**** **MARINE STEWARDSHIP COUNCIL - CHAIN of CUSTODY (MSC CoC) APPLICATION FOR CERTIFICATION**

**INSTRUCTIONS TO THE APPLICANT**

• This application must be completed and returned to the Control Union office to generate an offer.

• Sign the last page, in the section "Applicant's Declaration".

1. **APPLICANT INFORMATION**

|  |  |  |
| --- | --- | --- |
| **Company name** Including organization type: Ltd., Inc., SAC, SA, SARL, BV) | : |  |
| **Company address**(Street, postal code, city, province, country, P.O. box)  | : |  |
| **Legal representative name** | : |  |
| **Contact person**(Name, function)  | : |  |
| **E-mail(s)** | : |  |
| **Telephone number** | : |  |
| **Fax number** | : |  |
| **Number of RUC / RUT / VAT / NIT / RFC / RNC** | : |  |

1. **APPLICATION TYPE**

|  |
| --- |
|[ ]  Initial certification: our company applies for the first time |
|[ ]  Scope extension/modification: our company would like to indicate changes/update our existing project information. |
|[ ]  Transfer of CB: our company is certified with another CAB and wants to transfer to CU. |
|[ ]  Recertification: our company applies for recertification. |
|[ ]  Our company is applying after a certification suspension /withdrawal / cancel |

1. **SELECT THE CERTIFICATION OPTION YOU WISH TO APPLY FOR:**

|  |  |  |  |
| --- | --- | --- | --- |
| **MSC CoC** | **Type of Product** | **Standard** | **Certification Type** |
| [ ]  ASC[ ]  MSC[ ]  ASC-MSC Seaweed\* | [ ]  Default [ ]  CFO[ ]  Group | [ ]  Single Site[ ]  Multisite [ ]  Group |

**\***If you wish to apply for ASC-MSC Seaweed, you need to sign the Seaweed Partnership Agreement with MSCI. (ecolabel@msc.org) before being granted the certification.

1. **PRODUCTS**

Please indicate all products you wish to certify. In case of changes please fill in the corresponding column.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Certified Species name** | **Scientist name** | **Type of Product** | **Seaweed** **Category** | **Under-Assessment Species** | **New; Withdrawn; N/A** |
|  |  | [ ]  ASC [ ]  MSC[ ]  Seaweed | [ ]  ASC-MSC (Bi and Ci) [ ]  MSC (A) [ ]  ASC (Bii and Cii) | [ ]  Yes[ ]  N/A  | [ ]  New[ ]  Withdrawn[ ]  N/A |
|  |  | [ ]  ASC [ ]  MSC[ ]  Seaweed | [ ]  ASC-MSC (Bi and Ci) [ ]  MSC (A) [ ]  ASC (Bii and Cii) | [ ]  Yes[ ]  N/A  | [ ]  New[ ]  Withdrawn[ ]  N/A |

1. **SUPPLIER**

If the suppliers are not certified, suppliers need to be certified before the applicant can identify or label any products from the supplier as ‘certified’ or with trademarks.

|  |  |  |  |
| --- | --- | --- | --- |
| **Suplier Name** | **CODES:****MSC/ASC/Seaweed CoC Certificate Code****MSC - Fishery certificate code****ASC - Farm certificate code****Seaweed Production unit code** | **Under assessment\*** | **New; Withdrawn; N/A** |
|  |  | [ ]  Yes[ ]  N/A | [ ]  New[ ]  Withdrawn[ ]  N/A |
|  |  | [ ]  Yes[ ]  N/A | [ ]  New[ ]  Withdrawn[ ]  N/A |
|  |  | [ ]  Yes[ ]  N/A | [ ]  New[ ]  Withdrawn[ ]  N/A |

*\*Complete in the case that your company wants to certify products under assessment from MSC fishery or ASC farm or Seaweed Production unit.*

