minor/ Major/ Suspension) should be recorded in this tab.	NA	No processing, packing and repacking
18	4.5.1	Are conversion rates for certified products justifiable and accurate?	**Verify:** -Check conversion rates against product specifications, similar products being processed, or the organisation's historical processing records **Evidence:** -Record conversion rates and justification in the input-output reconciliation template. Record the overall conformity outcome in this tab.	NA	Only trading. Input-Output example tested during audit was accurate
19	4.6	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	Major	Dcertified products purchased and sold as MSC goods in initial audit marked as MSC goods on bill and delivery note, but without a valid certificate.
20	5.1.1	Does the organisation operate a management system which addresses all of the requirements in the CoC Standard?	**Verify:** - There is an effective and implemented 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	Verified per interview with Mr. Neuerburg (QM) and Mr. Weigel (MSC represantive) as well as the instructions regarding CoC written in the QM handbook, from 9.9.15, Version 6, retention period of business "GmbH": 10 years
21	5.1.2	Are responsible personnel adequately trained and competent in order to ensure conformity with the CoC standard?	**Verify:** -Which staff are considered responsible personnel with respect to the CoC? Who is in charge of training? How is training delivered, and how often? What is included in training? Talk to staff (see interview tab) and review any relevant training materials or records. **Evidence:** -Completed staff interviews (record on separate tab). -Names of trainers and their qualifications/experience -Documented training manuals and records (if relevant)	Pass	Training of all responsible staff:7.10.15 has treated all sections of the CoC standard.

22	5.1.3	Are relevant records for certified products and CoC conformity kept for at least 3 years (or the shelf life of the product)?	**Verify:** -Check historical records, and how records are stored, verify timeline for keeping records **Evidence:** -Sample of records reviewed	Pass with Observation	Initial audit, not written fixed, all documents will bei scanned, retention period of business "GmbH": 10 years
23	5.1.4	Is there a designated MSC contact person who is responsible for all contact with the certifier?	**Verify:** -Is there an MSC contact person appointed? Is this information up-to-date? **Evidence:** -Name of contact person	Pass	MSC contact: Mr. Jörg Neuerburg, MSC-representative: Hr. Weigel
~~24~~	~~5.2.1~~	~~Was the certifier notified within 10 days if the organisation: • Added a new MSC contact person ? • Received certified products from a new supplier? • Received a new certified species (not previously in scope)?~~	~~**Verify:** Check notification by email or writing was sent to the certifier within 10 days of these changes. **Evidence:** Not required if this is a 'pass'~~	~~Pass~~	~~initial audit~~
~~25~~	~~5.2.2~~	~~Did the organisation get written approval from the certifier before: • Undertaking a new activity for certified products? •Handling or buying products certified under an additional recognised standard (e.g. ASC)? • Using a new processing or packing subcontractor?~~	~~**Verify:** -Were any update or change requests made to the certifier? -Verify activity, scope and subcontractor lists are up-to-date. **Evidence:** -Not required if this is a 'pass'~~	~~Pass~~	~~initial audit~~

26	5.3.1	Can the organisation demonstrate that all subcontractors handling certified product comply with the relevant requirements of the standard?	**Verify:** -How does the organisation ensure full control of each subcontractor (CoC CR 8.4.1)? -Are there systems to ensure identification and traceability of certified products at point of dispatch and receipt to subcontractors? (CoC CR 8.2.8) -Have non-certified contract processors been visited onsite by the certifier before use (and annually thereafter?) (CoC CR 8.4.2) - Have non-certified storage subcontractors been visited by the certifier if required under CoC CR 8.4.4? **Evidence:** -Procedures and records relating to subcontractor oversight -Subcontractor tab completed for each subcontractor visit	Pass	Only transport by subcontractor
27	5.3.2	Is there an up-to-date record of all subcontractors handling certified products (excluding transport companies)?	**Verify:** -Does the subcontractor list includes all relevant information? **Evidence:** -List of subcontractors (Can use Annex A Subcontractor table and/or record on the MSC database directly)	Pass	Only transport by subcontractor
28	5.3.3	If relevant, have non-certified contract processors been informed that they are required to have an onsite audit by the certifier prior to use and at least annually afterwards?	**Verify:** -Are any non-certified contract processors used? Have they been audited previously by the certifier? **Evidence:** -Records of notification to non-certified contract processors. - Records of any subcontractor audits completed.	NA	no contract processing
29	5.3.4	If subcontracted storage is used, can the organisation obtain records of certified products from the subcontractor or access to certified products at any time?	**Verify:** - How can the organisation ensure they have appropriate access to records and product at subcontractor storage? Review a sample of any subcontractor records and agreements in place if possible. **Evidence:** - Subcontractor agreements (if they exist), sample of records reviewed for certified product at storage facilities	Pass	Organisation uses own storage, additional storage capacities are rented from Nordfrost. So this storage room can be treated as their own, Fedderson don´t use subcontracted storages
30	5.3.5	Does the organisation have a signed agreement with all subcontractors that transform, process, or repack certified products? Does the agreement require the subcontractor to have systems that ensure traceability, segregation, and identification of certified products at every stage of handling? Does the agreement provide access for the MSC, the certifier, and the MSC's accreditation body to the subcontractor's premises and any certified product records upon request?	**Verify:** - If relevant, are signed agreements in place that cover all points in 5.3.5? Were records provided or access granted if requested? **Evidence:** -Agreements reviewed	Pass	No such subcontractors