1. **PROCESSING UNITS**

Describe all the units that are involved in the scope for certification that handle the certified product. This must include subcontracted units that may be used, excluding subcontractors for transportation. Also, describe below the activities of all units. If it concerns changes mention all the units and indicate which one is new, changed, or withdrawn. In the case that the client is applying for CFO or Group CoC, please also complete Annex I.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Site Name** | **Address** | **Activities**  | **Owner/ Subcontracted** | **CoC Codes** | **New; Withdrawn; N/A** |
|  |  | **MAIN ACTIVITY:** Choose one activity**ACTIVITIES:** [ ] Trading fish (buying and/or selling)[ ]  Trading fish meal [ ]  Trading fish oil [ ]  Transportation [ ]  Storage [ ]  Distribution [ ]  Wholesale [ ]  MSC Harvest [ ]  Packing or repacking [ ]  Primary processing [ ]  Secondary processing [ ]  Preservation [ ]  Other processing: \_\_\_\_\_\_[ ]  Contract processing [ ]  Use of subcontractor [ ]  Retail to consumer [ ]  Restaurant/take-away to consumer [ ]  Other: \_\_\_\_\_\_\_\_\_\_[ ]  ASC Aquaculture [ ]  Manual off-loading [ ]  Handling underassessment product | [ ]  Owner[ ]  Subcontracted | [ ]  ASC-C-[XXXXX][ ]  MSC-C-[XXXXX][ ]  SWD-C-[XXXXX][ ]  N/A | [ ]  New[ ]  Withdrawn[ ]  N/A |
|  |  | **MAIN ACTIVITY:** Choose one activity**ACTIVITIES:** [ ] Trading fish (buying and/or selling)[ ]  Trading fish meal [ ]  Trading fish oil [ ]  Transportation [ ]  Storage [ ]  Distribution [ ]  Wholesale [ ]  MSC Harvest [ ]  Packing or repacking [ ]  Primary processing [ ]  Secondary processing [ ]  Preservation [ ]  Other processing: \_\_\_\_\_\_[ ]  Contract processing [ ]  Use of subcontractor [ ]  Retail to consumer [ ]  Restaurant/take-away to consumer [ ]  Other: \_\_\_\_\_\_\_\_\_\_[ ]  ASC Aquaculture [ ]  Manual off-loading [ ]  Handling underassessment product | [ ]  Owner[ ]  Subcontracted | [ ]  ASC-C-[XXXXX][ ]  MSC-C-[XXXXX][ ]  SWD-C-[XXXXX][ ]  N/A | [ ]  New[ ]  Withdrawn[ ]  N/A |

1. **Audit Time**

Audit duration for single and multisite clients; If all the answers to these questions are “YES” it is mandatory at least 1.5 onsite audit days.

|  |  |  |
| --- | --- | --- |
| 1. Do your scope include processing or contract processing?
 | : | [ ]  Yes[ ]  No |
| 1. Are your company located in a country with a score below 41 in Transparency International’s latest Corruption Perception Index (http://cpi.transparency.org)?
 | : | [ ]  Yes[ ]  No Score: \_\_\_\_\_\_\_ |
| 1. Do you handle both certified and non-certified seafood?
 | : | [ ]  Yes[ ]  No |
| 1. Do you purchase in excess of 5,000 MT of seafood annually or more than 20 seafood batches annually?

This still applies if a company handles only 100MT annually in 21 batches; or if the company handles 6,000MT in one batch. This total includes all seafood, not only certified products. | : | [ ]  Yes[ ]  No Production (TON): \_\_\_\_\_\_\_Batches Annually (Number): \_\_\_\_\_\_ |

1. **PLANNING INFORMATION**

|  |  |  |
| --- | --- | --- |
| 1. Please describe the access to each of all processing units mentioned, e.g. travel time between the different units, and time from nearest airport, etc.
 | : | *Travel time between units, if applicable estimated time needed for travelling from nearest airport, etc.* |
| 1. Do you hold other accredited certifications issued by and accredited CAB to a relevant nationally or internationally-recognized standard?
 | : | [ ]  Yes: \_\_\_\_\_\_\_\_\_ *if so, please mention which one, most recent audit report, differences between the MSC CoC and the other standard.*[ ]  No |
| 1. Within MSC Chain of Custody certification, it is possible to combine this certification service with national or international food safety standards that have been recognised by MSC. For more information about these recognised standards please refer to the MSC website on the “certification” page. Have you already been certified to such a standard, or have you been previously accredited to ISO 9001, ISO 22000 or any other General Food Safety standard?
 | : | [ ]  Yes: \_\_\_\_\_\_\_\_\_\_ *if so, please mention which one*[ ]  No |
| 1. Does the organisation have one or more of the following specified activities in their scope? Contract processing, Manual off-loading, Packing or repacking, Processing primary, Processing secondary, Processing preservation, Processing other, Use of subcontractor? If it is YES, The MSC Labour Eligibility Requirements (LER) are applicable.
 | : | [ ]  Yes[x]  No |
| 1. Does the applicant or certificate holder have any ongoing or concluded court cases or other legal action related to the scope of the CoC Standard that have occurred in the previous 24 months?
 |  | [ ]  Yes: \_\_\_\_\_\_\_\_\_\_ *if so, please mention which one*[ ]  No |
| 1. Has your company 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 organization)
 | : | [ ]  Yes: \_\_\_\_\_\_\_\_\_\_ *if so, mentioned the complaints*[ ]  No |
| 1. Does the applicant or certificate holder declare any association with entities that have been convicted of a forced or child labour violation in the last 2 years?
 |  | [ ]  Yes: \_\_\_\_\_\_\_\_\_\_ *if so, mentioned the complaints*[ ]  No |
| 1. Within MSC Chain of Custody certification, it is possible to receive interim certification for up to 3 months, provided that the requirements of MSCcoc CR 6.2.4 apply to your company. Authorization by MSC is required for this, and only in exceptional circumstances. Are requirements to apply for interim certification applicable to your company?
 | : | [ ]  Yes: \_\_\_\_\_\_\_\_\_\_ *if so, please motivate this in writing along with this application form.*[ ]  No |
| 1. Does your organization have sister companies that can trade certified products? If so, they must also be certified under MSC Chain of Custody.
 |  | [ ]  Yes: \_\_\_\_\_\_\_\_\_\_ *if so, mentioned the complaints*[ ]  No |

1. **CERTIFICATION STATUS**

Has your organization or any of its production/process units ever been certified by another Certification Body (CB) for the certification scheme you are applying for or any other certification program?