31	5.3.6	Is the organisation aware of shipping or receiving any product transported on, or received from vessels listed on Regional Fisheries Management Organisations (RFMO) blacklists?	**Verify:** -In cases of any concern review vessels used against a consolidated RFMO black list of vessels **Evidence:** -In case of non-conformity record name of vessel concerned	NA	transport only with trucks
~~32~~	~~5.3.7~~	~~If applicable, does the organisation maintain records of all contract-processed certified products, including: • Volumes and product details received? • Volumes and product details dispatched? • Dates of dispatch and receipt?~~	~~**Verify:** -Review a sample of these records (may be included as part of the traceability test and input-output) **Evidence:** -Records reviewed including products and subcontractors checked~~	—	
~~33~~	~~5.3.8~~	~~If the organisation does contract processing, do they have a full list of all clients for whom they processed certified material since the previous audit?~~	~~**Verify:** -Cross-check the list of clients against internal production and dispatch records to ensure this list is complete and updated **Evidence:** -Client list and description of any records reviewed~~	—	
34	5.4.1	Is the organisation aware of how they need to handle non-conforming product? Do they have a process that covers all points in 5.4.1?	**Verify:** -Does the organisation understand their obligations in case non-conforming product is discovered? What processes are in place for non-conforming product? Have there been any cases of non-conforming product in the past (if so, were procedures followed?) **Evidence:** -Brief description of level of knowledge, description of procedures if available -If a non-conforming product incident occurred, evidence of records showing appropriate response	Pass	(Hamburg: The organisation is aware but has no written policy available), Berlin: handling of nin-conforming products implemented
35	5.4.1.5	If non-conforming product was detected after selling or shipping, were all impacted customers (excluding final consumers) notified within 4 working days?	**Verify:** -Does the organisation understand what to do in the case of non-conforming product having been shipped to their customer? **Evidence:** -If past incidents occurred, records of communications to customers	NA	No certified product sold up to this initial audit
~~36~~	~~5.5.1~~	~~If relevant, did the organisation respond within 10 days of being asked to submit traceability or sales/ purchase records to the MSC?~~	~~**Verify:** -Only if information received from MSC **Evidence:** -Email exchange between MSC and certificate holder of information supply, if requested.~~	—	
~~37~~	~~5.5.2~~	~~Has the organisation allowed the MSC, the certifier or a representative from the accreditation body to collect samples of certified products from their site for the purposes of DNA or other product authentication testing?~~	~~**Verify:** -If relevant, check records of product sampled **Evidence:** - Details of any products sampled.~~	—	

38	5.5.2.1	If a product authenticity (DNA) test identifies the product as a different species or from a different catch area than as identified, has the organisation followed the actions in 5.5.2.1?	**Verify:** - Has there been an instance where a product authenticity test identified the product as a different species or as originating from a different catch area than as identified? What steps were taken? **Evidence:** - Brief description of issue and steps followed	—	
39	5.6.1	If the organisation wishes to buy or handle under-assessment products, are they either: - A fishery or aquaculture farm undergoing assessment, or - A named member of the organisation group for a fishery or 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.	—	
40	5.6.2, 5.6.2.1, 5.6.2.2	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	—	
41	5.6.2.3	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	—	

8. Interviews

Individual interviewed *(name and surname)*	**Role or job title**	**Site** *(Place of work)*	**Level of competency** *Adequate / Not Adequate*	**Comments** (*Include interview topics and summary of responses)*
Hr. Weigel	QMB	Berlin	adequate	-

9. Traceability Test Template

		Traceability Test	
Data		**Description**	**Explanation** *(describe how codes or documents link product at different steps)*
Product tested: (name, description, product form...)		MSC Alaska Seelachs Portionsfilet in Knusperpanade	
Species: (for products with mixed species record all species)		Pollock (walleye), Theragra chalcogramma	
List all documents reviewed when conducting the traceability test. 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)	Order to Pickenpack: 17.6.15, MSC Alaska Seelchas Portionsfilet in Knusperpanade, Art.: 1415 ~ 1490 (wrong booking number, rebooking), Order number: EBE15-005635, 324 kg (54 cartons with 6 kg)	
	B)	Delivery from Pickenpack: MSC Alaska Seelachs Portionsfilet in Knusperpanade, MSC-C-0146, Delivery date: 19.6.15, delivery note: 804571, 54 cartons, Pickenpack articel: 73066	
	C)	sheet for goods receive from Pickenpack: 19.6.15, MSC Alaska Seelachs Portionsfilet in Knusperpanade, Art.: 1415 ~ 1490 (wrong booking number, rebooking), Order number: EBE15-005635, 324 kg (54 cartons), shelf life: 11/2016	
	D)	storage: MSC Alaska Seelachs Portionsfilet in Knusperpanade, 6 kg, MSC-C-40141, Pickenpack, shelf life: 11/2016, Pickenpack articel: 73066	
	E)	sales historic: MSC Alaska Seelachs Portionsfilet in Knusperpanade, Federsen, delivered to: Seafood Berlin, delivery date: 14.7.15, delivery note: 55049756, 6 kg	
	F)		
	G)		
	H)		
	I)		

	J)		
	K)		
	L)	*Add additional rows below if needed*	
Description of traceability test (provide a general description which would allow the trace 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 traceability test…)			

9. Traceability Test Template

		Traceability Test	
Data		**Description**	**Explanation** *(describe how codes or documents link product at different steps)*
Product tested: (name, description, product form...)		Non-ASC BT-King Prawns o. Kopf	
Species: (for products with mixed species record all species)		Giant tiger prawn, Penaeus monodon	
List all documents reviewed when conducting the traceability test. 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)	Delivery from RARI Hamburg: BT-King Prawns o. Kopf, Delivery date: 6.10.15, delivery note: L-15-29740, 10 cartons, 100kg, articel: 60206	
	B)	sheet for goods receive from RARI Hamburg: BT-King Prawns o. Kopf, Delivery date: 6.10.15, delivery note: L-15-29740, 10 cartons, 100kg, life: 8.5.17	
	C)	storage: BT-King Prawns o. Kopf, RARI, shelf life: 8.5.17, 10 kg	
	D)	no sales historic	
	E)		
	F)		
	G)		
	H)		
	I)		
	J)		
	K)		
	L)	*Add additional rows below if needed*	
Description of traceability test (provide a general description which would allow the trace 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 traceability test…)			

10. Input-output Reconciliation Template 1

Material/Product	Details	Input - output sample 1	Input - output sample 2	Input - output sample 3
		TK MSC Alaska Seelachs	**TK Riesengarnalen**	
Species	1	MSC pollock	Riesengarnelen	
Start Date (use date of batch purchase if reconciling by batch)	2	08 December 2014	01 March 2012	
End Date (use date of audit if reconciling by batch)	3	24 August 2015	24 April 2015	
Unit	4	kg	kg	
Batch number (if relevant)	5	-	-	
Total Product Weight' OR 'Seafood Ingredient Only' (select one)	6	Total Product Weight	Total Product Weight	---
Raw material - Stock at start date (if not processing record all product stocks)	A	320	12	
Raw material - Stock purchased or received in period (or if not processing record all product purchases)	B	2960	1785.6	
Raw material - Stock sold during period (or if not processing, all product sales)	C	2830	1784.6	
Raw material - Stock used for processing	D	0	0	
Raw material - Stock at end date (or if not processing, all product stocks)	E	450	13	
Processing - Stock of processed product at start date	F	0	0	
Processing - Processed product produced during period (i.e. weight of output from processing)	G	0	0	
Processing - Processed product sold or dispatched during period	H	0	0	
Processing - Stock of processed product at end date	I	0	0	
Processing - Stock of partially processed product at end date	J	0	0	
Raw material: Total in = (A + B)	K	3280	1797.6	
Raw material: Total out = (C + D + E)	L	3280	1797.6	
Raw material: Difference = (K - L)	M	0	0	
Processing: Processed product inputs from start date = (F + G + J)	N	0	0	
Processing: Processed product sold and stored at end date = (H + I)	O	0	0	
Processing: Difference = (N - O)	P	0	0	
Conversion Rate (Yield). Calculated as a percentage of G/D.	Q	#DIV/0!	#DIV/0!	
Approximate % weight gains (e.g. added ingredients in recipes, glaze)	R	0.0%	0.0%	
Approximate % weight losses (e.g. due to freezing, skinning, filleting)	S	0.0%	0.0%	
Approximate % increase in yield due to added weight gains and losses: = (R-S)	T	0.0%	0.0%	
Volume of raw material converted to a non-certified status	U	0	0	
Volume into processing then converted to a non-certified status	V	0	0	
Volume of processed product then converted to a non-certified status	W	0	0	