[ ]  Yes [ ]  No

If yes, please complete the following table:

|  |  |
| --- | --- |
| **Name of the previous CB** |  |
| **Certification Program** |  |
| **Certificate validity** |  |
| **Reason for CB change***Mandatory* |  |
| **Contact person Previous CB** |  |
| **Transfer process in the current certificate cycle** |  |
| **MSC/ASC/Seaweed CoC Codes** |  |
| **Sending previous information** | [ ]  The certificate holder, (send a written non-disclosure agreement waiver)[ ]  Current CAB, (send a non-disclosure agreement in place) |

\* MSC will only recognize your current certificate and its status of valid, cancelled, suspended, or withdrawn until such time as your current CAB changes the certification status in the MSC scheme database.

1. **ADDITIONAL QUESTIONS**
	1. Additional questions are only applicable to group applications. Specific eligibility for Group CoC certification is included in the section:

|  |  |  |
| --- | --- | --- |
| 1. Is the proposed group´s central office a legal entity with whom a contract can be made?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Do all group members have similar activities? Please choose one or more from the following options: Trading fish (buying and selling), Transportation, Storage, Distribution and Wholesale, harvesting, (re-) packing, processing, contract processing, retail, aquaculture, other. If not, also choose one or more of the options above.
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Is the entire group within one geographic region?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Does the same written language is used at all sites and can be read by all site managers? If translations are provided, adequate document control procedures are in place to ensure version consistency across different languages?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Is the group´s central office (= applicant company) is capable of objectivity in audit and decision making?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Can the group’s central office demonstrate understanding of the Group CoC Standard?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Please give the name of the group entity or person in charge of their internal control. For requirements, please refer to MSC Chain of Custody Certification Requirements.
 | : | [ ]  Yes[ ]  No Remarks |

* 1. The questions only applicable to CFO applications. Specific eligibility for CFO certification is included in section:

|  |  |  |
| --- | --- | --- |
| 1. Does the organization sell or serve certified seafood exclusively or primarily to final consumers?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. Do any sites that carry out processing or repacking of certified seafood do so exclusively on behalf of the applicant organisation?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. If the organisation uses contract processors or repackers, do these organizations have their own CoC certification?
 | : | [ ]  Yes[ ]  No Remarks |
| 1. In the case that the applicant has more than one site handling certified seafood, answer the 3 below questions:
 | : | [ ]  Yes[ ]  No Remarks |
| * Are all sites under the control of a common management system maintained by the organization’s central office?
 | : | [ ]  Yes[ ]  No Remarks |
| * Does the central office have an ownership or franchise relationship with each site, or a temporary right to manage all sites and staff where certified seafood is handled?
 | : | [ ]  Yes[ ]  No Remarks |
| * Does the central office oversee purchases conducted at site level, with controls to ensure that all sites can only order certified seafood from certified suppliers and species in scope?
 | : | [ ]  Yes[ ]  No Remarks |

**11. DECLARATION BY THE APPLICANT**

The undersigned declares that he/she has completed the application with truthful information.

|  |  |
| --- | --- |
| **Company name** |  |
| **Legal representative name** |  |
| **Date and signature** |  |

Based on the above information, CU will send you a non-binding offer.

Please confirm if you want to receive the offer:[ ]  English [ ] Local language

1. **ANNEX**

Site list for CFO and Group

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Site Name**  | **Address**  | **Consumer-facing site/** **Operations site/** **Both** *\*N/A for Group*  | **Location** **(Physical address)**  | **Location** **(postal address)**  | **Contact Person**  | **Telephone**  | **Email**  |
|   |   |   |   |   |   |   |   |
|   |   |   |   |   |   |   |   |
|   |   |   |   |   |   |   |   |
|   |   |   |   |   |   |   |   |
|   |   |   |   |   |   |   |   |
|   |   |   |   |   |   |   |   |
|   |   |   |   |   |   |   |   |

* *Consumer-facing site = physical location (such as a restaurant, fishmongers, fish counter, or catering site) that sells or serves certified seafood directly to a final consumer. These sites may also prepare and/or cook the food they sell or serve.*
* *Operations site= any site that stores, processes or packs certified product for distribution onto other consumer-facing sites. While an operations site may sell or serve some of their products to the final consumer, they do not do so exclusively.*
* *Both= a site can be both consumer-facing and operations and should be classified as 1 site that does both. An example of this could be a supermarket with a fresh fish counter and a warehouse function.* *Contact person: responsible for ensuring the site conforms to Group CoC requirements.*