Explanation of processing weight gains - with details of percentage of added ingredients (from recipes and product specifications)

Explanation of processing weight losses - with details of product specifications e.g. for glazing or filleting

Justification of conversion rate (if relevant)
no lost, only trading, amounts plausbile

11. Input-output Reconciliation Template 2

Total Product Weight' or 'Seafood Ingredient Only'?		---	
Raw material ***(e.g. H&G cod)***		**Output**	**Inputs**
Raw material - stock at start date	a		
Raw material - purchased in period	b		
Raw material - sold raw in period	c		
Raw material - to production	d		
Raw material - stock at end date	e		
Raw material - Total in (a+b)	f		
Raw material - Total out (c+d+e)	g		
Raw material - Difference (f-g)	h		
Semi-Finished Product *(e.g. cod fillets and loins)*			
		Output	**Inputs**
Semi-finished product - stock at start date	i		
Semi-finished product - produced in period	j		
Semi-finished product - to production	k		
Semi-finished product - stock at end date	l		
Semi-finished product - Total in (i+j)	m		
Semi-finished product - Total out (k+l)	n		
Semi-finished product - Difference (m-n)	o		
End product 1 *(e.g. cod fish fingers)*		**Output**	**Inputs**
End product - stock at start date	p		
End product - produced in period	q		
End product - sold in period	r		
End product - stock at end date	s		
End product - Total in (p+q)	t		
End product - Total out (r+s)	u		
End product - Difference (t-u)	v		
End product – Yield (u/t)	w		
End product 2 *(e.g. cod breaded portions)*		**Output**	**Inputs**
End product - stock at start date	p		
End product - produced in period	q		
End product - sold in period	r		
End product - stock at end date	s		
End product - Total in (p+q)	t		
End product - Total out (r+s)	u		
End product - Difference (t-u)	v		
End product – Yield (u/t)	w		
End product 3 *(e.g. cod fish pie)*		**Output**	**Inputs**
End product - stock at start date	p		
End product - produced in period	q		
End product - sold in period	r		
End product - stock at end date	s		
End product - Total in (p+q)	t		
End product - Total out (r+s)	u		
End product - Difference (t-u)	v		
End product – Yield (u/t)	w		
End product 4 *(e.g. cod in cream sauce)*		**Output**	**Inputs**
End product - stock at start date	p		
End product – produced in period	q		
End product - sold in period	r		
End product - stock at end date	s		
End product - Total in (p+q)	t		
End product - Total out (r+s)	u		
End product - Difference (t-u)	v		
End product – Yield (u/t)	w		
Raw material converted to non-certified material (from 'c' or 'd')	x		
Semi-finished material converted to a non-certified status (from 'k')	y		

Raw Material Batch Code

Dates of handling	
Start date (e.g. when batch received)	
End date (e.g. date of audit)	

Species/ form/ product name	
Raw material	
Semi-finished material	
End product 1	
End product 2	
End product 3	
End product 4	

Units measures (e.g. Kg)	
Raw material	
Semi-finished material	
End product 1	
End product 2	
End product 3	
End product 4	

Explanation of processing weight gains - with details of percentage of added ingredients (from recipes and product specifications)

Explanation of processing weight losses - with details of product specifications e.g. for glazing or filleting

Justification of conversion rate

12. Supplier List

	Signature *(MSC Contact Person)*	**Date**
Organisation	Feddersen Gastro GmbH	08 October 2015

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)*
Wunut Farm, PT Aquafarm Nusantara, Regal Springs		ASC: 120350-d		
Hung Vuong Corporation		ASC-C-00042		
Thuan Phuoc Seafoods Trading Corporation Dien Mon Farm		ASC-C-00532		
Minh Phu Seafood Corporation		ASC-C-00452		
Lenk Seafood Services GmbH		ASC-C-00001		
Lenk Seafood Services GmbH	MSC-C-52467			
Royal Greenland Germany GmbH	MSC-C-52514-2			
Vinnslustödin Hf.	MSC-C-52912			
About Fish Deutschland GmbH	MSC-C-51576			
Pickenpack Europe GmbH	MSC-C-50141			
Marisco GmbH	MSC-C-50728			
Sterk Trading GmbH	MSC-C-52700			
Sewe Frost GmbH	MSC-C-50642			

13. Scope of Certification

Activities	Mark if Applicable (x)	Applies to *(e.g. entire certificate or only some sites)*
Aquaculture		
Contract processing		
Distribution	x	Berlin
Harvest		
Packing or repacking		
Processing Primary		
Processing Secondary		
Processing Preservation		
Processing Other		
Restaurant / take away to consumer		
Retail to consumer	x	Berlin
Storage	x	Berlin
Trading fish (buying/selling)	x	Berlin, Hamburg
Transportation	x	Berlin
Use of contract processor		
Wholesale		
Other (please specify)		

Other comments or descriptions relating to scope

Certified Species (*enter name*)	**MSC** Mark if applicable (x)	**ASC** Mark if applicable (x)	**Applies to** *(e.g. entire certificate or only some sites)*
Giant tiger prawn, Penaeus monodon		x	
Pangasius (pangasius hypophthalmus), Pangasius hypophthalmus		x	
Tilapia niloticus, Tilapia niloticus		x	
Whiteleg Shrimp, L. vannamei		x	
Cod (Atlantic), Gadus morhua	x		
Cod (Pacific), Gadus macrocephalus	x		
Haddock, Melanogrammus aeglefinus	x		
Pollock (walleye), Theragra chalcogramma	x		
Redfish (golden), Sebastes marinus / Sebastes norvegicus	x		
Saithe, Pollachius virens	x		
Salmon (pink), Oncorhynchus gorbuscha	x		
Sole (yellowfin), Limanda aspera	x		

Under-Assessment Species *(complete only if the organisation is eligible to handle under-assessment product under the CoC standard v4.0 and is handling this product before the fishery/ farm has been certified)*	**Name of Farm or Fishery under assessment**
none	

14. Audit Non-conformities and Observations

	Signature		Date
Organisation	Feddersen Gastro GmbH		08 October 2015
Auditor	SGS Germany GmbH		08 October 2015

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	Status: Open / Closed / Upgraded / Downgraded + Date	Corrective Action *(optional)*
1	4.6	Certified products purchased and sold as MSC goods in initial audit marked as	Major	07 January 2016	Closed 9.10.15	reported by E-Mail, No marking of msc products on the bills and delivery notes till the msc ready certications, through changings in the software "navision".
2	5.1.3	Initial audit, not written fixed, all documents will bei scanned, retention period	Observation	next audit	open	
3			---			
4			---			
5			---			
6			---			
7			---			
8			---			
9			---			
10			---			
11			---			
12			---			
13			---			
14			---			
15			---			
16			---			
17			---			
18			---			
19			---			
20			---			

15. Certification Decision

Auditor Name/Surname	Varga/Peter
Date	08 October 2015
	Observation
Recommends (ongoing/re-) certification for MSC	Yes
New certificate needed for MSC	Yes
Recommends (ongoing/re-) certification for ASC	Yes
New certificate needed for ASC	Yes
Declares independency from client's operation	Yes
Additional information :	

File reviewer Name/Surname	Jack Vader
Date	23 December 2015
	Observation
No major NC's open, CAP in place for minor NC's	No
Recommends (ongoing/re-) certification	Yes
Additional information :	

Certification Manager Name/Surname	Jack Vader
Date	01 December 2015
Certificate valid (Y/N)	Yes
	Observation
Auditor qualified	Yes
No major NC's open	No
Initial audit: CAP in place for minor NC's	n/a
Agreement in place	Yes
Audit time onsite approprate to schale of operation	Yes
Certificate can include all items of (potential) scope	Yes
Additional information :	

16. Additional Information

Annex A - Subcontractor Table

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 Other	Primary processing	Secondary processing	Preservation	Restaurant/Takeaway to Consume	Retail to consumer	Storage	Trading Fish (Buying/Selling)	Transportation	Wholesale	Other
only transporter																									

Annex B - Subcontractor Visits

Name and address of subcontractor	
Audit (visit) date	

No	Clause of Group CoC Standard	Question	Suggested Verification	Answer	Evidence and Observations
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, storage, processing, packing, labelling, selling and delivery?	**Verify:** - Review identification of a sample product/s (this can be done in combination with traceback). 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	Is there a system that ensures packaging, labels, and other materials identified as certified can only be used for certified products?	**Verify:** -Check a sample of packaging with ecolabel/logo (can be done in combination with traceback). How does the organisation ensure certified materials aren't used for non-certified product? **Evidence:** -Description of procedures in place, details of packaging reviewed	---	
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 MSCI Certified Ingredient Percentage Rules?	**Verify:** - Do ecolabelled products use any non-certified ingredients? - If yes, check that calculations have been carried out in line with the MSCI Certified Ingredient Percentage Rules **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	4.1.1	Is the traceability system sufficient to allow tracing of certified products from point of sale back to a certified supplier?	**Verify:** - Complete traceability tests on a batch/es of product - Cross-check a sample of the subcontractor's receipt records against dispatch records from the client and where possible against the actual product received. **Evidence:** - Description of the traceability system. Record evidence from traceability tests in the separate template, but record the overall outcome (Pass/ Pass with Observation/ Minor/ Major/ Suspension) in this tab.	---	
8	4.1.2	Is the traceability system sufficient to allow tracing of certified products from point of purchase forward to point of sale?	**Verify:** -Is the traceability system effective for tracing certified products forward from point of purchase to sale? **Evidence:** - Brief description of traceability system. Results of forward traceability test if carried out.	---	
9	4.2	Are traceability records sufficient to link certified product at every stage between purchase and sale?	**Verify:** - Traceability system (as verified through traceability tests) allows linking of batches/lots at every step. **Evidence:** - Completed traceability test template with description of how batches are linked at each step. The overall outcome (Pass/ Pass with Observation/ Minor/ Major/ Suspension) to be recorded in this tab	---	
10	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	---	
11	4.4	Do records allow quantities of certified products bought and sold to be calculated (with the exception of any sales to final consumers)?	**Verify:** -Complete an input-output reconciliation for a sample of products (see templates in this checklist) **Evidence:** -Record findings of the input-output reconciliation in the designated template(s). The overall outcome (Pass/ Pass with Observation/ Minor/ Major/ Suspension) should be recorded in this tab.	---	
12	4.5	If processing or packing/repacking occurs, can conversion rates be calculated for certified products over any given batch or time period?	**Verify:** -Complete the template for input-output reconciliation (refer to tabs 10-11). Include calculation and justification of yield (conversion rate) if relevant **Evidence:** -Input-output template will include details of conversion rates and justification. The overall outcome (Pass/ Pass with Observation/ Minor/ Major/ Suspension) should be recorded in this tab.	---	
13	4.5.1	Are conversion rates for certified products justifiable and accurate?	**Verify:** -Check conversion rates against product specifications, similar products being processed, or the organisation's historical processing records **Evidence:** -Record conversion rates and justification in the input-output reconciliation template. Record the overall conformity outcome in this tab.	---	
14	5.3.5	If the subcontractor is transforming products, is the relevant agreement with the client in place?	**Verify:** - If relevant, are there signed agreements between the subcontractor and client that cover all points in 5.3.5? Were records provided or access granted if requested?	---	
15	5.3.7	For contract processors, can you cross check the records of dispatch and receipt between client and subcontractor?	**Verify:** - Cross-check a sample of volumes, product details and dates for dispatch and receipt between the client and contract processor.	---	

Annex C - Previous NCs

Number	**Clause**	**Description of non-conformity**	**Corrective actions taken / implemented**	**Classification of non-conformity when raised** *(minor/ major/ suspension/ observation)*	**Outcome of non-conformity** *(closed/changed to minor/changed to major)*
Initial				---	---
				---	---
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				---	---
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				---	---
				---	---

Annex D - Certified Purchases (not 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)